



REGISTRATION KIT

MANU STOCK BROKING PVT. LTD.



www.manustock.in

Member :

The National Stock Exchange of India Limited (NSE)
Bombay Stock Exchange Ltd. (BSE)
Central Depository Services (I) Ltd. (CDSL)

Dear Clients,

Thank you for choosing us as the preferred platform for your trading & investment needs. We look forward to you becoming one of our valued Client and give us the pleasure of serving you. Manu Stock Broking Pvt. Ltd. offers you diverse opportunities to trade in various segments of

various exchanges (as the case may be).

To start with, we request you to complete the relevant forms and submit the required documents. We have designed the form for ease of completion with simple instructions at relevant places to guide you along.

Should you face any difficulty in understanding the requirements, please do not hesitate to contact our executive, who will be ever willing to assist /guide you.

It shall be our endeavor as always, to provide you truly personalized & satisfying services.

MANU STOCK BROKING PRIVATE LIMITED

Registered & Corporate Office :

Centre Point, 21, Hemant Basu Sarani, 2nd Floor, Suite No. 201-202, Kolkata-700 001

Phone : +91 33 40194100 • Fax : +91 33 40194124,

E-mail : mail@manustock.in, manustockb@gmail.com • Website : www.manustock.in

Clearing Members - For NSE FO / BSE FO / NSE CDS / BSE CDS

GLOBE CAPITAL MARKET LTD.

503, Ansal Bhawan, 16 K.G. MARG, Connaught Place, New Delhi-1 Ph.: (O) - 01143666500

SEBI Registration Nos. : NSE FO : INF230663732, BSE FO : INF010663731,

NSE CDS : INE230663732, BSE CDS : INE010663731

Please read '**MSBPL**' as **Manu Stock Broking Private Limited** where ever it appears

Compliance Officer Name, Tel. No. & E-mail ID : RITESH JAIN, Tel. : +91-33-40194101
E-mail : riteshjain_1999@yahoo.com

CEO Name, Tel. No. & Email ID : RAVINDRA SANGHAI, Tel. : +91-33-40194121
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SEBI REGISTRATION NUMBER & DATE

NSE-CM	INB-231269938	14.06.2006
NSE-F&O	INF-231269938	14.06.2006
NSE-CDS	INE-231269938	20.11.2008
BSE-CM	INB-011269934	22.02.2010
BSE-F&O	INF-011269934	22.09.2010
BSE-CDS	EXCH. REGD.	24.01.2014
CDSL-DP	IN-DP-CDSL-586-2010	08.10.2010

INVESTORS GRIEVANCES

For any grievance / dispute please contact
Manu Stock Broking Private Limited
at the above address or email us at
complaint E-mail ID : ccare@manustock.in

NATIONAL STOCK EXCHANGE OF INDIA LTD. (NSE)
Tel No : (022) 2659 8100-8114 • Email Id : ig_nse@nse.co.in

BOMBAY STOCK EXCHANGE LTD. (BSE)
Tel No : (022) 2272 1233 / 4 • Email Id : is@bseindia.com

SECURITIES AND EXCHANGE BOARD OF INDIA
Tel No : (022) 2644 9000 • Email Id : sebi@sebi.gov.in

ACCOUNT OPENING KIT INDEX

S.No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Instruction / Check List	Documents captures the instruction / checklist for filling KYC Form	2-3
2	Account Opening Form	A. KYC form - Document captures the basic information about the constituent.	4-8
		B. Document captures the additional information about the constituent relevant to trading account.	9-12
3	Rights & Obligations	Document stating the Rights & Obligations of the Stock Broker / trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading).	Separately Enclosed B4-B7
4	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	B8-B10
5	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	B11-B12
6	Policies and Procedures	Document describing significant policies and procedures of Manu Stock Broking Pvt. Ltd.	13-14
7	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	15
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
8	Authority Letter for Running Account	This document deals with an option given to client to settle his obligations towards funds and securities on a running basis & settle the same at monthly / quarterly interval at his discretion.	17
9	Declaration / Letter of Understanding	This document deals with various declaration and authorization from the client	18
10	Inter-Settlement of Securities	This document deals with the statement for the Inter-Settlement of Securities	18
11	Consent Letter for Digital Communication – ECN	This document deals with the clauses relating to issue of Contract Notes, daily margin statement, quarterly statement in electronic format	19
12	Declaration for Mobile Number	This document deals with declaration of mobile number of client for providing information / alert/ sms / call	19
13	Information to be provided by the client in relation to PMLA, 2002	This document deals with other additional voluntary information to be provided by the client in relation to prevention of Money Laundering Act, 2002.	20
14	Authorising for Debiting DP Charges	This document deals with the authorization about Debiting the Trading Account balances towards depository charges.	21
FORMATS			
15	Declaration by Firm (Sole-Proprietorship)		23
16	Declaration to be given by a Partnership Firm		24
17	Declaration by Karta & all Co-Parceners in case of H.U.F. Account		25
18	Board Resolution in case of Corporate / Trust		26
19	Declaration to be given by Corporates		27
ACKNOWLEDGEMENT			28
DEMAT ACCOUNT (ADDITIONAL KYC)			
20	Additional KYC form For DEMAT ACCOUNT for Individual		29
21	Additional KYC form for DEMAT ACCOUNT for Non-Individual		32
22	Charges for Depository Services (Tariff)		38
23	ACKNOWLEDGEMENT		40

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/Judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

B. PROOF OF IDENTITY (POI): - List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. PROOF OF ADDRESS (POA): - List of documents admissible as Proof of Address:

*(*Documents having an expiry date should be valid on the date of submission.)*

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook — Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. EXEMPTIONS/CLARIFICATIONS TO PAN

*(*Sufficient documentary evidence in support of such claims to be collected.)*

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures. • Address Proof & Photo ID Proof of wholetime directors / authorised signatory
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners. • Address Proof & Photo ID Proof of Partners
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees. • Address Proof & Photo ID Proof of Trustees
HUF *	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta. • Address Proof & Photo ID Proof of Karta • Last 2 Financial year's Balance Sheet
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

INSTRUCTIONS / CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

**In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals:
 - Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/ sub-broker's office.
 - In case of non-resident clients, employees at the stock broker's local office, overseas can do 'in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
- For non-individuals:
 - Form need to be initialized by all the authorized signatories.
 - Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Individuals

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

A. IDENTITY DETAILS

1. Name of the Applicant								
2. Father's/ Spouse Name								
3. a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female				b. Marital status		<input type="checkbox"/> Single <input type="checkbox"/> Married	
c. Date of birth	D	D	M	M	Y	Y	Y	Y
4. a. Nationality					b. Status		<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National	
5. a. PAN								
b. Unique Identification Number (UID) / Aadhaar, if any								
6. Specify the proof of Identity submitted								

B. ADDRESS DETAILS

1. Address for correspondence								
City/town/village		Pin Code		State		Country		
2. Contact Details	Tel. (Off.)				Tel. (Res.)			
Mobile No.		Fax		Email id				
3. Specify the proof of address submitted for correspondence address								
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant):								
City/town/village		Pin Code		State		Country		
5. Specify the proof of address submitted for permanent address								

C. OTHER DETAILS

1. **Gross Annual Income Details (please specify)** Income Range per annum

☐ Below Rs 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ >25 Lacs or

Net-worth as on (date)(dd/mm/yyyy) () (Net worth should not be older than 1 year)

2. **Occupation (please tick any one and give brief details)**

☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist

☐ Retired ☐ Housewife ☐ Student ☐ Others _____

3. **Please tick, if applicable**

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

4. **Any other information**

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Signature of the Applicant

Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

☐ (Originals verified) True copies of documents received

☐ (Self-Attested) Self Certified Document copies received

Signature of the Authorised Signatory _____

Date _____

Seal/Stamp of the intermediary

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Non-Individuals

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

A. IDENTITY DETAILS

1. Name of the Applicant								
2. Date of incorporation	D	D	M	M	Y	Y	Y	Y
Place of incorporation								
3. Date of commencement of business	D	D	M	M	Y	Y	Y	Y
4. a. PAN								
b. Registration No. (e.g. CIN)								
5. Status (please tick any one)	<div style="display: flex; flex-wrap: wrap;"> <div style="width: 50%;"><input type="checkbox"/> Private Limited Co.</div> <div style="width: 50%;"><input type="checkbox"/> Public Ltd. Co.</div> <div style="width: 50%;"><input type="checkbox"/> Body Corporate</div> <div style="width: 50%;"><input type="checkbox"/> Partnership</div> <div style="width: 50%;"><input type="checkbox"/> Trust</div> <div style="width: 50%;"><input type="checkbox"/> Charities</div> <div style="width: 50%;"><input type="checkbox"/> NGO's</div> <div style="width: 50%;"><input type="checkbox"/> FI</div> <div style="width: 50%;"><input type="checkbox"/> FII</div> <div style="width: 50%;"><input type="checkbox"/> HUF</div> <div style="width: 50%;"><input type="checkbox"/> AOP</div> <div style="width: 50%;"><input type="checkbox"/> Bank</div> <div style="width: 50%;"><input type="checkbox"/> Government Body</div> <div style="width: 50%;"><input type="checkbox"/> Non-Government Organization</div> <div style="width: 50%;"><input type="checkbox"/> Defense Establishment</div> <div style="width: 50%;"><input type="checkbox"/> BOI</div> <div style="width: 50%;"><input type="checkbox"/> Society</div> <div style="width: 50%;"><input type="checkbox"/> LLP</div> <div style="width: 50%;"><input type="checkbox"/> Others (please specify) _____</div> </div>							

B. ADDRESS DETAILS

1. Address for correspondence				
City/town/village	Pin Code	State	Country	
2. Contact Details Tel. (Off.)		Tel. (Res.)		
Mobile No.	Fax	Email id		
3. Specify the proof of address submitted for correspondence address				
4. Registered Address (if different from above)				
City/town/village	Pin Code	State	Country	
5. Specify the proof of address submitted for registered address				

C. OTHER DETAILS

1. Gross Annual Income Details (please specify) (Income Range per annum)	
<input type="checkbox"/> Below Rs 1 Lac	<input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25Lacs-1Crore <input type="checkbox"/> >1Crore
2. Net-worth as on (date) (dd/mm/yyyy) _____ () (Net worth should not be older than 1 year)
3. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:	
See Annexure A	
4. DIN/UID of Promoters/Partners/Karta and whole time directors	
See Annexure A & B	
5. Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors	
<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)	
6. Any other information:	

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Name & Signature of the Authorised Signatory _____

Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY☐ (Originals verified) True copies of documents received☐ (Self-Attested) Self Certified Document copies received

Signature of the Authorised Signatory _____

Date _____

Seal/Stamp of the intermediary

FOR NON-INDIVIDUALS ONLY**Annexure A**

Give details of Names of Promoter/Partners/Karta/Wholetime-director/others and residential address.

Photographs of partners/wholetime directors/individual promoters holding 25% or more, either directly or indirectly, in their shareholding of the Company.

(1)

Name.....
Designation.....
Shareholding in percentage.....
Residential address.....

PAN..... DIN/UID.....

Signature.....

(2)

Name.....
Designation.....
Shareholding in percentage.....
Residential address.....

PAN..... DIN/UID.....

Signature.....

(3)

Name.....
Designation.....
Shareholding in percentage.....
Residential address.....

PAN..... DIN/UID.....

Signature.....

(4)

Name.....
Designation.....
Shareholding in percentage.....
Residential address.....

PAN..... DIN/UID.....

Signature.....

(5)

Name.....
Designation.....
Shareholding in percentage.....
Residential address.....

PAN..... DIN/UID.....

Signature.....

FOR NON-INDIVIDUALS ONLY**Annexure B**

Names & Designations and photograph of persons authorised / Director to deal in securities on behalf of the company / firm / others & their residential address.

(1)

Name.....
Designation.....
Shareholding in percentage.....
Residential address.....

PAN..... DIN/UID.....

Signature.....

(2)

Name.....
Designation.....
Shareholding in percentage.....
Residential address.....

PAN..... DIN/UID.....

Signature.....

(3)

Name.....
Designation.....
Shareholding in percentage.....
Residential address.....

PAN..... DIN/UID.....

Signature.....

(4)

Name.....
Designation.....
Shareholding in percentage.....
Residential address.....

PAN..... DIN/UID.....

Signature.....

(5)

Name.....
Designation.....
Shareholding in percentage.....
Residential address.....

PAN..... DIN/UID.....

Signature.....

UNDERTAKING TO MEET ANNUAL REQUIREMENTS

- ☐ We undertake that we will submit a certified copy of Annual balance sheet every before 30th November.
- ☐ We further undertake to submit the updated share holding pattern every year before 30th November.

TRADING ACCOUNT RELATED DETAILS

For Individuals & Non-Individuals

A. BANK ACCOUNT DETAILS (Through which transactions will generally be routed)

	First Bank details	Second Bank details
Bank Name		
Branch		
Address		
Bank A/c No.		
A/c Type	<input type="checkbox"/> SB <input type="checkbox"/> CA <input type="checkbox"/> Others-in-case of NRI/NRE/NRO	<input type="checkbox"/> SB <input type="checkbox"/> CA <input type="checkbox"/> Others-in-case of NRI/NRE/NRO
MICR No.		
IFSC Code		

In case of more than two accounts, give details in additional sheet.

(Copy of a cancelled Cheque leaf / Pass Book / Bank Statement containing name of the constituent should be submitted).

B. DEPOSITORY ACCOUNT(S) DETAILS (Through which the transactions will generally be routed)

	First Demat A/c details	Second Demat A/c details
DP Name		
DP	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL
Beneficiary Name		
DP ID		
Beneficiary ID / BO ID		

In case of more than two accounts, give details in additional sheet.

(Copy of proof of Demat A/c containing the name of the Client, Client ID, DP ID should be submitted)

C. TRADING PREFERENCE

*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

1. National Stock Exchange of India Ltd. (NSE) - CM	<input type="checkbox"/> 1a _____
- F&O	<input type="checkbox"/> 1b _____
- CD	<input type="checkbox"/> 1c _____
2. Bombay Stock Exchange Ltd. (BSE) - CM	<input type="checkbox"/> 1d _____
- F&O	<input type="checkbox"/> 1e _____
- CD	<input type="checkbox"/> 1f _____

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

D. PAST ACTIONS

Details of any action/proceedings initiated/pending/taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- If client is dealing through the sub-broker, provide the following details:

Sub-broker's Name

SEBI Registration number

Registered office address

Ph:

Fax

Website

- Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers / sub-brokers, provide details of all)

Name of stock broker

Name of Sub-Broker, if any

Client Code

Exchange

Details of disputes/dues pending from/to such stock broker/sub- broker

F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): Yes / No
Specify your Email id, if applicable

E-mail ID _____

- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):

☐ Yes

☐ No

- Number of years of Investment/Trading Experience

No Prior Experience

Years in Cash Segment/Stock

Years in Derivatives

Years in any other investment related field

- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others

See Annexure B

Any other information

G. INTRODUCER DETAILS (optional)

Name of the Introducer			
	(Surname)	(Name)	(Middle Name)
Status of Introducer	<input type="checkbox"/> Sub-Broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Other(please specify) _____		
Address of the Introducer			
PAN of Introducer, if any		Phone No.	
Signature			
Attach Photocopy of Passport / Voter ID / PAN Card / Driving Licence of the Introducer.			

H. NOMINATION DETAILS (for individuals only)

<input type="checkbox"/> I/We wish to nominate		<input type="checkbox"/> I/We do not wish to nominate	
Name of the Nominee			
Relationship with the Nominee			
PAN of Nominee		Date of Birth of Nominee	
Address & ph. no. of the Nominee			
IF NOMINEE IS A MINOR, DETAILS OF GUARDIAN:			
Name of guardian			
Address and phone no. of Guardian			
Signature of guardian			
WITNESSES (Only applicable in case the account holder has made nomination)			
Name _____			Name _____
Signature _____			Signature _____
Address _____			Address _____

DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
- I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place _____

Date _____

 2 _____
 Signature of Client/ (all) Authorized Signatory (ies)

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

For Manu Stock Broking Pvt. Ltd.

Client's Signature  3 _____

Date

Signature of the Authorised Signatory

DISCLOSURE INFORMATION OF PROPRIETARY TRADING

To increase transparency in the dealings between us as a Trading Member and you as a Client we do hereby disclose that apart from Client Based Trading, we also do Proprietary Based Trading (self account) in ALL SEGMENTS of ALL EXCHANGES in which we are members. You are requested to please take a note of the same.

POLICIES & POCEDURES (MANDATORY)

A) Refusal of Orders for penny stocks :

Penny stocks are thinly traded shares of small companies which are traded infrequently and having very low volume. It may be difficult to buy/sell Penny stocks. Penny stocks include the shares which form part of list of illiquid securities, given by stock exchanges from time to time.

For Dealing in penny stock following procedures is being followed:

1. Authorization of the Senior Officer is to be taken if any client wants to invest in penny stocks.
2. The valid reason of the client to trade in penny stock is taken.
3. The financial position, background of the client is reviewed.

The order of a client shall be refused by the Member when it appears that

1. If the dealing amounts to manipulation of the price of the security.
2. If the dealing creates false or misleading appearance of trading in the securities market.
3. If the dealing in the security is not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of the penny stock for wrongful gain or avoidance of loss.

B) Setting Up Of Clients Exposure Limit:

MSBPL will normally give exposure at a predetermined multiple for the net credit balance lying in the client's ledger (across all segment) or on the unencumbered securities. Exposure on securities is given after appropriate haircut as per exchange. The amount of exposure may vary from client to client based on financial soundness (such as low, medium or high net worth) and turnover position of the client.

C) Applicable Brokerage Rate:

The rate of brokerage varies from clients to clients. For those clients having frequency in transaction, generally the brokerage is on the lower panel rather than for those who trade infrequently. The applicable brokerage is fixed with the mutual consent of the client, which is subject to further modification only after due consultation with the client as in Tariff Sheet.

D) Imposition of penalty/delayed payment charges :

Any amount which is overdue from the client towards trading either in the cash or derivative segments is charged with delayed payment charges.

E) The right to sell client's securities or close client's positions, without giving notice to the client, on account of non-payment of client's dues :

- a) Even after regular reminders, if client fails to make the payment of the margin money or pay-in amount, then we would square off his/her/their position and before taking such action in this direction, we telephonically/ vide e.mail explain all the details to the client about our proposed action in this regard.
- b) Principally, company follows the practice of giving reasonable opportunity of being heard and gives a verbal show cause notice to such clients. Thereafter, if company finds after giving reasonable time that the client has failed to pay the money due from him, we square off their position. However, in exceptional cases, like in case of those clients with whom company has a long term bonding and there is reassurance from the concerned client that they will make the payment in due course of time, in such circumstances, company may consider allowing them to continue with their positions. Further, this shall be limited to the extent of settlement / margin obligations.

F) Shortages in obligations arising out of internal netting of trades :

If there are shortages due to internal netting of client positions, the position of both the clients would be squared off by taking exchange auction price for that particular securities for that particular settlement, and if the same was not available, then the previous day closing price may be considered for the same.

4

Client's Signature

G) Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client :

A client is not allowed to take further position or the existing position of a client is closed on the following conditions:

1. If the ledger of a client shows continuous debit balances.
2. If the margin deposited by the client is not according to the exposure of the client.
3. If the dues are not settled by the client.
4. If the exchange is not allowing any further position in that scrip.
5. If broker's limit of taking exposure in that particular scrip comes to an end.

H) Temporarily suspending or closing a client's account at the client's request :

The account of the client shall be suspended/ closed on receipt of written request from the client specifying the reasons to close the account. If the reasons given are justified then the account of that client is suspended after effecting the settlement of the account. For accounts suspended on client's request, the same can be reactivated only after receiving a written request from the client.

I) Inactive Accounts

Clients who have not traded for 6 months would be considered as "Inactive" and their account will remain deactivated till the reactivation letter is submitted by the client with the copy of bank statements for the last 6 months for activation of Derivative/ F&O segment.

At the time of deactivation of Inactive accounts any credit balance will be cleared and securities held in margin account will be transferred to the client's demat account.

J) Deregistration of a client :

A client shall be deregistered upon fulfillment of the following conditions :

- a) On receipt of the specific request from the client to deregister himself and to close his accounts.
- b) On account of breach of terms and conditions of the agreement by the client.
- c) On account of any action taken by SEBI/ Stock Exchange/ any other authority against the constituents or its partners/ promoters/directors/ authorized persons or that they are debarred from accessing the securities market.

On the happening of the above, the account of a client is deregistered after effecting full and final settlement of the accounts and securities of the client.

Client Acceptance of Policies and Procedures stated hereinabove:

I / We hereby fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision / clauses in this document under any circumstances whatsoever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us through any one or more means / methods. I / We agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reason whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsory referred to while deciding any dispute / difference or claim between me / us and MSBPL before any court of law / judicial / adjusting authority including arbitrator / mediator, etc.

5 _____

Client's Signature (with rubber stamp)

(If Partner, Corporate, or other Signatory, then attest with company seal.)

Date :

Tariff Sheet

SEGMENT	Square off		Delivery	
	%	Minimum (Paisa)	%	Minimum (Paisa)
NSE - Capital Market				
NSE - Future				
BSE - Capital Market				
BSE - Future				

OPTION SEGMENT	Per Lot		Square Off		Delivery	
	Buy	Sell	%	Minimum	%	Minimum
NSE - Option						
NSE - Currency & Option						
BSE - Option						
BSE - Currency & Option						

(The above rates are exclusive of STT, Service Tax, Stamp Duty, SEBI Charges and Transaction Charges which will be separately charged as per prevailing rates from time to time.)

I/we have understood and accepted the Schedule of charges as stated herein above.

6 _____

Client's Signature

Non-Mandatory

AUTHORITY LETTER FOR RUNNING ACCOUNT

VOLUNTARY

D	D	M	M	Y	Y	Y	Y

To,
MANU STOCK BROKING PRIVATE LIMITED
21, Hemant Basu Sarani, 2nd Floor
Suite No.201-202, Kolkata – 700 001

Dear Sir / Madam,

I / We as a Client of Manu Stock Broking Private Limited for trading in Capital Market and / or Futures & Options and / or Currency Derivatives Segment of National Stock Exchange of India Limited (NSE) / Bombay Stock Exchange Limited (BSE) do hereby authorize Manu Stock Broking Private Limited (hereinafter known as '**MSBPL**') (Member: NSE, BSE) for the following:

1. In order to facilitate my / our smooth trading operations, to maintain a running account, instead of settlement to settlement clearance of funds/securities due to me/us. In this regard, I have been informed about the SEBI circular no. MIRSD/SE/Cir-19/2009 dated December 3, 2009. I have read and understood the same. I hereby authorize **MSBPL** to maintain a running account in all segments across the exchanges (NSE, BSE)
2. The payout of funds / securities may be retained by **MSBPL** and no interest shall be payable by **MSBPL** on such retention. I / We further agree that **MSBPL** shall not be liable for any claim of loss or profit or for any consequential, incidental, special or exemplary damages, caused by retention of such securities / funds under this agreement or otherwise.
3. I / We may be trading in derivatives segments and / or cash segments of NSE and/ or BSE and hence have obligations under various accounts with **MSBPL**. In this regard I / We hereby authorize **MSBPL** to act at its discretion of adjusting any credit balance under my / our various accounts against the debit in any account across segments / exchanges, without taking any further instruction from me / us. I / We also agree / understand that there shall be no inter-client adjustment for the purpose of settlement of running account.
4. I / We hereby further authorize **MSBPL** to hold and retain the said funds / securities until a request for the same is made by me / us, subject to the condition that sufficient margin in respect of my / our continued trading, across the exchange and / or across the segments of the exchanges are available with **MSBPL**. I / We further authorize **MSBPL** to keep my / our shares purchased through it, in its margin account and to deliver and / or adjust said shares against our sales in subsequent settlements i.e. inter transferring the shares from one settlement to another settlement in various segments across Exchanges, unless **MSBPL** receives any verbal or written instruction from me / us to deliver the same to my / our Depository Account. Similarly, I / We authorize **MSBPL** to issue a cheque against our fund pay out only after getting an instruction from me / us. Otherwise the same will remain with **MSBPL** against my / our margin obligation towards Capital Market Segment and / or F&O Segment and / or Currency Derivatives Segment.
5. I/We authorize **MSBPL** to set off a part or whole of the margin deposited by me/us against any of my/our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
6. The instructions / authorizations made by me / us as above are revocable and can be revoked / withdrawn at any time by giving a notice in writing by me / us.
7. I/We agree that (a) in respect of derivatives market transactions, **MSBPL** may retain the requisite securities/ funds on settlement date to take care of any margin obligation arising in next 5 days, calculated in the manner specified by the exchange, (b) in respect of cash market transactions, **MSBPL** may retain entire pay-in obligations of funds & securities due from me / us as on the date of settlement and for next day's business, **MSBPL** may retain funds / securities / margin to the extent of value of transactions executed on the day of such settlement.
8. I / We hereby authorize **MSBPL** to pledge my / our Securities / Funds (Collaterals) as margin with the Clearing Corporation(s) of the Exchange(s) towards my / our margin / exposure requirements.
9. I / We authorize **MSBPL** to transfer the funds / securities lying in my / our credit within one working day of the request if the same are lying with **MSBPL** and within three working days from the request if the same are lying with the Clearing Corporation(s) of the exchange(s).
10. I / We agree that fund given towards collaterals / margins in form of Bank Guarantee (BG) / Fixed Deposit Receipts (FDR's) may not be periodically settled.
11. The actual settlement of funds and securities shall be done by **MSBPL** at least once in a calendar quarter / month (~~strike out whichever is not opted~~). Further I / We confirm that I / We will bring to the notice of **MSBPL** any dispute arising from the settlement of Account or settlement so made in writing within 7 working days from the date of receipts of funds / securities or settlement of account or statement related to it, as the case may be at **MSBPL**'s registered office.

7

Client's Signature

DECLARATION / LETTER OF UNDERSTANDING

VOLUNTARY

D	D	M	M	Y	Y	Y	Y

To,
MANU STOCK BROKING PRIVATE LIMITED

21, Hemant Basu Sarani, 2nd Floor, Suite No.201-202, Kolkata – 700 001

Dear Sir / Madam,

I / We as a Client of Manu Stock Broking Private Limited for trading in Capital Market and / or Futures & Options and / or Currency Derivatives Segment of National Stock Exchange of India Limited (NSE) / Bombay Stock Exchange Limited (BSE) do hereby authorize Manu Stock Broking Private Limited (hereinafter known as '**MSBPL**') (Member: NSE, BSE) for the following:

1. I / We hereby authorize **MSBPL** not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I / We hereby request **MSBPL** to kindly accept my / our mandate holder's verbal orders / instructions in person or over phone and execute the same. I / We shall get the required details from the contract notes issued by **MSBPL**. I / We understand the risk associated with placement of verbal orders and accept the same. I / We shall not disown orders under the plea that the same was not placed by me / us.
2. I / We indemnify **MSBPL** and undertake to keep **MSBPL** indemnified against all losses, damages, actions which **MSBPL** may suffer or face, as a consequence of adhering to and carrying out my / our orders placed verbally. In case I / We wish to withdraw this consent I / We shall inform **MSBPL** in writing and get the same acknowledged by **MSBPL** at least one week in advance from the date of such withdrawal.
3. Trading on all Exchanges is in electronic mode, based on connectivity through various media such as VSAT, Leased line, ISDN, Modem and VPN, as well as through a combination of technologies and computer systems to place and route orders. I / We understand that there exists a possibility of communication failure or system problems or slow or delayed response from systems or a trading halt, or any such other problem / glitch which may result in **MSBPL** not being able to establish / provide access to the trading system / network, which may be beyond **MSBPL**'s control and may result in delays in processing of buy or sell orders either in part or full. I / We shall be fully liable and responsible for any such problems / fault and shall not make any claims on **MSBPL** for the same.
4. I / We agree not to hold **MSBPL** liable or responsible for any delay or default in performance of **MSBPL**'s obligations due to contingencies beyond **MSBPL**'s control, such as fire, flood, civil commotion, earthquake, riots, war, strikes, failure of systems, failure of internal links, government / regulatory actions or any other contingencies beyond **MSBPL**'s control.
5. I/We hereby confirm that I / We will never sublet / allow any third party access to the trading terminal provided to me by **MSBPL**, nor indulge in / facilitate any unauthorized trading under any circumstances.
6. All fines / penalties and charge levied upon **MSBPL** due to my / our acts / deeds or transactions may be recovered by **MSBPL** from my / our account.
7. Any queries related to securities delivered by **MSBPL** would be brought to the notice of **MSBPL** within seven days of the receipt of such securities in my / our Demat Account. Otherwise it can be presumed that I / We have checked all the securities received by me / us and that they are good as per the prevailing norms.
8. I / We hereby undertake to extend all co-operation to **MSBPL** in their endeavour towards compliance with Anti-Money Laundering norms, and to not hold **MSBPL** legally liable in any manner whatsoever towards the same.
9. I / We understand that information about me / us and my / our transactions may be reported by **MSBPL** to FIU / concerned authorities / regulators without any intimation to me / us and have no objection to the same.
10. I / We hereby reconfirm and accept all the terms and conditions mentioned hereinabove.
11. **MSBPL** is hereby advised to keep these instructions in force unless specifically informed by me / us in writing.

8

SIGNATURE OF CLIENT

INTER-SETTLEMENT OF SECURITIES

Clients are advised not to sell shares unless lying in their Demat Account. However, **Inter-Settlement** of Securities will be provided to the client on request. **MSBPL** will debit appropriate charges from the client account for this service. **MSBPL** will not be responsible / liable for any profit / loss incurred / sustained by the Client for mistake / failure of whom so ever for Inter-Settlement of Securities.

I / We hereby request you to provide me / us facility for Inter-Settlement of Securities after having read and agreed to the above.

9

SIGNATURE OF CLIENT

CONSENT LETTER FOR DIGITAL COMMUNICATION**VOLUNTARY**

To,
MANU STOCK BROKING PRIVATE LIMITED
 21, Hemant Basu Sarani, 2nd Floor, Suite No.201-202, Kolkata - 700 001

D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

Sub: CONSENT LETTER FOR RECEIPT OF ECN, DAILY MARGIN STATEMENT & OTHER DIGITAL DOCUMENTS

1. I / We hereby give my / our consent to receive Contract Notes / Trade Confirmation of the Trades executed by me / us, bills and / or Margin Statement and / or Account Statement and / or Notices and / or Circulars and / or amendments and / or such other correspondences and / or documents in electronic form (**Strike out whichever is not opted**) with reference to SEBI circular no. MRD/Dop/SE/Cir-20/2005 dated September 08, 2005 duly authenticated by means of a digital signature as specified in the Information Technology Act, 2000 and the Rules made there under, to my / our following email id(s):

Email Id: _____

Alternate Email Id: _____

2. I / We hereby agree that Manu Stock Broking Private Limited (hereinafter known as 'MSBPL') shall fulfill their legal obligations, if the above documents are sent electronically to the above email id(s). I / We agree that MSBPL will not be responsible for late / non-receipt of documents sent via electronic delivery due to change of email address / correspondence address as mentioned aforesaid. I / We also agree that MSBPL shall not take cognizance of out-of-office / out-of-station auto replies. I / We shall be deemed to have received such electronic mails. I / We agree that the log reports of MSBPL's dispatching software(s) shall be a conclusive proof of dispatch of such documents to me / us and such dispatch shall be deemed to mean receipt by me / us and shall not be disputed by me / us on account of any non-receipt / delayed receipt for any reason whatsoever. I / We am / are also aware that copies of such documents including contract notes are also available on the official web-site of MSBPL, for which I / We will be provided with a User ID and Password. In case of non-receipt of documents by mail, I / We shall intimate the same to MSBPL immediately in writing. In case I / We wish to withdraw this facility, I / We shall inform MSBPL in writing at least one week in advance from the date of such withdrawal.
3. I / We hereby agree that non-receipt of bounced mail notification by MSBPL shall amount to delivery of the Contract Notes and other documents at above mentioned email id(s). In case MSBPL receives bounced mail notification, MSBPL is obliged to send the Physical Contract Notes and other documents within prescribed time.
4. I / We shall ensure that the above mentioned email id(s) are kept valid and any change in the said email id(s) shall be communicated to MSBPL in writing. MSBPL shall verify the same and confirm to me / us about the change.

Thanking you,
 Yours faithfully,

Access to the following Research Services, Please tick to register for **EMAIL ALERTS**

☐ Fundamental ☐ Technical ☐ Others

10

Client's Signature

CONSENT LETTER FOR MOBILE NUMBER**VOLUNTARY**

To,
MANU STOCK BROKING PRIVATE LIMITED
 21, Hemant Basu Sarani, 2nd Floor, Suite No.201-202, Kolkata - 700 001

D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

I / We, _____ having PAN No. _____

do hereby declare that my / our Mobile Number is _____. Further, I / We authorize Manu Stock Broking Pvt. Ltd. (hereinafter referred to as 'MSBPL') that the same may be used for giving me any information / alert / sms / call.

I / We undertake and confirm to MSBPL to use my / our own judgement in taking a call and execute trade in the identified security(s) according to my / our financial strength / capabilities and shall not hold MSBPL responsible for any loss suffered by me / us on account of executing or omitting to execute any trades in pursuance of the SMS alert(s) and / or investment advices sent by MSBPL.

I / We further declare that the above mentioned statement is true and correct.

Thanking you,
 Yours faithfully,

☐ SMS Research calls, News and Live Updates,
 Please tick to register for **MOBILE ALERT SMS**

11

Client's Signature

Information provided by the Client in Relation to the Prevention of Money Laundering Act, 2002

Name of the Client : _____

If Business / Profession : Nature of Business : _____ Industry : _____

Details of the relatives / group company, having account with MSBPL :

	Name	Relationship	UCC
1.			
2.			
3.			
4.			

Details of the Corporate / Partnership Firm / Trusts etc. where Client is affiliated

	Name	Equity Type	Nature of Business	Relationship	UCC
1.					
2.					
3.					
4.					

I / We hereby submit and agree to submit every year following documents to MSBPL, before the due date as prescribed by MSBPL

1. Profit and Loss Account & Capital Account
2. Balance Sheet
3. Self attested copy of Income Tax Return (If return not available, please furnish Form 16)
4. Networth Certificate
5. Shareholding Pattern

I / We confirm that I will immediately inform MSBPL in case I am convinced under any grounds or any action is taken against me/us by any authority.

Do you intend to invest in the Stock market with : ☐ Own Funds ☐ Borrowed Funds

If Borrowed Funds, then please specify Sources of funds :

Sources	Amount (Rs.)

Certificated / Opinion Report from the Banker / Financial Institution confirming that there has been no default in the client's account to be attached.

I / We hereby declare that I/We am/are beneficial owner of the Trading/On-line account opened with MSBPL

12 _____
Client's Signature

Client's Name

AUTHORIZATION FOR DEBITING D. P. CHARGES

To,
MANU STOCK BROKING PRIVATE LIMITED
21, Hemant Basu Sarani, 2nd Floor
Suite No.201-202, Kolkata - 700 001

Dear Sir / Madam

Ref: DP ID _____ DP Client ID _____

Sub: Debiting my Trading Account towards depository charges.

I / We hereby authorize you to debit my / our Trading Client Code _____ for all the charges relating to the above mentioned Demat Account. I / We understand that charges are regularly incurred against my / our above mentioned Demat Account and hence this authorization shall remain valid on an on going basis. I / We also authorize you to retain my / our shares till the clearance of the dues in the trading as well as demat account.

In case I / We wish to withdraw this authorization, I / We shall inform MSBPL in writing and acknowledge the same at least one week in advance from the date of withdrawal.

Thanking you,
Yours faithfully,

13 _____
Client's Signature

Formats

ANNEXURE - 1
DECLARATION BY FIRM (SOLE-PROPRIETORSHIP)
(To be obtained on Pre-Printed Letter Head of the Firm)

Dated :

To
Manu Stock Broking Pvt. Ltd.
21, Hemant Basu Sarani, 2nd Floor
Suite No. 201-202, Kolkata-700 001

Dear Sir,

I refer to the trading account opened with you in the name of and declare and authorize you as under :

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary Account No. with Depository: having DP ID opened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for shares purchased and / or sold by the firm will be handled and completed through transfers to / from the above-mentioned account. I recognize and accept transfers made by you to the beneficiary account as completion of obligations by you in respect of trades executed in the above trading account of the firm.

_____ (Please sign with stamp of the firm)

Further I, the undersigned, am the sole proprietor of the firm and am solely responsible for the liabilities thereof. I shall advise you in writing of any change that takes place in the constitution of the firm and I will be personally liable to you for all the obligations that the firm may incur in the course of dealings with you and undertake to personally discharge such liabilities.

The cheques/DDs may be issued by me from my individual account or my joint account with some one else. This said amounts so given shall be solely/exclusively for credit to the account of my sole proprietorship firm M/s..... with Manu Stock Broking Pvt. Ltd. I shall not lay any claim whatsoever in future against Manu Stock Broking Pvt. Ltd. for affording credit of such cheques/DDs issued from my individual/joint account credit of which has been provided by Manu Stock Broking Pvt. Ltd. to the account of my proprietorship firm M/s.....

Yours truly

(Please sign **without** stamp of the firm)

ANNEXURE - 2
DECLARATION TO BE GIVEN BY PARTNERSHIP
(To be obtained on Pre-Printed Letter Head of the Firm)

Dated :

To
Manu Stock Broking Pvt. Ltd.
21, Hemant Basu Sarani, 2nd Floor
Suite No. 201-202, Kolkata-700 001

Dear Sir,

We refer to the trading account opened with you in the name of..... and declare and authorize you as under:

We recognize that a beneficiary account can not be opened with a Depository Participant in the name of the partnership firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations, pursuant to the trading operations, we authorize you to recognize the beneficiary account No. With Depository: having DP ID opened as a joint account in the names of the partners of the firm.

We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfers to/from the above-mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Signature

Signature

Signature

Instructions : Should be signed by all partners of the firm

ANNEXURE - 3

DECLARATION BY KARTA & ALL CO-PARCENERS IN CASE OF HUF ACCOUNT (MANDATORY IN CASE OF HUF)

Manu Stock Broking Pvt. Ltd.

21, Hemant Basu Sarani, 2nd Floor, Suite No. 201-202, Kolkata-700 001

Dated :

A/c. No.....

1. WHEREAS the Hindu Undivided Family of.....is carrying on business in the name and style of At
.....or we intent to deal, have or desire to have Share Trading Account with MANU STOCK BROKING PVT. LTD. (hereinafter referred as "MEMBER"). We, undersigned hereby confirm and declare that we are the present adult co-parceners of the said joint family; that is the present Karta of the said joint family.
2. We confirm that affairs of the H.U.F. firm are carried on mainly by the Kartaon behalf and in the interest and for the benefit of all the co-parceners. We hereby authorize the Kartaon behalf of the H.U.F. to deal on Capital Market segment (CM), Derivatives (Futures and Options & Currency) or any other segment that may be introduced by NSE/BSE in future and the said Trading Member is hereby authorized to honor all instructions oral or written, given by him on behalf of the H.U.F. Mr.....is authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through MANU STOCK BROKING PVT. LTD. on behalf of the H.U.F..... He is also authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said H.U.F. to the Member and agree and confirm that any claim due to the Member from the said H.U.F. shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parcener of the said joint family, including the share of the minor co-parceners, if any.
3. We undertake to advise the Member in writing of any change that may occur in the Kartaship or in the constitution of the said joint family or of said H.U.F. and until receipt of such notice by the Member which shall be binding on the said joint family and the said H.U.F. and on our respective estates. We shall, however, continue to be liable jointly and severally to the Member for all dues obligations of the said H.U.F. in the Member's book on the date of the receipt of such notice by the Member and until all such dues and obligations shall have been liquidated and discharged.
4. We recognize that a beneficiary account can be opened with Depository Participant only in the name of Karta as per regulations. To facilitate the operation of the above share trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account no.....with Depository..... opened in the name of who is the Karta of H.U.F.
5. The names and dates of birth of the present minor co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the said members attains the age of majority, is authorized to act on behalf of, and bind the said H.U.F.

Name of the Minor

Father's Name

Date of Birth

_____	_____	_____
_____	_____	_____
_____	_____	_____

6. We have received and read a copy of the Member's rules and regulations for the conduct of Share Trading Accounts and we agree to comply with and be bound by the said rules now in force or any changes that may be made therein from time to time.

Thank you,

Yours truly,

Name :

Address :

.....
(Signature of Karta)

(Along with rubber stamp)

.....
(Signature of Co-parcener)

.....
(Signature of Co-parcener)

(25)

.....
(Signature of Co-parcener)

ANNEXURE - 4
FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATE
(To be obtained on Pre-Printed Letter Head of the Firm)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS
OF M/S. Ltd. AND
HAVING ITS REGISTERED OFFICE AT..... HELD ON DAY
.....OF, 200..... AT.....

Resolved that the Company do agree with M/S. MANU STOCK BROKING PVT. LTD., Member of the National Stock Exchange of India Limited (NSE), Bombay Stock Exchange Ltd. (BSE) for the purpose of dealing on Capital Market segment, Futures and Options segment, Debt segment, Currency Derivative Segment or any other segment that may be introduced by NSE/BSE in future and the said Trading Member be and is hereby authorized to honour instructions, oral or written, given on behalf of the company by any of the under noted authorized signatories:

Sr. No.	Name	Designation
---------	------	-------------

1.

2.

3.

who is/are authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through MANU STOCK BROKING PVT. LTD. on behalf of the Company.

RESOLVED FURTHER THAT Mr. and/or Mr., Directors and/or Mr. Authorized Signatory of the Company be and are hereby authorized to sign, execute and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this resolution.

AND RESOLVED FURTHER THAT, the Common Seal of the Company be affixed, wherever necessary, in the presence of any Directors or of any one director and Company Secretary, who shall sign the same in token of the presence.

For.....Ltd. Chairman / Company Secretary

Specimen Signatures of the Authorized Persons.

Sl. No.	Name	Specimen Signatures
---------	------	---------------------

1.

2.

3.

The above signatures to be attested by the person signing the resolution for account opening on behalf of the Company.

ANNEXURE - 5
DECLARATION TO BE GIVEN BY CORPORATES
(To be obtained on Pre-Printed Letter Head of the Firm)

Dated :

To
Manu Stock Broking Pvt. Ltd.
21, Hemant Basu Sarani, 2nd Floor
Suite No. 201-202, Kolkata-700 001

Dear Sir,

We hereby certify that the following resolution of the Board of Directors of
Limited was duly passed at the Board meeting held on dated that

1. The company is empowered to deal in equities, derivatives, debentures, debt products and agrees to the terms of the Member as per Member Constituent Agreement.
2. The Member is hereby authorized to act on the oral or written instructions of any one or more of the following persons He/they is /are authorized to operate the account and to deal in equities, derivatives, debentures, debt products and currency derivative and to sell, purchase, transfer, endorse, negotiate documents and / or otherwise deal through MANU STOCK BROKING PVT. LTD. on behalf of the company
He/they is/are also authorized to sign, execute and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

Name(s)

Signature(s)

Signature of Chairman / Director _____

AND/or

Signature of Company Secretary

(Please attach a certified true copy of the resolution)

ACKNOWLEDGEMENT

From,

To,

MANU STOCK BROKING PRIVATE LIMITED

21, Hemant Basu Sarani, 2nd Floor, Suite No.201-202, Kolkata - 700 001

Dear Sir / Madam,

Ref: Acknowledgement for the receipt of documents

This is to acknowledge the receipt of a copy of the duly executed following documents viz.,

1. Client Registration Form (KYC)
2. Rights & Obligations (Separately Enclosed)
3. Risk Disclosure Document (Separately Enclosed)
4. Guidance Note (Separately Enclosed)
5. PMLA, 2002 Literature (Separately Enclosed)
6. Policies & Procedures
7. A copy of other documents executed by me as a client.

I hereby declare that I have the full intimation of the trading code and the Unique Client Code allotted to me and the Email ID for the purpose of receiving statements and other details in case provided by me, has been confirmed by Manu Stock Broking Private Limited through their KYC

Thanking you,

Yours faithfully,

14

Client's Signature

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT FOR INDIVIDUAL

Manu Stock Broking Pvt. Ltd.

Depository Participant of Central Depository Services (I) Ltd.

21, Hemant Basu Sarani, 2nd Floor, Suite No. 201-202, Kolkata-700 001, Telefax : 4019 4100/16 • Fax : 4019 4124

E-mail : dpcdsl@manustock.in • Website : www.manustock.in

DP ID : 12068000 • SEBI Regn. No. : IN-DP-CDSL-586-2010



(To be filled by the Depository Participant)

Application No.	MSBPL										Date	DDMMYYYY									
DP Internal Reference No.																					
DP ID											Client ID										

(To be filled by the applicant in **BLOCK LETTERS** in English.)

I / We request you to open a Demat Account in my / our name as per following details :

HOLDERS DETAILS

Sole / First Holder's Name	PAN																
	UID																
Second Holder's Name	PAN																
	UID																
Third Holder's Name	PAN																
	UID																

Name*																
-------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust etc. although the account is opened in the name of the natural persons, the name of the Firm, Association of Person (AOP), Partnership Firm, Unregistered Trust etc. should be mentioned above.

TYPE OF ACCOUNT (Please tick whichever is applicable)

STATUS	SUB-STATUS		
<input type="checkbox"/> INDIVIDUAL	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual HUF / AOP	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Minor	<input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> NRI-Depository Receipts <input type="checkbox"/> Others (Specify) _____
<input type="checkbox"/> FOREIGN NATIONAL	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (Specify) _____		

DETAILS OF GUARDIAN (in case the account holder is minor)

Guardian's Name		PAN	
Relationship with the applicant			

I / We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be "Yes")	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the Pledge instructions in my / our account without any other further instruction from my / our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report [Tick the application box. If not marked the default option would be in Physical]	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic
I / We wish to receive dividend / interest directly in to my bank account as given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No

N.B. : Please put your signature where ⊗ is marked

BANK DETAILS (DIVIDEND BANK DETAILS)

Bank Code (9 Digit MICR Code)																							
IFS Code (11 character)																							
Account Number																							
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (Specify) _____																						
Bank Name																							
Branch Name																							
Bank Branch Address																							
	City						State						Country				PIN						

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)

(ii) Photocopy of the Bank Statement having name and address of the BO (or)

(iii) Photocopy of the Passbook having name and address of the BO, (or)

(iv) Letter from the Bank.

-In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

OTHER DETAILS

Gross Annual Income Details	Income Range per annum : <input type="checkbox"/> Upto Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000		
	Net Worth as on (Date) D D M M Y Y Y Y Rs. _____ (Net worth should not be older than 1y ear)		
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (specify) _____		
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)		
Any other information			

SMS Alert Facility (Refer to Terms & Conditions given as Annexure 2.4)	Mobile No. +91 _____ [(Mandatory, if you are giving Power of Attorney / POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option.)													
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2.6	I wish to avail the TRUST facility using Mobile number registered for SMS Alert Facility. I have read and understand the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST													
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 33%;">Sotck Exchange Name / ID</th> <th style="width: 33%;">Clearing Member Name</th> <th style="width: 33%;">Clearing Member ID (Optional)</th> </tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </table>	Sotck Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)										
	Sotck Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)											
Easi	To register for easi, please visit our website www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.													

NOMINATION DETAILS

I / We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that :

- ☐ I/We do not wish to nominate any one for this demat account.
- ☐ I/We nominate the following person who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of my / our death.

Nomination Registration No.	Dated (dd-mm-yyyy)

Photograph of Nominee

Passport size photograph
(Please sign across
the photograph)

Photograph of Guardian (in case of Nominee is minor)

Passport size photograph
(Please sign across
the photograph)

Full Name of the Nominee							
Address							
City							
Country						State	
Telephone No.						PIN Code	
PAN						Fax No.	
E-mail ID						UID	
Relationship with BO (if any)							
Date of birth (mandatory if nominee is a minor)	D	D	M	M	Y	Y	Y

As the nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders, I / We appoint following person to act as **Guardian** :

Full Name of Guardian of Nominee							
Address							
City							
Country						State	
Telephone No						PIN Code	
E-mail ID						Fax No.	
Relationship of Guardian with Nominee						Age	

This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me / us.

Note : Two witnesses shall attest signature(s) / thumb impression(s)

Details of the Witness

	First Witness	Second Witness
Name of Witness		
Address of witness		
Signature of witness		

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First / Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature	⊗	⊗	⊗

(Signatures should be preferably in black ink)

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT FOR NON-INDIVIDUAL



Manu Stock Broking Pvt. Ltd.

Depository Participant of Central Depository Services (I) Ltd.

21, Hemant Basu Sarani, 2nd Floor, Suite No. 201-202, Kolkata-700 001, Telefax : 4019 4100/16 • Fax : 4019 4124

E-mail : dpcdsl@manustock.in • Website : www.manustock.in

DP ID : 12068000 • SEBI Regn. No. : IN-DP-CDSL-586-2010



(To be filled by the Depository Participant)

Application No.	MSBPL										Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																			
DP ID	1	2	0	6	8	0	0	0	Client ID										

(To be filled by the applicant in **BLOCK LETTERS** in English.)

I / We request you to open a Demat Account in my / our name as per following details :

HOLDERS DETAILS

Sole / First Holder's Name		Search Name		PAN														
Second Holder's Name				PAN														
Third Holder's Name				PAN														
				UID														

Name*																		
-------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust etc. although the account is opened in the name of the natural persons, the name of the Firm, Association of Person (AOP), Partnership Firm, Unregistered Trust etc. should be mentioned above.

TYPE OF ACCOUNT (Please tick whichever is applicable)

Status	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Banks	<input type="checkbox"/> Trust	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> OCB	<input type="checkbox"/> FII	Sub-Status (To be filled by the DP)								
	<input type="checkbox"/> CM	<input type="checkbox"/> FI	<input type="checkbox"/> Clearing House	<input type="checkbox"/> Other (Specify)											
Date of Incorporation	D	D	M	M	Y	Y	Y	Nationality	<input type="checkbox"/> Indian	<input type="checkbox"/> Others (specify)					
SEBI Regn. No. (if Applicable)							SEBI Regn. Date	D	D	M	M	Y	Y	Y	Y
RBI Regn. No. (if Applicable)							RBI Approval Date	D	D	M	M	Y	Y	Y	Y

I / We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be "Yes")	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the Pledge instructions in my / our account without any other further instruction from my / our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report [Tick the application box. If not marked the default option would be in Physical]	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic

CLEARING MEMBERS DETAILS (TO BE FILLED BY CMS ONLY)

Name of the Stock Exchange																			
Name of CC / CH																			
Clearing Member ID											Trading member ID								

I / We wish to receive dividend / interest directly in to my bank account as given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
--	--

BANK DETAILS (DIVIDEND BANK DETAILS)

Bank Code (9 Digit MICR Code)									
IFS Code (11 character)									
Account Number									
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (Specify) _____								
Bank Name									
Branch Name									
Bank Branch Address									
	City		State		Country		PIN		

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)

(ii) Photocopy of the Bank Statement having name and address of the BO (or)

(iii) Photocopy of the Passbook having name and address of the BO, (or)

(iv) Letter from the Bank.

-In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

OTHER DETAILS

Gross Annual Income Details	Income Range per annum : <input type="checkbox"/> Upto Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs. 25,00,000 to Rs.1,00,00,000 <input type="checkbox"/> More than Rs. 1,00,00,000
	Net Worth as on (Date) D D M M Y Y Y Y Rs. _____ (Net worth should not be older than 1y ear)
Please tick	if any of the authorized signatories / Promoters / Partners / Karta / Trustees / Wholetime Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) <input type="checkbox"/> Please provide details as per Annexure 2.2A
Any other information	

SMS Alert Facility (Refer to Terms & Conditions given as Annexure 2.4)	Mobile No. +91 _____ [(Mandatory, if you are giving Power of Attorney / POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option.)									
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2.6	I wish to avail the TRUST facility using Mobile number registered for SMS Alert Facility. I have read and understand the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <thead> <tr> <th style="width: 33%;">Stock Exchange Name / ID</th> <th style="width: 33%;">Clearing Member Name</th> <th style="width: 33%;">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td style="height: 30px;"></td> <td></td> <td></td> </tr> <tr> <td style="height: 30px;"></td> <td></td> <td></td> </tr> </tbody> </table>	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)								
Easi	To register for easi, please visit our website www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.									

DECLARATION

I/We have received and read the document of Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/ We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	Sole/First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature	⊗	⊗	⊗

(In case of more authorised signatories, please add annexure)

(Signatures should be preferably in black ink)

[For Non-individual]

Annexure 2.2A

Details of Politically Exposed Persons (PEP) / Related to Politically Exposed Person (RPEP)

Name of holder _____ PAN of the holder _____

Sr. No.	Name of the Authorized signatories / Promoters / Partners / Karta / Trustees / Wholetime Directors	Relation with the holder (i.e. promoters, wholetime directors etc.)	Please tick the relevant option
1.			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
2.			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
3.			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
4.			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

PEP: Politically Exposed Persons

Name & Signature of the Authorised Signatories Date ____ / ____ / ____

RPEP: Related to Politically Exposed Person (RPEP)

AUTHORITY LETTER IN CASE OF HUF

To
M/s MANU STOCK BROKING PVT. LTD.
 21, Hemant Basu Sarani, 2nd Floor
 Suite No. 201-202, Kolkata - 700 001

I, _____ is the present Karta of the said HUF.

I declare that the said members given below are in my Hindu Undivided Family [HUF]

Sl. No.	Member's Name	Relation with Karta	Age	PAN	Address	Signature of Member
1.						
2.						
3.						
4.						
5.						

⊗

Karta's Signature with Stamp

ANNEXURE -2.4

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS nsmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such ice. amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I/ We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of REGISTRATION/ MODIFICATION (Please cancel out what is not applicable)

BOID

1	2	0	6	8	0	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DP ID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent

+91																	
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of : _____

Email ID : _____

(Please write only ONE valid email ID on which communication; if any, is to be sent)

⊗

Sole / First Holder

⊗

Second Holder

⊗

Third Holder

Place : _____

Date : _____

Annexure 2.6

**TERMS AND CONDITIONS FOR AVAILING
TRANSACTION USING SECURED TEXTING (TRUST) SERVICE OFFERED BY CDSL.**

1. Definitions :

In these terms and conditions the terms shall have following meaning unless indicated otherwise.

- i. "Depository" means Central Depository Services (India) limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service or providing facility to receive / give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the service provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time... Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository.
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send / receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO / CM should approach their DPs to ensure that the obligations are fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slip to the DP.
 10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
 11. The BO further acknowledges that the BO / CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the parties agree that CDSL's decision on the same shall be final and binding on both Parties.
 12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP
 13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
 14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such service providers or any other third party.
 15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
 16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
- 17. Indemnity :**
- In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
- 18. Disclaimer :**
- Depository shall be absolved of any liability in case :
- a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - b. There is any lapse or failure on the part of the service providers or any third party affecting the said facility and that Depository makes no warranty as the quality of the service provided by any such service provider.
 - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the facility.

Charges for Depository Services

Sr. No.	Description of Charges	Schemes	
		MSBPL	Other
1.	Account Opening	Nil	Nil
2.	Account Maintenance Charges Individual : Corporate :	300/- 1000/-	400/- 1500/-
3.	Dematerialisation	Rs. 5/- per certificate and Rs. 60/- per DRF Request for postage charges plus Rs. 30/- per rejection.	Rs. 5/- per certificate and Rs. 60/- per DRF Request for postage charges plus Rs. 30/- per rejection.
4.	Rematerialisation	Rs. 12/- for every 100 Securities of part thereof plus Rs. 60/- Courier Charges	Rs. 12/- for every 100 Securities of part thereof plus Rs. 60/- Courier Charges
5.	Deliveries / Debit Transaction	Rs. 15/- per ISIN Off. Market: 0.01% of the Value of transaction (minimum Rs. 25/-)	Rs. 15/- per ISIN Off. Market: Rs. 25/- per transaction or 0.01% (minimum Rs. 25/-)
6.	Pledge / Lending / Borrowing Charges	Rs. 50/- per ISIN or 0.01% of the value of transaction whichever is higher	Rs. 50/- per ISIN or 0.01% of the value of transaction whichever is higher

- Bills will be payable monthly with 18% interest p.a. or part thereof for delayed payment.
- Cheque dishonour charges Rs. 50/-.
- Valuation of Securities will be as per price on day of transaction.
- The charges are subject to revision at the DP's sole discretion
- Same day instructions will be received solely at client's risk.
- Despatch of statement will be monthly
- The above charges are exclusive of service tax/Cess which is chargeable as applicable.
- Charges quoted above are for the services listed above. Any services not quoted above will be charged separately.
- The above charges will be effective from 01 January 2015 onwards.

⊗

Signature of the 1st Holder

⊗

Signature of the 2nd Holder

⊗

Signature of the 3rd Holder

FORMAT OF COPY OF BOARD RESOLUTION
(On the Letterhead of the Company)

Extracts of the Minutes of the Meeting of the Board of Directors of _____
Name of the Company) held at its registered office at _____
(registered address of the company) on _____ (date of resolution)

RESOLVED THAT a Depository Account under CDSL be opened with MANU STOCK BROKING PRIVATE LIMITED (Depository Participant) and the following person/s are authorized to execute any agreements/documents, execute requests for dematerialization of securities, issue instructions to debit and credit our securities account as well as issue any instructions in connection with depository services and we hereby honour and abide by all instructions given by these persons on our behalf in respect of operations of the above mentioned account for the purpose of depository operations.

Name	Designation	Specimen Signature
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Or such persons as may be authorised by the Company from time to time and to act on any instructions so given relating to the account. The mode of operations in this account is _____
(please mention as desired by the Company)

RESOLVED FURTHER THAT the aforesaid person/s may be authorised to execute the necessary documents required by the Depository Participant in this connection to operate the 'Depository Account'.

FURTHER RESOLVED THAT a certified true copy of this resolution be forwarded to the Depository Participant and the Depository Participant be instructed to act thereupon.

Certified True Copy

For _____ (Name of the Company)
Chairman / Director / Company Secretary

Annexure 2.3

Instructions to the Applicants (BOs) for account opening

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

ACKNOWLEDGMENT

From

To

M/s MANU STOCK BROKING PVT. LTD.

21, Hemant Basu Sarani, 2nd Floor

Suite No. 201-202, Kolkata - 700 001

Ref. : Acknowledgment for the receipt of documents.

This is to acknowledge the receipt of a copy of

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories and 'I/We have received and read the copy of Rights and Obligations document.'

Thanking You

Yours faithfully

⊗

(Client Signature)

