

Sl.No.	Name of the Document	Brief Significance of the Document	Page No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1	Account Opening Form	KYC form – Document that captures the basic information about the constituent and instructions/checklist for filling KYC form.	2 - 5
2	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) and charges related to demat account.	6
3	Rights and Obligations	Provided to client (consent declaration on P-5)	
4	Risk Disclosure Document (RDD)	Provided to client (consent declaration on P-5)	
5	Guidance note	Provided to client (consent declaration on P-5)	
6	Policies and Procedures	Provided to client (consent declaration on P-5)	
<b>MANDATORY DOCUMENTS FOR OPENING OF DEMAT ACCOUNT</b>			
7	Application for Demat Account	Details are required to open demat account	8
8	Rights and Obligations BO-DP	Provided to client (consent declaration on P-5)	
9	Tariff sheet	Tariff structure for demat account	7
<b>VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
10	Power of Attorney (POA)	POA provided to broker to facilitate payin of securities	9-11
11	DIS Issue, Mobile/Email consent	Option form to issue DIS, Mobile / Email consent	12
12	Running Account Authorisation	Letter of authorization for maintain a Running Account	13
13	Authorisation for ECN	Consent letter for receiving the contract note by email	14
14	Undertaking	Contains voluntary undertakings by the client with respect to Vachana's internal operations during the course of the relationship with Vachana.	15 - 18
15	Authorisation		19 - 21

<b>TRADING MEMBER CONTACT DETAILS</b>	
Name of the Trading Member	VACHANA INVESTMENTS PRIVATE LIMITED
Member of NSE (CM / FO / CD)	SEBI Regn. No. : INZ230001232
NSE Member Code	90005
Depository (CDSL)	IN-DP-CDSL-716-2014 (DP ID – 79100)
Registered / Corporate and Correspondence Office Address	No. 412, 4th Floor, 2nd Main Road, Near Dattatreya Temple, 8 <sup>th</sup> Cross Malleswaram, Bangalore – 560003.
Phone No / Website / Email	080 – 49674967 / www.vachanainvestments.com / info@vachanainvestments.com
<b>NAME &amp; DETAILS OF THE CLEARING MEMBER</b>	
NSE Cash	Vachana Investments Pvt Ltd.   SEBI Regn. No. INZ230001232
NSE Futures & Options	Edelweiss Custodial Services Ltd.   SEBI Regn. No. INF231440738
NSE Currency Derivatives	Edelweiss Custodial Services Ltd.   SEBI Regn. No. INE231440738
<b>COMPLIANCE OFFICER DETAILS</b>	
Name: Bhagya R Jagalur   Phone: 080 – 49674955   Email: compliance@vachanainvestments.com	
For any grievance / dispute please contact Vachana Investments Pvt Ltd at the above address or Email ID: complaints@vachanainvestments.com and Phone no. 91-80-49674967. In case not satisfied with the response, please contact NSE by mail <a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a> and Phone No. 91-22-26598190	

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

<p><b>A. IMPORTANT POINTS:</b></p> <ol style="list-style-type: none"> <li>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.</li> <li>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.</li> <li>If any proof of identity or address is in a foreign language, then translation into English is required.</li> <li>Name &amp; address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.</li> <li>If correspondence &amp; permanent address are different, then proofs for both have to be submitted.</li> <li>Sole proprietor must make the application in his individual name &amp; capacity.</li> <li>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.</li> <li>For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.</li> <li>In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.</li> <li>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.</li> <li>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.</li> </ol> <p><b>B. Proof of Identity (POI):</b> List of documents admissible as Proof of Identity:</p> <ol style="list-style-type: none"> <li>PAN card with photograph this is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).</li> <li>Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.</li> <li>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.</li> </ol> <p><b>C. Proof of Address (POA):</b> List of documents admissible as Proof of Address (*Documents having an expiry date should be valid on the date of submission.)</p> <ol style="list-style-type: none"> <li>Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill / Insurance Copy / Unique Identification Number (UID) (Aadhaar).</li> <li>Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more</li> </ol>	<p>than 3 months old.</p> <ol style="list-style-type: none"> <li>Bank Account Statement/Passbook -- Not more than 3 months old.</li> <li>Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.</li> <li>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.</li> <li>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.</li> <li>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.</li> <li>The proof of address in the name of the spouse may be accepted.</li> <li>Aadhaar Letter issued by UIDAI shall be admissible as Proof of address in addition to Proof of Identity.</li> <li>E-KYC service launched by UIDAI shall also be accepted as a valid process for KYC verification. The information containing the relevant client details &amp; photograph made available from UIDAI as a result of e-KYC process shall be treated as a valid proof of address.</li> </ol> <p><b>D. Exemptions/clarifications to PAN</b></p> <p>(*Sufficient documentary evidence in support of such claims to be collected.)</p> <ol style="list-style-type: none"> <li>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.</li> <li>Investors residing in the state of Sikkim.</li> <li>UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.</li> <li>SIP of Mutual Funds upto Rs 50, 000/- p.a.</li> <li>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.</li> </ol> <p><b>E. List of people authorized to attest the documents.</b></p> <ol style="list-style-type: none"> <li>Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation &amp; Seal should be affixed on the copy).</li> <li>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.</li> </ol>
Types of entity	Documentary Requirements
Corporate	<ul style="list-style-type: none"> <li>Copy of the balance sheet for the last 2 financial years (to be submitted every year).</li> <li>Copy of latest share holding pattern including list of all those holding control, either directly or indirectly in the company in terms SEBI takeover Regulations, duly certified by the company secretary /whole time director/MD (to be submitted every year)</li> <li>Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations</li> <li>Photograph, POI, POA, PAN of individual promoter holding control – either directly or indirectly</li> <li>Copies of the memorandum and Articles of Association and certificate of incorporation</li> <li>Copy of the board resolution for investment in securities markets</li> <li>Authorised Signatories list with specimen signatures</li> </ul>
Partnership firm	<ul style="list-style-type: none"> <li>Copy of the balance sheet for the last 2 financial years (to be submitted every year).</li> <li>Certificate of registration (for registered partnership firms only)</li> <li>Copy of partnership deed   Authorised signatories list with specimen Signatures</li> <li>Photograph, POI, POA, PAN of partners</li> </ul>
Trust	<ul style="list-style-type: none"> <li>Copy of the balance sheet for the last 2 financial years (to be submitted every year).</li> <li>Certificate of registration (for registered trust only). Copy of Trust deed</li> <li>List of trustees certified by managing trustees/CA</li> <li>Photograph, POI, POA, PAN of trustees</li> </ul>
HUF	<ul style="list-style-type: none"> <li>Pan Of HUF   Deed of declaration of HUF/List of coparceners</li> <li>Bank Pass-Book/Bank statement in the name of HUF   Photograph, POI, POA, PAN of Karta</li> </ul>
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> <li>Proof of existence/Constitution document</li> <li>Resolution of the managing body &amp; power of Attorney granted to transact business on its behalf</li> <li>Authorized signatories list with specimen signatures</li> </ul>
Banks/Institutional investors	<ul style="list-style-type: none"> <li>Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years</li> <li>Authorized signatories list with specimen signatures</li> </ul>
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> <li>Copy of SEBI registration certificate</li> <li>Authorized signatories list with specimen signatures</li> </ul>
Army/Government Bodies	<ul style="list-style-type: none"> <li>Self-certification on letterhead   Authorized signatories list with specimen signatures</li> </ul>
Registered society	<ul style="list-style-type: none"> <li>Copy of Registration certificate under societies Registration Act   List of managing committee members</li> <li>Committee resolution for persons authorised to act as authorised signatories with specimen signatures</li> <li>True copy of society rules and Bye Laws certified by the chairman/secretary</li> </ul>

### Know Your Client (KYC) Application Form (For Non-Individuals)

**NEW**  **CHANGE REQUEST (Please tick the appropriate)**

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

#### IDENTITY DETAILS

Name of the Applicant: \_\_\_\_\_

Date of Incorporation: \_\_\_\_\_ | Place of Incorporation: \_\_\_\_\_

Date of Commencement of Business: \_\_\_\_\_ |

Pan: \_\_\_\_\_ | Registration No (e.g.CIN): \_\_\_\_\_

Status (Please tick the appropriate):

- |  |  |   |                                      |                                  |
|--|--|---|--------------------------------------|----------------------------------|
| <input type="checkbox"/> Private Limited Co. | <input type="checkbox"/> Public Ltd. Co.       | <input type="checkbox"/> Body Corporate                 | <input type="checkbox"/> Partnership | <input type="checkbox"/> Trust   |
| <input type="checkbox"/> Charities           | <input type="checkbox"/> NGO's                 | <input type="checkbox"/> FI                             | <input type="checkbox"/> FII         | <input type="checkbox"/> HUF     |
| <input type="checkbox"/> AOP                 | <input type="checkbox"/> Bank                  | <input type="checkbox"/> Government Body                | <input type="checkbox"/> BOI         | <input type="checkbox"/> Society |
| <input type="checkbox"/> LLP                 | <input type="checkbox"/> Defense Establishment | <input type="checkbox"/> Others (please specify): _____ |                                      |                                  |

#### ADDRESS DETAILS

**Address for Correspondence:**

\_\_\_\_\_

City/Town/Village: \_\_\_\_\_ | State: \_\_\_\_\_ | Pincode: \_\_\_\_\_ | Country: \_\_\_\_\_

Specify the Proof of Address submitted for Correspondence Address: \_\_\_\_\_

**Registered Address:**

\_\_\_\_\_

City/Town/Village: \_\_\_\_\_ | State: \_\_\_\_\_ | Pincode: \_\_\_\_\_ | Country: \_\_\_\_\_

Specify the Proof of Address submitted for Registered Address: \_\_\_\_\_

#### CONTACT DETAILS

Mobile No.: \_\_\_\_\_ | Fax: \_\_\_\_\_

Email: \_\_\_\_\_

Tel (off): \_\_\_\_\_ | Tel (Res): \_\_\_\_\_

#### OTHER DETAILS

Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/Whole Time

Directors: (Please use the Annexure to fill the details)

Any other information: \_\_\_\_\_

#### 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 / we am / are aware that I / we may be held liable for it.

Place: \_\_\_\_\_ Date: \_\_\_\_\_

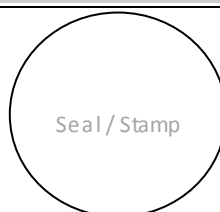
**V1** Signature of Authorised Signatory

Name of Authorised Signatory

#### FOR OFFICE USE ONLY

**Vachana Investments Private Limited**

- (Original Verified) Self certified document copies received  
 (Attested) True copies of documents received



Employee Name	
Employee Code	
Designation	
Signature	
Date	

### OTHER DETAILS

Gross Annual Income Details (please specify): Income range per annum					
<input type="checkbox"/> Below Rs 1 Lakh	<input type="checkbox"/> 1-5 Lakh	<input type="checkbox"/> 5-10 Lakh	<input type="checkbox"/> 10-25 Lakh	<input type="checkbox"/> 25 Lakh to 1 Crore	<input type="checkbox"/> >1 Crore
Networth Amount	Rs. _____	Networth Date	DD/MM/YYYY	Networth should not be older than 1 year	
In case of non-individuals, for any of your Authorized Signatories/ Promoters/ Partners/ Karta/Trustees/ Whole time Directors Please tick, if applicable: Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (PEP) <input type="checkbox"/>					

### BANK ACCOUNT DETAILS

Bank Name					
Branch Address					
Account Number					
Account Type	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> Others		
MICR			IFSC		

### DEPOSITORY ACCOUNT DETAILS

Beneficiary Name					
Depository Participant Name					
Depository Name	<input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL			
DP ID			Client ID		

### 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 \_\_\_\_\_

### DEALINGS THROUGH SUB-BROKER OTHER STOCK BROKERS

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

Name of stock broker			Client Code		
Name of Sub-Broker, if any			Exchange		
Details of disputes/dues pending from/to such stock broker/sub – broker _____					

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

SUB-broker's Name			SEBI Registration number		
Registered office address _____					
Phone No			Fax		
			Website		

### ADDITIONAL DETAILS

Whether you wish to receive	<input type="checkbox"/> Physical Contract Note	<input type="checkbox"/> Electronic Contract Note (ECN)
Specify your Email id for ECN, if applicable: _____		
Whether you wish to avail of the facility of internet trading/wireless technology (please specify)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

### INTRODUCER DETAILS (optional)

Name of the Introducer					
Address of the Introducer					
Status of the introducer	<input type="checkbox"/> Sub – broker	<input type="checkbox"/> Remiser	<input type="checkbox"/> Authorised person	<input type="checkbox"/> Existing Client	<input type="checkbox"/> Others _____
Email			Mobile		
			Signature		

### TRADING PREFERENCES

No Prior Experience

Years in Equities \_\_\_\_\_ / Years in Derivatives / \_\_\_\_\_ / Years in other Investment Related Field \_\_\_\_\_

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

Exchange	Segments		
	Cash	F&O	Currency
NSE	<b>V2</b>	<b>V3</b>	<b>V4</b>

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

## 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 and Guidance Note. 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.
- I request you to provide me copy of the following standard documents:
 

<input type="checkbox"/> Email (as mentioned in contact details of P-3)	<input type="checkbox"/> Physical
1. Rights & Obligation of stock Broker – Client & DP-BO	3. Uniform Risk Disclosure Documents
2. Guidance Note detailing DO's & Don'ts	4. KYC Application Form

<b>V5</b>	Client signature
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Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_ Place: \_\_\_\_\_

### FOR OFFICE USE ONLY

(Original Verified) True Copy of documents received       (Self-Attested) Self Certified documents copies received

UCC Code allotted to the Client: \_\_\_\_\_

	Documents Verified with Originals	Client Interviewed By	In-Person Verification Done By
<b>Name of the Employee</b>			
<b>Employee Code</b>			
<b>Designation of the Employee</b>			
<b>Date</b>			
<b>Signature</b>			

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.

Place: _____  Date: ____ / ____ / ____	<b>Seal/Stamp of Stock Broker</b>	<b>For Vachana Investment Pvt Ltd</b>  <b>Authorised Signatory</b>
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**TARIFF DETAILS**

**SCHEDULE OF TRADING ACCOUNT**

Details of Charges	Agreed Rates
Account Opening Charge	
Brokerage - Equity - Speculation	
Brokerage - Equity - Delivery	
Brokerage - Derivatives - Equity Futures	
Brokerage - Derivatives - Equity Options - Per lot	
Brokerage - Derivatives - Currency Futures	
Minimum Brokerage / per share	

**Terms & Conditions :**

1. Brokerage rates indicated above are exclusive of all statutory and exchange related charges. In addition to brokerage turnover charges, STT, GST, Stamp Duty as applicable to relevant state, Clearing member charges, Research services charges and charges for any other specific services available will be levied separately.
2. Charges/ Service standards are subject to change. Stock Broker shall have the sole discretion in change of applicable charges and the same would be communicated to clients through e-mail / ordinary post / website upload / SMS and such communication shall suffice as notice of change in tariff structure.
3. Additional services (if any) availed by clients would be charged separately.
4. Client shall at all times maintain a minimum balance of Rs. 1000/- in his account to meet various charges pertaining to trading / demat accounts.
5. Account opening charges would not be refunded if the account is not opened due to non - submission of required details / documents by client. I / We have understood all the charges listed above including the terms and conditions.
6. The client also authorises the Stock Broker to debit late payin / delayed payment charges @ 24% + GST 18% per annum on debit balances if any, in his account and not settled as per exchange requirements.
7. Opening of accounts will attract a fee of Rs.750/- unless the waiver is applicable to the scheme chosen by the client or the client fails to comply with the terms & conditions of a specific scheme.
8. Maximum brokerage prescribed by SEBI / Exchange would automatically be applicable in case tariff is not agreed upon for any segment / exchange.

**V6**

Client signature

Date : \_\_\_ / \_\_\_ / \_\_\_\_\_

Place : \_\_\_\_\_

**SCHEDULE-A TARIFF FOR DEMAT ACCOUNT**

<b>VACHANA INVESTMENTS PVT LTD</b>	
No. 412, 4th Floor, 2nd Main Road, Near Dattatreya Temple, 8 <sup>th</sup> Cross Malleswaram, Bangalore - 560 003	
<b>FOR NON - INDIVIDUALS</b>	
<b>Details</b>	<b>POA Clients</b>
Stamp charges payable upfront	Rs. 100/-
Custody charges	NIL
<b>Annual Maintenance Charges : (Payable Upfront)</b>	
Non Individual	Rs. 500/- + Rs. 500/- (CDSL Charges) + GST
<b>Transaction Charges : (Market Trades)</b>	
Buy(Receive)	Nil
Sell(Debit)	0.03% or Rs. 9/- whichever is higher + (CDSL Charges)
<b>Transaction Charges : (Off- Market Trades)</b>	
Buy(Receive)	Nil
Sell(Debit)	0.03% or Rs. 25/- whichever is higher
<b>Demat (Per certificate)</b>	Rs. 150/- per certificate
<b>Remat (Per ISIN)</b>	Rs. 150/- per certificate + CDSL Charges
Courier charges per Demat/ Remat	Rs.100/-
Pledge Request	Rs. 20/- + Rs. 12/- per request (CDSL Charges)
Unpledge Request	Rs. 20/- + Rs. 12/- per request (CDSL Charges)
Pledge Invocation	Rs. 20/-
<b>Periodic Statement</b>	
By Email	Free
Physical	Rs. 2/- per sheet + Rs. 100/- (Courier Charges)
<b>Adhoc / Non Periodic Statement Requests</b>	
By Email	Rs. 50/- per request
Physical	Rs. 50/- per request upto 10 pages. Every additional page at Rs. 5/- + Rs. 100/- (Courier)
<b>Delivery Instruction</b>	
First Delivery Instruction Book	Free (10 Leaves)
Every Additional Booklet (10 Leaves)	Rs. 100/- (Courier Charges)
Transfer through "easiest" (online)	Free
Cheque Bounce Charges	Rs. 350/-
Failed Transactions	Rs. 50/- per ISIN
Account Closure	NIL
Modification in CML	Rs. 25/- per request
KRA Upload /Download	Rs. 50/-

**NOTE:**

For all purposes the bill date shall be construed as the date of demand and the bills will be considered as the bill cum Notice for payment and Vachana Investments Pvt Ltd reserves the right to freeze depository account for debit transactions in case of non payment of charges after two days from the bill date.

Interest@ 18% p.a will be charged on the outstanding bill amount if not paid within the due date. The above tariff is subject to change. Changes if any will be intimated 30days in advance. Goods and Service Tax (GST) or any other statutory levies will be applicable on all on all above charges except stamp charges.

<b>V7</b>	First / Sole Holder	Second Joint Holder	Third Joint Holder
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Date : \_\_\_/\_\_\_/\_\_\_\_

Place : \_\_\_\_\_

**ONLY FOR NEW VACHANA INVESTMENTS DEMAT ACCOUNT**

(To be filled by Applicant in BLOCK LETTERS in ENGLISH)

I / We request you to open demat account in my/our name as per following details

**Holders Details:**

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

**TYPE OF ACCOUNT** (please tick the appropriate)

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 <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____									
SEBI Regn. No. (If Applicable)		SEBI Regn. Date								
RBI Regn. No. (If Applicable)		RBI Approval Date								

I/We instruct the DP to receive each and every credit in my/our account (If not marked, the default option would be 'Yes')		<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 further instruction from my/our end (If not marked, the default option would be 'No')		<input type="checkbox"/> YES <input type="checkbox"/> NO						
<b>Account Statement requirement</b>	As per SEBI Regulation Daily Weekly Fortnightly Monthly							
I/We request you to send Electronic Transaction - cum - Holding Statement at the E-Mail ID _____		<input type="checkbox"/> YES <input type="checkbox"/> NO						
I/We would like to share the email ID with the RTA		<input type="checkbox"/> YES <input type="checkbox"/> NO						
I/We would like to receive the Annual Report (If not marked the default option would be in Physical)		Physical   Electronic   Both Physical and Electronic						
Do you wish to receive dividend/interest directly in to your bank account given through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations noticed by SEBI from time to time]		<input type="checkbox"/> YES <input type="checkbox"/> NO						
<b>SMS alert Facility</b>	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)	<input type="checkbox"/> YES <input type="checkbox"/> NO						
<b>Transaction Using Secured Texting Facility (TRUST)</b>	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility, I have read and understood 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 TURST							
	<table border="1"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID				
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID						
<b>BSDA</b>	I/We wish to avail the BSDA facility, if selected 'No' the demat account will be treated as normal demat account until and unless the BO requests for conversion to BSDA	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> Opted Out						
<b>Easi</b>	To register for easi, please visit CDSL website: www.cdslindia.com. Easi allows you to view your ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/> YES <input type="checkbox"/> NO						

<b>V8</b>	First / Sole Holder	Second Joint Holder	Third Joint Holder
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**POWER OF ATTORNEY (Voluntary)**

KNOW ALL MEN BY THESE PRESENTS THAT I/WE Mr. / Mrs. / M/s (firstholder) \_\_\_\_\_  
 \_\_\_\_\_ (Second holder) \_\_\_\_\_

(Third holder) \_\_\_\_\_ an Individual/ a sole proprietary concern/a partnership firm/a body Corporate/trust, registered/incorporated, under the provisions of the Indian Partnership Act , 1932/the companies Act 1956 or any relevant Act, having his / her / its residence / registered office / place of business at \_\_\_\_\_

(hereinafter referred to as “Beneficial Owner”) wish to avail / have availed the broking/ E-Broking facilities and other services offered (hereinafter referred to as “Services”), by Vachana Investments Pvt Ltd (hereinafter referred to as “Vachana Investments”) company incorporated under the companies Act 1956 and having its Corporate office at “No. 412, 4th Floor, 2nd Main Road, Near Dattatreya Temple, Malleswaram, Bangalore - 560 003. and is a Member (Trading Member) of The National Stock Exchange of India Limited (NSE), (hereinafter referred to as “the Exchange”) and is also a “Depository Participant” registered with Central Depository Services of India Ltd (CDSL).

Whereas in the course of availing the services and for meeting the settlement Obligation thereof on the Exchanges, I/We do hereby nominate, Constitute and appoint M/s. Vachana Investments Pvt Ltd (Member Broker), Hereinafter referred to as “Vachana Investments” acting through their Directors and/or duly authorised staff for the purpose, as my/our true and lawful attorneys for my depository account with **Vachana Investments Pvt Ltd** (Depository Participant) **DP ID 12079100 Client ID \_\_\_\_\_** to execute and perform severally the following acts, deeds, matters and things, provided the attorney complies with all applicable conditions of all or any of their services offered by them in their capacity as stock Brokers.

1. To have and exercise the powers and /or authority, to do and/or execute the acts, deeds matters and things specified in agreements between Vachana Investments and the Beneficial Owner as may be applicable in relation to the transactions executed by the client
2. To operate depository account/(s) for the purpose of transferring any collateral to the margin account and honouring delivery obligations for any transaction executed with Vachana Investments which is registered as a Depository Participant and a stock broker registered with Securities and Exchange Board of India (SEBI).
3. To Sign instruction on my behalf with respect to debit / credit the depository account/(s) for the credit or benefit of my/our account with Vachana Investments, for the transactions carried by me/us with Vachana Investments.
4. To issue instructions relating, executing delivery/receipt instructions, pledge creation instructions, pledge closure instructions, instructions, to operate the depository account by issue and receipt of instructions for the above mentioned purpose and such other authorization given by me/us severally on behalf of all of us, or all/ any of us jointly, in any electronic form, in any format and at any time either through the portal of Vachana Investments or through the internet will be validly constituted attorney to intimate the same to the Depository participant for the purposes of debiting or crediting my account opened with the Depository Participant.
5. To validate on my/our behalf any such instruction so given to the Depository Participant(S), in written / physical or other form as may be required by the concerned depository participant.
6. For these purposes and to this extent, Vachana Investments is empowered by me/us, to affix their signatures to any document, form or any other record, being a delivery participant, as required by the concerned depository.

<b>V9</b>	First / Sole Holder	Second Joint Holder	Third Joint Holder
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7. I/We also undertake to pay such demat charges/fees and such other charges incurred by Vachana Investments under this power of attorney and that I/We further authorise Vachana Investments to debit my/our account with Vachana Investments with the said charges as and when the same becomes due for payment and I/we hereby undertake to pay the same immediately on demand made by Vachana Investments.
8. To register this power attorney with the Depository Participant as is required within the parameters of this Power of Attorney.
9. To sign all applications, apply for, subscribe to or enter into correspondence with respect to any Initial Public offers/ Offers for sale of Securities of the companies / Units of mutual fund, Asset Management company or any other "Investments products" offered through the website [www.vachanainvestments.com](http://www.vachanainvestments.com) (owned by Vachana Investments Pvt Ltd) or any other means as per the instructions made available to them by me/us as on the website or otherwise.
10. To make payment to any party with respect to the aforesaid products mentioned in point 9 above on my/our behalf to fulfill the transaction requested by me/us.
11. To enter into correspondence with any party with respect to any transaction in any Investments Products.
12. To forward all such applications placed through the website to the online-IPO module of the concerned Exchange or owner / issuer of "Investments Product".
13. To receive intimation from the Exchange and any other party regarding the allocation / allotment / rejection / regret of the securities or such other "Investments Product" applications / subscriptions / withdrawal or any other communications.
14. To authorize Vachana Investments to invest on behalf of me/us and to hold the mutual fund/ asset management company(ies) based on the request given by me/us. I confirm not to hold such mutual fund/asset management company/ Vachana Investments liable for any transaction processed based on my/our request to correspond with and give notice to the corresponding asset management company / body corporate(s) / issuer / registrar and transfer agent of securities including giving instructions with regard to nomination/change in Investments plans/ any other changes that may be necessitated pursuant to the authorization given by me/us to Vachana Investments in this regard.
15. To deposit/ transfer on allotment, the securities, debentures, units of the mutual funds and/or all other Investments products applied through Vachana Investments, on allotment, to my/our Beneficial Owner Demat Account opened for the purpose with the Vachana Investments-DP.
16. To do all other acts and things as may be necessary to affect the subscription/purchase / redemption or any other transaction in any Investments Product for which services are availed from Vachana Investments.
17. To debit my Trading account towards monies/fees/charges etc. payable to Vachana Investments or to a Third party Service provider or to by virtue of I/We using /subscribing to any of the facilities/service provided either by Vachana Investments or through a third party service provider or by any other security or financial instrument on behalf of me/us through Vachana Investments or any third party. To bind ourselves with respect to any instruction given by first holder or any other holder to Vachana Investments
18. In case of any erroneous transfer done by attorney, the attorney may return the same to my account as soon it comes to their notice.
19. To send the consolidated summary of client wise scrip wise buy and sell position with average rates by email.
20. To authorize Vachana Investments to transfer the securities to any of the following demat accounts of Vachana Investments mentioned in Annexure B, to extent of payin obligation.
21. We the joint holders of demat account agree, ratify and confirm to bind ourselves to any instructions given by the client herein above mentioned who shall be the exclusive beneficiary of the transactions carried out pursuant to this power of attorney in favour of the Director/(S) and/or the Authorised Signatories, who have in token thereof, subscribed their signature thereto.

<b>V10</b>	First / Sole Holder	Second Joint Holder	Third Joint Holder
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That the power of Attorney herein referred to is revocable at any time without notice subject to such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out prior to receiving request for revocation of POA.

That, I/We hereby declare that all the actions taken by my/our above mentioned attorney (herein Vachana Investments) in this regards shall be deemed to be action done by me/us and if necessary shall be ratified by me/ us on the instruction of the said attorney and that such actions will be binding on me/us.

I/We agree that Vachana Investments is entitled to credit the proceeds of any instruction. This document shall be subject to the jurisdiction of the courts in Bangalore.

In witness whereof I/We have executed this revocable power of Attorney on the day, date and year herein below mentioned.

**Annexure B**

PARTICULARS	DP ID	CLIENT ID	PARTICULARS	DP ID	CLIENT ID
CDSL NSE POOL AC	12079100	00000312	NSDL NSE POOL AC	IN303719	11034217
CDSL NSE BEN AC	12079100	00000327	CDSL NSE MARGIN AC	12079100	00015384

Dated at Bangalore on this \_\_\_\_\_ day of \_\_\_\_\_

SIGNED AND DELIVERED

by the within named the Beneficial Owner

<b>V11</b>	First / Sole Holder	Second Joint Holder	Third Joint Holder
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Witness 1 :

Name : \_\_\_\_\_

Address : \_\_\_\_\_

Signature: \_\_\_\_\_

Witness 2 :

Name : \_\_\_\_\_

Address : \_\_\_\_\_

Signature: \_\_\_\_\_

SIGNED AND DELIVERED by the within named the Participant Vachana Investments Pvt

Ltd. by the hand of its authorized representative :

**For Vachana Investments Pvt Ltd**

**Authorised Signatory**

**OPTION FORM FOR ISSUE OF DIS (VOLUNTARY)**

DP ID	12079100	CLIENT ID	
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To,  
Vachana Investments Pvt Ltd,

Dear Sir,  
I/We hereby state that: [select one of the option given below]

**OPTION 1:**  I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / We have issued a power of Attorney (POA) in favour of Vachana Investments Pvt Ltd for executing delivery instructions for settling stock exchange trades [Settlement related transactions] effected through such Clearing Member.

**OR**  
**OPTION 2:**  I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I/We have issued a POA in favour of Vachana Investments Pvt Ltd for executing the delivery instructions for settling stock exchange trades [settlement related transaction] effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

<b>V12</b>	First / Sole Holder	Second Joint Holder	Third Joint Holder
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**REQUEST LETTER FOR REGISTRATION OF MOBILE NO/EMAIL ID OF PERSON BELONGING TO THE CLIENT'S FAMILY (OPTIONAL)**

Please note that mobile no/email id/both mentioned in the account opening form/request for change in mobile no/email id belongs to **Mr/Mrs/Ms** \_\_\_\_\_ who is my \_\_\_\_\_ [relationship with the client]  
[\*Refer to the instructions mentioned below]

\*[Only the mobile no/email id of your spouse, dependent children and dependent parents can be registered in your Demat a/c]

<b>V13</b>	First / Sole Holder	Second Joint Holder	Third Joint Holder
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**MOBILE NO / EMAIL ID DECLARATION (VOLUNTARY)**

I / We, Mr./Mrs./Ms./M/s \_\_\_\_\_ having Mobile No. & Email ID as mentioned in contact details of P-3 hereby provide consent / authorization for using the same by VACHANA to provide information/Alerts/SMS/Calls to me.

<b>V14</b>	First / Sole Holder	Second Joint Holder	Third Joint Holder
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**RUNNING ACCOUNT AUTHORIZATION (VOLUNTARY)**

To,

**Vachana Investments Pvt Ltd.**

Date: \_\_\_\_\_

No. 412, 4th Floor, 2nd Main Road,  
Near Dattatreya Temple,  
Malleswaram, Bangalore - 560 003.

Notwithstanding anything contrary contained in any of the document or correspondence, I/we hereby severally give mandate to you for maintenance of my account with you on running account basis. This mandate shall be applicable to all segments across exchanges maintained with you.

1. I/We request you to maintain running balance in my/our account & retain the credit balance in any of my / our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.

2. I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) at any segment of any or all the Exchange(s)/Clearing Corporation, unless I/We instruct you to transfer the same to my/our designated Demat A/c.

3. I/We request you to settle my fund and securities account

• Once in a calendar Month

• Once in every calendar Quarter

( except the funds given towards collaterals / margin in form of Bank Guarantee and /or Fixed Deposit Receipt)

4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.

5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within seven working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office. After that I/We shall have no right to dispute the transaction, funds and/or securities ever and agree that you shall not be liable for any incidental loss/damage caused due to retention of funds and/or securities.

6. I/We hereby authorize you to hold funds / securities as prescribed by SEBI / Exchange during the Quarterly settlement of funds and securities.

I/We confirm you that I can revoke the above mentioned authority at any time.

**V15**

Client signature

**AUTHORIZATION FOR ELECTRONIC CONTRACT NOTE**

To,  
**Vachana Investments Pvt Ltd.**  
No. 412, 4th Floor, 2nd Main Road,  
Near Dattatreya Temple,  
Malleswaram, Bangalore - 560 003.

Dear Sir,

**Sub: Authorization for Electronic Contract Notes & Acceptance for Electronic Communication:**

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options and/or Currency Derivatives and or Interest Rate Futures Segments. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

I/We understand that, I/We have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt to receive contract notes in electronic form. I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account /email id on your record for sending the contract notes to me/us:

**Email ID:** \_\_\_\_\_

I/ we hereby opt to receive Scanned KYC Form, DP related communications, Statement of Account/ Securities, Quarterly Settlement Statement, Quarterly Retention Reports, Daily Margin Statement and any other Communication also in Electronic Form

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account/ email id.

I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes 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 understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I/We am/are an internet client then in that event the request for change in email id/email account can be made by me/us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my/our verbal directions/authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

**V16**

Client signature

## VOLUNTARY TERMS & CONDITIONS

I /We, \_\_\_\_\_, (hereinafter referred to as "the Client") am availing / going to avail your security trading services. In pursuance thereof, I/we, hereby voluntarily and unconditionally state and declare that I/We have read and understood the terms and conditions mentioned hereinafter governing securities trading and broking services of Member i.e. Vachana Investments Pvt Ltd.

1. The Client agrees to keep the Member updated of his financial status by providing net-worth certificate / copy of IT returns / Balance Sheet and other financial statements / Demat statement, at regular intervals as may be required by Member from time to time and in any event at the end of each financial year failing which the Member has the right to take such action as it deems fit including termination of the service.

2. The Client understands that the Member carries out fundamental and trading research/ notes/ trading calls / technical calls, particularly on companies, industry, stock markets, and economy from time to time either through mail / SMS / Handouts / front office terminals or any other similar communication medium (collectively hereinafter referred to as "material"). The Client is aware that said material is only for personal information of the Client and that the same shall not be reproduced or redistributed to any other person in any manner. Further, the Client understands and confirms that said material is not an offer or the solicitation of an offer to buy any security and by sending this material on request, the Member or any of its officers, directors, personnel and employees shall not be liable for any loss, damage of any nature, including but not limited to direct, indirect, punitive, special, exemplary, consequential, as also any loss of profit in any way arising from the use of this material in any manner. The Client is aware that the investments discussed in the said material are general recommendations and may not be suitable for all investors. The Client shall, therefore, before dealing and/or transacting in any of the products referred to in the said material, make his/her/its own investigation, seek appropriate professional advice. The Client shall be fully responsible/liable for all decisions on investments / disinvestments taken by him/her/it on the basis of the said material. The Client understands, confirms and agrees that the Member may discontinue providing such material and that Member shall have no responsibility to update any information provided to the Client nor does the Member represent that the information provided in the said material is complete. Further by providing such material, the Member is not acting as a portfolio or financial advisor nor does the Member assume any fiduciary duties.

3. The Client confirms that if any transaction(s) through the Member, has / have been executed on behalf of the Client by any other person, not intimated to the Member and the same has / have been accepted by the Client from time to time on the basis of the contract note(s) / bills / any other correspondence dispatched / communicated to the Client by the Member and / or by part or full settlement of the said transaction(s) by the Client, then such transaction(s) shall be deemed to be executed by the person authorised by the Client and the Client hereby agrees to ratify and accept all such or other actions of such persons and undertakes to meet all obligations arising from such transaction(s).

4. The Client agrees and confirms that the Member may appoint agents for carrying out the acts mentioned in or in relation to rendering its services. The Client consents to sharing of his / its account related information to the authorised agents appointed by the Member or its affiliates and its group companies.

5. The Client is aware that the Member has an option to tape-record the conversations between the Client's representative and the Member, either personally or over the telephone, and hereby specifically permits the Member to do so. Such recordings may be relied upon by the Member as and when required to resolve disputes in connection with the trading transactions.

6. The Client agrees that VIPL reserves the right to debit the Client's ledger for any penal charges that may be charged by the Exchanges/depositories on the Member on the Client level for any default/violation of Exchange rule/regulations/bye-laws/circular/guidelines / requirements occurred due to omission or commission of any act on the part of the Client. This may include penalty for short delivery of securities, violation of the client level position-limits, shortfall in margin payment, client code modification. The Member shall have the right to recover such charges like any other trade dues payable by the client and recover the same by selling the Client's securities.

7. The Client authorizes the Member to debit/ maintain a sum of Rs 1000/- at all point of time towards charges on the Client's Demat account and on other services.

8. The Client confirms and agrees that any amounts which are overdue from the Client towards trading either in the cash or derivative segments or on account of any other reason to the Member, will be charged delayed payment charges at the rate of 24% per annum or such other rate as may be determined by the Member. The Client hereby authorises the Member to directly debit the same to the account of the Client at the end of each month. The Client also authorises the Member to debit charges for depository services availed from the Member to the trading account. The Client consents to sharing information relating to his trading account with the Banks / Financial Institutions from which the Member has borrowed funds to meet the pay-in obligations of the Client, in case of delayed payment.

9. The Client agrees and authorizes the Member to transfer the credit lying in any segments/exchange of the Client's ledger to another ledger maintained by the Member for different segments/exchanges as per requirement of funds. Further, the Member may consider the credit lying in ledger of any segment/ Exchange of the Client as margin towards any position/exposure taken

by the Client in other segment/Exchange.

10. The Client confirms, agrees and authorizes the Member to send the contract note/trade confirmations of the trades executed, bills, margin statements, and account statements or such other data relating to his trading account with the Member and also authorises the Member in its capacity as Depository Participant to send all bills and/or transactions statements, communication and information through electronic mail to his/her/its email address as may be intimated by the Client to the Member or such other email address maintained at the Member pursuant to the Client's request. The Client agrees that the Member fulfils its legal obligation to deliver to the Client any such document if sent via electronic delivery. The Client agrees that the log report generated by the system at the time of sending of the contract notes or other documents shall be treated as the acknowledgement and confirmation of receipt of contract notes and such other documents by the Client. The Client understands that it is his/ her/its responsibility to review, upon first receipt, whether delivered to the Client by mail, by e-mail (including any auto replies from the system of the Member), or other electronic means, all confirmations, statements, notices, contracts, bills and other communications. The Client shall bring any dispute arising from such documents/statements/contract notes to the notice of the Member within 7 working days from the date of receipt of such document, as the case may be. In all cases, the Member reserves the right to determine the validity of the Client's objection to the transaction. The Member may on request by the Client, send hard copies of the contract notes or such other documents. Further non-receipt of bounced mail notification by the Member shall amount to delivery of all communication at the Email ID of the Client.

11. The Client is aware that as per the RBI guidelines the Foreign Institutional Investors (FIIs), Non-Resident Indians (NRIs), and Persons of Indian Origin (PIOs) are allowed to invest in the secondary capital markets in India through the portfolio investment scheme (PIS). Under this scheme, FIIs/NRIs can acquire shares/debentures of Indian companies through the stock exchanges in India. These investments are governed and monitored on daily basis by the Reserve Bank of India (RBI). On reaching the aggregate ceiling limit as fixed by RBI from time to time, the RBI advises all designated bank branches to stop purchases on behalf of their FIIs/NRIs/PIOs clients. The Reserve Bank also informs the general public about the 'caution' and the 'stop purchase' in these companies through a press release. If the Client is an FII/ NRI/ PIO, the Client hereby acknowledges that he/she is aware of the RBI guidelines in relation to his investments in the secondary market in India. The Client hereby agrees to keep himself/herself abreast of the ceiling limits on investments as published by RBI from time to time and also agrees that he/she shall immediately reverse his/her transaction, if such transaction breaches the ceiling limits as imposed by RBI. In case the Client does not / is unable to reverse such transaction immediately, the Client authorizes the Member to do so under intimation to the Client.

12. The Client agrees and confirms that though orders are generally routed to the marketplace immediately after the time the order is placed by the Client on the system there may be a delay in the execution of the order due to any link/system failure at the Client/Member/Exchange's end. The Client hereby specifically indemnifies and holds the Member harmless from any and all claims, and agrees that the Member shall not be liable for any loss, loss of profit, actual or perceived, caused directly or indirectly by government restriction, exchange or market regulation, suspension of trading, war, strike, equipment failure, communication line failure, system failure, security failure on the Internet, shut down of systems for any reason (including on account of computer viruses), unauthorised access, theft or otherwise or any problem, technological or otherwise, that might prevent the Client from contacting.

13. The Client further confirms and agrees that Client will not be compensated by the Member for any "lost opportunity" viz notional profits on buy/sell orders which could not be executed due to any reason whatsoever, including but not limited due to time lag in the execution of the order or the speed at which the system of the Member or of the Exchanges is operating, any shutting down by the Member of his/her/its system for any reason or the Member disabling the Client from trading on its system for any reason whatsoever.

14. The Client agrees and accepts that in case he/she/it wishes to avail trading facility in any Exchange/Segment, in addition to the trading preferences selected by him/her/it, the Client shall subscribe the same by either signing requisite agreement/letter or by way of logging-in on website of the Member in a secured manner.

15. The Member does not guarantee, and shall not be deemed to have guaranteed, the timeliness, sequence, accuracy, completeness, reliability or content of market information, or messages disseminated to the Client or the execution of the orders placed by the Client. The Member shall not be liable for any inaccuracy, error or delay in, or omissions of, 1) any such data, information or messages, or 2) the transmission or delivery of any such data, information or messages, due either to any act or omission by the Member or to any "Force Majeure" event (e.g. flood, extraordinary weather condition, earthquake or other any act of God, fire, war, insurrection, riot, labour dispute, accident, action of government, communication, power failure, shut down of the systems for any reason (including on account of computer viruses), equipment or software malfunction); or otherwise or any cause within beyond the reasonable control of the Member 3) cancellation or non execution of the order placed by the Client with the Member.

16. The Client understands that the Member has relationship with one or more banks (the "Relationship Banks"). The web site of the Member has a payment window through a link to the web site of the Relationship Bank, which provides the facility. In



such a case, the Client would make the payment for securities purchased by him/her/it by crediting the purchase amount (along with the indicated brokerage amount) directly to the account of the Member with the Relationship Bank by means of a fund transfer. Similarly in the case where the Client makes an order for sale of securities the Member would credit the account of the Client with the Relationship Bank by means of a fund transfer on the pay-out date of the relevant Exchange on which the sale transaction is carried out. The Member expressly states that the payment gateway mechanism is a service offered by the Banks with whom the Member has established relations for facilitating the transfer of funds between the Client's account and the Member's account. The Member expressly excludes liability for consequential loss or damage or loss of profit, business, revenue, goodwill or anticipated savings which may arise in respect of (i) the payment gateway services offered by such Banks and (ii) the Payment Mechanism;

17. The Client hereby acknowledges that it/he/she is availing the Payment Instruction Service at it/his/her risk. These risks would include but not be limited to the following risks:

(a) Misuse of Password:

The Client acknowledges that if any third person obtains access to their password of the Client, such third person would be able to provide Payment Instructions to the Member. They shall ensure that the terms and conditions applicable to the use of the password as contained in the Electronic Payment Gateway for Net Banking Terms and Conditions are complied with at all times.

(b) Internet Frauds:

The Internet per se is susceptible to a number of frauds, misuse, hacking and other actions, which could affect Payment Instructions to the Member. Whilst the Member shall aim to provide security to prevent the same, there cannot be any guarantee from such Internet frauds, hacking and other actions, which could affect Payment Instructions to the Member. The Client shall separately evolve/evaluate all risks arising out of the same.

(c) Mistakes and Errors:

The filling in of applicable data for transfer would require proper, accurate and complete details. For instance, the Client is aware that they would be required to fill in the account number of the Member to whom the funds are to be transferred. In the event of any inaccuracy in this regard, the funds could be transferred to incorrect accounts and there is no guarantee of recovery thereafter. The Client shall therefore take all care to ensure that there are no mistakes and errors and that the information given by the Client to the Member in this regard is error free, accurate, proper and complete at all points of time. On the other hand in the event of account receiving an incorrect credit by reason of a mistake committed by some other person, the Member or the bank shall be entitled to reverse the incorrect credit at any time whatsoever without the consent of the Client. The Client shall be liable and responsible to the Member and accede to accept the Member's instructions without questions for any unfair or unjust gain obtained by the client as a result of the same.

18. The Member may suspend or terminate Electronic Payment Gateway for Net banking facilities without prior notice.

19. For the purposes of these Terms, it is presumed that the Client has all the necessary and compatible infrastructure ready at its end for the purpose of accessing the web site of the Member or availing Wireless technology/Internet/ smart order services provided of the Member (prior to accessing the services provided pursuant to these Terms). The Member will not (and shall not be under any obligation to) assist the Client in installing the required infrastructure or obtaining the necessary equipment, permits and clearances to establish connectivity or linkages to the web site of the Member.

20. The Client acknowledges that the software and hardware underlying the Member's Wireless technology/Internet/ smart order related software which are required for accessing the aforesaid services of the Member are the legal property of the respective Vendors/Member. The permission given by the Member to access its website will not convey any proprietary or ownership rights in the above software/hardware. The Client agrees not to attempt to modify, translate, disassemble, decompile or reverse engineer the software/ hardware underlying the Member's website or create any derivative product based on the software/hardware.

21. The Client agrees and confirms that Member owns (or has a license for) all copyrights, database rights and all similar rights for this website and all trademarks and other materials used on this website. The information may not be reproduced, distributed, transmitted to any person or incorporated into any other document without Member's prior written consent. The Client agrees that each participating Exchange or association or agency asserts a proprietary interest in all of the market data it furnishes to parties that disseminate the said data. The Client shall use real-time quotes received on the web site of the Member only for the Client's individual use and shall not furnish such data to any other person or entity. The Client is authorized to use materials which are made available by the Member's web site for the Client's own needs only, and the Client is not authorized to resell access to any such materials or to make copies of any such materials for sale or use to and by others. The Client shall not delete copyright or other intellectual property rights notices from printouts of electronically accessed materials from the Member's web site.

22. The Client acknowledges that Member has the right to suspend operation of the website and online systems at any time (including in the opinion of the Member, some threat is posed to any system or part of any system). The Client also acknowledges that Member will be able to suspend the operation of website and online systems at regular intervals for periodic

maintenance and administration tasks. If online system is unavailable through a technical fault Client can avail Call -And-Trade facility during normal trading hours.

23. The Client understands and accepts that the Member has the absolute discretion to amend or supplement any of Wireless technology/Internet/ smart order usage terms at any time and will give prior notice of 15 days for such changes. Changed Terms and Conditions shall be communicated to the Client on the Member's website and by other acceptable modes of communication. By using the services, the Client shall be deemed to have accepted the changed terms of usage of trading through Wireless Technology/Internet/Smart Order Routing as the case may be.

24. The Client may terminate this confirmation/ document at any time by giving a prior notice of 30 days to Member. Provided however that all the obligations of the Client prior to the Termination of Voluntary Terms shall continue to subsist.

25. The Client confirms and agrees that in case anyone or more of the terms and conditions confirmed by the Client becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereto.

The Client agrees and confirms that except for the claims/disputes which are subject to the Rules and Regulations of the respective Exchanges on which the trades have been executed, any and all claims and disputes arising out of or in connection with this Agreement or its performance shall be settled by arbitration by a single arbitrator to be appointed by the Member. The parties agree that the arbitration shall be held at Mumbai and the courts at Mumbai shall have exclusive jurisdiction in relation to these present and issue ancillary to these present. The arbitration shall be governed by the provisions of the Arbitration and Conciliation Act, 1996.

**V17**

Client signature

## UNDERTAKING / AUTHORISATION (VOLUNTARY)

To,  
**Vachana Investments Pvt Ltd,**  
No. 412, 4th Floor, 2nd Main Road,  
Near Dattatreya Temple, Malleswaram, Bangalore - 560 003.

With respect to Member-Constituent Relationship and Mandatory and Voluntary (optional) Documents executed between us, I / We do hereby authorize VIPL to do the following:

### 1. ORDER PLACEMENT INSTRUCTIONS

I understand that you require written instructions from me for placing / modifying / cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting /calling/ Emailing the Call centre / branch specified for the said purpose by VIPL in case of breakdown of internet connectivity or other similar reasons.

I hereby request you to kindly accept my authorized representative or mandate holder's verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other modes. I indemnify VIPL and its employees against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

In the case of cover order (primary order with compulsory stop loss order as second leg) there is a risk of non execution of stop loss order due to wild fluctuation or due to exchange action. The broker will not be responsible in such case.

In case of Bracket Order ( Primary order is coupled with Target Price order and Compulsory Stop loss Market order ) there is risk of non execution of target / stop loss order due to wild fluctuation or due to exchange action. Vachana investment will not be responsible for such cases.

### 2. ERRORS AND OMISSIONS

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances VIPL shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold VIPL responsible beyond this and claim additional damages/losses. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by VIPL.

### 3. NO MARKET MANIPULATION

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI / Exchanges. In case I am found to be indulging in such activities, VIPL has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

### 4. NOT TO ACT AS UNREGISTERED SUB BROKER

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients. In case I wish to deal for other clients also, I undertake to apply to SEBI through VIPL to obtain a sub broker registration. In case VIPL perceives that I am acting as an unregistered sub broker, VIPL has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to VIPL without the requirement of any notice from VIPL. Further, VIPL has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify VIPL from any loss/ damage/claim arising out of such activity.

### 5. NOT DEBARRED BY ANY REGULATOR

I confirm and declare that there is no bar on me imposed by any Exchange or any Regulatory and/or Statutory authority to deal in securities directly or indirectly. I agree to inform VIPL, in writing, of any regulatory action taken by any Exchange or Regulatory/ Statutory authority on me in future. In case I fail to inform the same and VIPL on its own comes to know of such action, VIPL has the right to suspend/close my trading account and refuse to deal with me. Also, VIPL can at its sole discretion, close all the open positions and liquidate collaterals to the extent of debit balances, without any notice to me.

### 6. PMLA DECLARATION

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by VIPL officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002. I further undertake and confirm that;

a. I do not have any links with any known criminal.

b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The Investments money is derived from proper means and does not involve any black or Hawala money in any manner.

## **7. INDEMNIFICATION**

a. I hereby indemnify and hold VIPL, its Directors and employees harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the VIPL directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

b. INDEMNITY OF JOINT HOLDINGS: I hereby agree to indemnify and hold the VIPL harmless from any claims, demands, actions, proceedings, losses, damages, liabilities, charges, and /or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

## **8. MUTUAL FUND SERVICE SYSTEM (MFSS) FACILITY**

I am interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange. For the purpose of availing the MFSS facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me. Further it is to be specifically noted that such service is not protected by Investor Protection Fund or from any fund of Exchange / Clearing corporation.

## **9. NRI DECLARATION**

I understand that if the sole/first applicant has or attains NRI Status, Investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate ( FIRC ) to VIPL every time the Investments is made.

## **10. THIRD-PARTY PAYMENTS**

VIPL shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per proforma prescribed by VIPL. VIPL shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above. However, due to oversight, if any such third-party payment has been accepted by VIPL and the credit for the same has been given in the client's ledger, VIPL shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, VIPL reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. VIPL, its Directors and employees shall not be responsible for any consequential damages or losses.

## **11. NO DEALINGS IN CASH**

VIPL as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub-Broker/Remisier/Employee/Authorised Person of VIPL.

## **12. DISCLOSURE OF PROPRIETARY TRADING BY VIPL**

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003, VIPL discloses to its clients about its policies on proprietary trades. VIPL does proprietary trades in the cash and derivatives segment at NSE and BSE

## **13. DELIVERIES**

The client shall ensure that the shares are properly transferred to the designated demat account of VIPL, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/ Exchanges/MPL. In case the client fails to transfer the shares on time to VIPL, VIPL shall not be responsible for any loss/damages arising out of such delayed transfers.

#### **14. SQUARING OFF POSITIONS & SALE/LIQUIDATION OF COLLATERAL MARGINS**

The client shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds and or delivery of the shares. In case of delay in pay in of funds by me/us, VIPL will have the option of charging penal charges for such delay @ 24 p.a.

In case the fails to settle the transactions within the settlement date, then VIPL has the right to square off the open and/or unpaid positions, at an appropriate time as it deems fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. VIPL, its Directors and Employees shall not be responsible for any lose or damage arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of VIPL.

After such square off of open positions by VIPL, as mentioned in above clauses, If there ia a debit balance, the client shall pay the same immediately. However if the client code not clear off debit balance, VIPL shall have the right to liquidate the shares and other securities of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/margin and the shares and securities that needs to be sold or liquidated. VIPL, Directors and employees shall not be responsible for any loss or damages arising out of such selling.

#### **15. RISK OF IN THE MONEY OPTION HOLDER ON FINAL EXPIRY DAY**

An in the money option holder has the risk of additional STT ( Securities Transaction Tax) levy at settlement price based on closing price of the underlying on the final expiry day. In this case, if the settlement price based on closing price of the underlying on the final expiry day. In this case if the settlement price is higher than the strike price in case of call option or lower than the strike price in case of put option, then the STT is payable on settlement price. It generally happens that the incidence off STT payable is much higher than the option premium received by the client.

#### **16. INTERNAL SHORTAGE**

The client may not receive shares on T+2 in case there is an internal shortage situation with VIPL i.e. the buyer and seller are both VIPL clients and the seller defaults in delivery due to which the buyer may not receive the shares. In such cases, on T+2 EOD, the seller would be debited at the highest price traded between trade today day to payin/payout day and the buyer would be credited the same as auction credit.

#### **17. AUTHORISATION FOR COMMUNICATION OF FINANCIAL PRODUCTS.**

I/We have opened an account with you and am/are interested in knowing about financial products. I/We authorize you, your group companies and associates to keep me/us informed with any financial product which VIPL, its group companies and associates presently issue, deal in, or distribute or may from time to time launch, issue deal in or distribute through E-mail, SMS, telephone, print media or otherwise. This is without legal obligation on you, your group companies and associates to do so Inform and you or they may, in their discretion, discontinue sending such information.

I/We can revoke any or all of the above authorizations at any time in writing. Any change in any of the above voluntary/ non-mandatory clauses will have to be preceded by a notice of 15days. The member and the client understand that none of the above voluntary/ non-mandatory clause is in contravention with the Rules/Business Rules/notices/Circulars of Exchanges or SEBI. If any of the above clauses or part thereof is found to be or becomes in such contravention, it shall be of on effect to the extent of contravention.

**V18**

Client signature

**APPLICABLE FOR AUTHERISED PERSON/SUB BROKER CLIENTS**

From

(Client)

To

Dearsir,

This is with reference to the member client relationship I/We have/propose to have with VIPL. I/We confirm that I have introduced to VIPL by \_\_\_\_\_ who/which is an authorized person of VIPL

I/We acknowledge and accept that the liability of VIPL for the acts and omissions of the Authorized person arises only in respect of dealings /transactions executed through VIPL in the normal course of business and that VIPL is not liable for such dealings/transactions which arises out of a private arrangement between me/us and the authorized person to which VIPL is not privy.

I/We also agree and accept that for any errors and omissions committed by the Authorized person with regard to dealings/transactions arising out of private arrangement between me/us and the Authorized Person to which VIPL is not privy, I/we will hold only the Authorized person liable and not VIPL.

All depository instructions shall be duly filled in by me/us before the same is lodged with the office of VIPL shall not be responsible for any loss, damages, and disputes arising out of incomplete /incorrect depository instruction deposited by me/us. Also I hereby confirm that my registered phone number and email id is mine and will check the same regularly for details of trades done. Any irregularities on same will be brought to notice of VIPL directly by me within 24hrs of receiving mail or SMS of traded details, If I don't bring it to notice of VIPL officially in writing, then I accept the trades done as with my consent and order only.

Your faithfully  
ClientSignature

Accepted

ClientName

ClientEmail-ID

ClientPhone No:

Authorized person Signature

**KYC CHECKLIST (for office use only)**
**Form Received Date :** \_\_\_\_\_

**Introducer Code :** \_\_\_\_\_

**Client code :** \_\_\_\_\_

**Code Creation Date :** \_\_\_\_\_

**KRA STATUS**

KRA TYPE	KRA STATUS	DOWNLOAD(YES/NO)	UPLOAD(YES/NO)

**PAN VERIFICATION**

SL NO	IMPORTANT FIELDS	YES/NO	COMMENT
1	PAN no, Name, DOB as per pan card submitted		
2	Father's name as per pan		
3	Self attestation by the applicant		
4	Pan verified seal affixed		

**ADDRESS PROOF**

SL NO	IMPORTANT FIELDS	YES/NO	COMMENT
1	Specify the address proof submitted ( )		
2	Address as per proof		
3	Aadhaar card copy		
4	Self attestation by the applicant		

**BANK PROOF**

SL NO	IMPORTANT FIELDS	YES/NO	COMMENT
1	Cancelled cheque leaf or bank statement		
2	MICR/IFSC code, A/c number and name		
3	Self attestation by the applicant		

**INCOME PROOF (for Derivatives)**

SL NO	IMPORTANT FIELDS	YES/NO	COMMENT
1	Latest 6 Months bank statement/latest 3 months salary slip/latest form 16 or IT returns/Demat holding with other broker		
2	Self attestation by the applicant		

**NOMINATION & WITNESS**

SL NO	IMPORTANT FIELDS	YES/NO	COMMENT
1	Witness details if opted for Nominee		

**FROM FILLING & PROOF CHECKED BY:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**DATA ENTRY DONE BY :** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**DATA ENTRY CHECKED BY :** \_\_\_\_\_

**DATE:** \_\_\_\_\_

