



## **Vijeta Broking India Private Limited**

(hereinafter referred as 'VBIPL')

**MEMBER : NATIONAL STOCK EXCHANGE OF INDIA  
SEBI REGN. NO. INZ000254833. CLEARING NO. 13186**

**MEMBER : BOMBAY STOCK EXCHANGE LIMITED  
SEBI REGN. NO. INZ000254833. CLEARING NO. 3278**

**MEMBER : CENTRAL DEPOSITORY SERVICES LIMITED  
CDSL DP REG NO. IN-DP-153-2015**

**CLINT REGISTRATION APPLICATION FORMS  
FOR INDIVIDUAL/SOLE PROPRIETERSHIP**

**Name of applicant:** \_\_\_\_\_

**Code. :** \_\_\_\_\_

**Introduser:** \_\_\_\_\_

**Code. :** \_\_\_\_\_

**Regd.Office: 118, Maharani Udhyog, 1st Floor Somnath Road, Nani Daman-396210**

**Phone: 42023300/309. E-Mail: [Igredressal@Vijetabroking.Com](mailto:Igredressal@Vijetabroking.Com)**

**Corp.Office: 1-C Jijibhoy Industrial Estate, 2nd Floor Opp. Vakharia Industrial Estate,  
Ram Mandir Road Goregaon West, Mumbai 400104**

**Phone: 42023300/309. E-Mail: [Igredressal@Vijetabroking.Com](mailto:Igredressal@Vijetabroking.Com)**

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<b>Name of stock broker/trading member/clearing member</b>	<b>Vijeta Broking India Pvt Ltd</b>
<b>SEBI Registration No. and date</b>	<b>SEBI REGISTRATION INZ000254833 April 12, 2019 NSE MEMBER CODE:-13186 BSE MEMBER CODE:-3278 -SX MEMBER CODE:- CDSL : IN-DP-153-2015 - October 29, 2015</b>
<b>Registered Office Address</b>	<b>118, Maharani Udyog, 1st Flor, Somnath Road, Dabhel, Nani Daman (UT) - 396210 Ph: +91-22-42023301 - 06 Fax: +91-22- Web site: <b>www.vijetabroking.com</b></b>
<b>Corporate Office Address</b>	<b>1/C,2nd Flor, Jijibhoy Industrial Estate, Opp Vakharia Estate,Ram Mandir Road, Goregaon(W), Mumbai - 400 104. Ph: +91-22-42023301 - 06 Fax: +91-22- Website: <b>www.vijetabroking.com</b></b>
<b>Name of compliance officer (Stock Broking)</b>	<b>Mrs. Ami Ankit Doshi Ph: +91-22-42023301 Email Id: <a href="mailto:compliance@vijetabroking.com">compliance@vijetabroking.com</a></b>
<b>Name of compliance officer (Depository participant)</b>	<b>Mr. Yatin Kantilal Shah Ph: +91-22-42023301 Email Id: <a href="mailto:cdsl@vijetabroking.com">cdsl@vijetabroking.com</a></b>
<b>Name of CEO</b>	<b>Mr. Yatin K Shah Mr. Mehul K Shah</b>

For any grievance / dispute please contact stock broker (Vijeta Broking India Pvt Ltd) at the above address or Email id [igredressal@vijetabroking.com](mailto:igredressal@vijetabroking.com) for stock broking related dispute or [igredressal@vijetabroking.com](mailto:igredressal@vijetabroking.com) for DP related dispute or can speak on Phone No. 91-22-42023301 . In case not satisfied with the response, please contact BSE at [is@bseindia.com](mailto:is@bseindia.com) and Phone no. 91-22-22728016 and NSE at [ignse@nse.co.in](mailto:ignse@nse.co.in) and Phone no. 18002660058 and CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com) and phone No. 1800-200-5533 .-sx at 022 – 67319000 (8978) and [customerservice@-sx.com](mailto:customerservice@-sx.com).

“You can also lodge your grievances with SEBI at <https://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575”.

**IMPORTANT INSTRUCTIONS for filling the KYC Form:**

1. The account opening form should be filled in BLACK / BLUE INK and CAPITAL LETTERS ONLY and do have Client Signatures at places Marked  
 in Grey color
2. All proofs, photographs and signature on the form should be clearly visible and should be self attested by client.
3. The details mentioned in the proof submitted matches with the form filled up by you as per the Checklist table.
4. Signatures and date of birth should match with the proof submitted.
5. White ink is not allowed on form. All corrections need to be countersigned with full signature.
6. In case of DP in joint names, all the proofs-PAN card and address proof should be provided for 2nd & 3rd Holder also.
7. Pan Card & Adhaar Card Proof of Nominee and Guardian also to be provided as required.

Validation Required	ID Details			Address Details		Bank Details	
Proof type	Name	Sign	Photo	Correspondence Address	Permanent Address	Bank Name & A/c No.	MICR/IFSC Code
PAN Card	✓	✓	✓				
UID (Aadhaar)	✓		✓	✓	✓		
Voter ID	✓		✓	✓	✓		
Driving Licence*	✓	✓	✓	✓	✓		
Passport*	✓	✓	✓	✓	✓		
Ration Card				✓	✓		
Telephone Bill** (Mobile bill not accepted)				✓	✓		
Electricity Bill**				✓	✓		
Bank Statement #				✓	✓	✓	✓
Bank Passbook ##				✓	✓	✓	
Cancelled Cheque (With Client name & A/c NO. Printed)						✓	✓
Bank Verification Letter (Original Stationary)	✓	✓	✓	✓	✓	✓	✓

**Abbreviations:**

- 1) \* The proof should be valid on the date of agreement.
- 2) \*\* The proof should not be more than 3 months old.
- 3) # Bank Statement should be attested and of latest quarter.
- 4) ## Bank Passbook should have Bank Manager's Stamp & Sign if it is hand written.

**PROOF OF FINANCIAL DETAILS, any one (for Derivatives only)**

Net-worth Certificate(CA certified) Return

Copy of Annual Accounts

Copy of Income Tax

Demat Holding Statement

Copy of Form 16 (Salary Certificate)

bank statement of last 6 Months

**ADDITIONAL PROOFS FOR NRI (NON RESIDENT INDIAN)**

1. Bank A/c should be either Repatriable Bank A/c for NRE or Non-Repatriable A/c for NRO Status.
2. Valid Passport/ PIO/ OCI card as proof of Identity. Proof of Foreign Address and Indian Address (if any)
3. Proof of Demat Account should be only with NRI Status.
4. Permission for dealing in securities from Authorized Dealer (Bank) / RBI.

**Additional Guidelines for NRI:**

1. NRE Account holder can repatriate their funds whereas NRO cannot repatriate.
2. PIS- PIS is a scheme of RBI under which NRI can purchase/ sell shares/ convertible debentures of Indian Companies or stock companies on stock exchanges under Portfolio Investment Scheme. PIS is compulsory if the person wants to trade in secondary market. NRE/NRO cannot have two PIS account. In case the person has an existing PIS account then he has to close one PIS account and then apply for a new account.
3. In DP, an account with repatriation benefit cannot be opened with joint name of any resident.
4. Overseas Corporate Body's are not allowed to open account in Indian Market w.e.f September 2003.

**PROOF OF EXISTING DEMAT ACCOUNT HOLDERS**
☐ Client Master Report    ☐ DP Statement

- 1) Client name & DP A/c No. on the proof of DP submitted should match with that mentioned in the account opening form.
- 2) DP Statement should clearly show DP ID & Client ID



Know Your Customer (KYC) Application Form				INDIVIDUAL
For Official use only		Application Type* <input checked="" type="checkbox"/> New <input type="checkbox"/> Update KYC Numb		
(Mandatory for KYC update request)				
Fields marked with* are mandatory fields Account <input type="checkbox"/> Normal <input type="checkbox"/> Simplified (for low risk customer) <input type="checkbox"/> Small				
Type*				
DP ID :-		Client ID :-		UCC ID :-
-				
<b>1. PERSONAL DETAILS</b>				
Name*				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				
Date of Birth *				
Gender *		<input type="checkbox"/> M-Male <input type="checkbox"/> F-Female <input type="checkbox"/> T-Transgender		
Marital Status*		<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others		
Citizenship*		<input type="checkbox"/> IN-Indian <input type="checkbox"/> Others (ISO 3166 COUNTRY CODE)		
Residential Status *		<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin		
Occupation Type *		<input type="checkbox"/> S-Service <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector ) <input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student ) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised		
		<b>FH1</b>		
<b>2. PROOF OF IDENTITY (Pol)*</b> (Certified copy of any one of the following Proof of Identity[Pol] needs to be submitted)				
<input checked="" type="checkbox"/> A- PAN Card		<input type="checkbox"/> B - UID (Aadhaar)		
<input type="checkbox"/> C- Voter ID Card		<input type="checkbox"/> NREGA Job Card		
<input type="checkbox"/> E- Passport Numb		Passport Expiry Date		
<input type="checkbox"/> F- Driving Licence		Driving Licence Expiry Date		
<input type="checkbox"/> G- Other (Any document notified by central government)		Identification Number		
<input type="checkbox"/> H- Simplified Measures Account- Document Typ		Identification Number		
<b>3. PROOF OF ADDRESS (PoA)</b>				
<b>3.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS</b>				
Certified copy of any one of the Proof of Address (PoA) as per the list in check list needs to be submitted				
Address Type* <input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified				
Proof of Address* <input type="checkbox"/> Passport <input type="checkbox"/> Driving Licence <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Others				
<input type="checkbox"/> Voter Identity Card <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Simplified Measures Account - Document Type code				
Address*				
City / Town / Village*				
District*		State		Pin /Post Code*
Country		Land Mark		
<b>3.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS *</b>				
<input type="checkbox"/> Address*				
City / Town / Village*				
District*		State		Pin /Post Code*
Country		Land Mark		

**4. CONTACT DETAILS**

All communications will be sent on provided Mobile no. / Email-ID)

Tel. (Off)  ---  Tel. (Res)  ---   
 Mobile  ---  Fax  Not available ---  Not available  
 Email Id

**5. DETAILS OF RELATED PERSON**

(In case of additional related persons, please fill 'Annexure B1')

☐ Addition of Related Pers ☐ Deletion of Related Pers ☐ KYC Number of Related Person (If Available)

 Related Person Type\* ☐ Guardian of minor ☐ Assignee ☐ Authorized Representative

Name\* N/A

(If KYC number and name are provided, below details of section 6 are optional)

**PROOF OF IDENTITY (POI) OF RELATED PERSON\***

☐ A- PAN Card N/A  
☐ B- UID (Aadhaar) N/A  
☐ C- Voter ID Card N/A  
☐ D- NREGA Job Card N/A  
☐ E- Passport Number N/A Passport Expiry Date N/A  
☐ F- Driving Licence N/A Driving Licence Expiry Date N/A  
☐ G- Others (any document notified by the central government) N/A  
 Identification Number N/A  
☐ H- Simplified Measures Account - Document Type code N/A  
 Identification Number N/A

**6. REMARKS (If any)****7. APPLICANT 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.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date Place 

Note : Separate KYC to be done for each client in case of more than one account holder (for DP only).

**FOR OFFICE USE ONLY**

Details of Employee /AP/ Authorized Signatory	Documents Verified with Originals	Client Interviewed by & IN-Person Verification done by	DD / MM / YYYY
Name			Seal / Stamp of the Intermediary
Designation/Code			
Date			
Signature			

ADDITIONAL DETAILS :-				
I / We request you to open a Demat / Trading account in my/ our name as per the following details:				
<b>A) DETAILS OF ACCOUNT HOLDER(S) :</b>				
Account Holder (s)	Sole / First Holder	Second Holder (for DP)	Third Holder (for DP)	
Name				
PAN				
UID No.				
<b>B) BANK DETAILS</b>				
Default Bank (Through which payout transactions would generally be routed)		<input type="checkbox"/> Cancelled Cheque (with client name and A/c no. printed)		
1.	Bank A/c Type	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current <input type="checkbox"/> Other (Please specify)		
2.	Bank Account Number			
3.	Bank Name			
4.	Branch Address			
5.	MICR NUMBER		IFSC	
<b>Additional Bank Details</b>				
1.	Bank A/c Type	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current <input type="checkbox"/> Other (Please specify)		
2.	Bank Account Number			
3.	Bank Name			
4.	Branch Address			
5.	MICR NUMBER		IFSC	
Proof of Additional Bank Submitted		<input type="checkbox"/> Bank Statement# <input type="checkbox"/> Cancelled Cheque (with client name and A/c no. printed) <input type="checkbox"/> Bank Passbook## <input type="checkbox"/> Bank Verification Letter (Original)		
<b>C) DEPOSITORY ACCOUNT(S) DETAILS</b>				
Depository Name (NSDL / CDSL)	DP Name	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
<b>D) OTHERS DETAILS</b> (please tick any one)				
Gross Annual Income Details		<input type="checkbox"/> Below Rs. 1 lac <input type="checkbox"/> Rs. 1 - 5 lac <input type="checkbox"/> Rs. 5 - 10 lac <input type="checkbox"/> Rs. 10 - 25 lac <input type="checkbox"/> More than Rs. 25 lac		
Networth (Optional)	Amount (Rs.)	As on date _____ (networth should not be older than 1 year)		
<b>E) TYPE OF ACCOUNT</b> (for DP only)		<input type="checkbox"/> Individual <input type="checkbox"/> NRI <input type="checkbox"/> Foreign National <b>INDIVIDUAL RESIDENT</b>		
Individual	<input type="checkbox"/> Individual Residence <input type="checkbox"/> Individual Director <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual HUF/AOP <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C(MANTRA) <input type="checkbox"/> MINOR <input type="checkbox"/> Others (Please specify) _____			
NRI	<input type="checkbox"/> NRI Repartiable <input type="checkbox"/> NRI Non-Repartiable <input type="checkbox"/> NRI Repartiable Promoter <input type="checkbox"/> NRI Non-Repartiable Promoter <input type="checkbox"/> NRI Depository Receipts <input type="checkbox"/> Others (Please specify) _____			
Foreign National	<input type="checkbox"/> Foreign-Normal <input type="checkbox"/> Foreign-Depository Receipts <input type="checkbox"/> Others (Please specify) _____			
<input type="checkbox"/> Politically Exposed Person <input type="checkbox"/> Related to a Politically Exposed Person <input type="checkbox"/> None				
For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the DP account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below :				
a) Name	-----		b) PAN	-----
<b>F) IN CASE OF NRI'S / FOREIGN NATIONALS</b>				
RBI Approval Reference Number	-----			
RBI Approval date	-----			

<b>G)</b>	<b>GUARDIAN DETAILS</b> (where Sole Holder is a Minor) ( For DP only) : [For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)] Guardian Name _____ PAN _____ Relationship of guardian with minor _____				
<b>H)</b>	<b>FAMILY DECLARATION FOR SAME MOBILE NUMBER / EMAIL ID</b>				
		First Holder	Second Holder	Third Holder	
	Mobile Number Declaration	I hereby declare that the Mobile number as per KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family (tick relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents	I hereby declare that the Mobile number as per KYC <input type="checkbox"/> Self OR <input type="checkbox"/> Family (tick relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents	I hereby declare that the Mobile number as per KYC <input type="checkbox"/> Self OR <input type="checkbox"/> Family (tick relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents	
	Email ID Declaration	I hereby declare that the Email ID as per KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family (tick relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents	I hereby declare that the Email ID as per KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family (tick relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents	I hereby declare that the Email ID as per KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family (tick relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents	
<b>I)</b>	<b>OPTION FOR ISSUE OF DIS BOOKLET</b>				
	<input type="checkbox"/> Option 1 :	I/We request you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our demat account though I/We have issued a Power of Attorney (POA)/ executed PMS Agreement in favour of/with _____ (name of the Attorney / Clearing Member / PMS Manager) for executing delivery instruction for settling stock exchanges trades (settlement related transactions) effected through such Clearing Member / by PMS Manager.			
	<input type="checkbox"/> Option 2 :	I/We do not request you to issue Delivery Instruction Slips (DIS) for the time being, since I/We have issued a POA/ executed PMS agreement in favour of/with _____ (name of attorney / Clearing Member / PMS Manager) for executing delivery instructions for settling stock exchange trade (settlement related transaction) effected through such Clearing Member / by PMS Manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.			
<b>J)</b>	<b>STANDING INSTRUCTIONS</b>			Yes	No
	1.	I / We authorise you to receive credits automatically into my / our account.		<input checked="" type="checkbox"/>	<input type="checkbox"/>
	2.	Account to be operated through Power of Attorney (POA)		<input type="checkbox"/>	<input checked="" type="checkbox"/>
	3.	SMS Alert facility : [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]		Annexure 2.4	
		Sr .No.	Holder	Yes	No
		1.	Sole / First Holder	<input type="checkbox"/>	<input type="checkbox"/>
		2.	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>
		3.	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>
	4.	I/We request you to enable my/our account for Auto Pledge confirmation.		<input type="checkbox"/>	<input checked="" type="checkbox"/>
	5.	Mode of receiving Statement of account (tick any one)	<input type="checkbox"/> Physical Form	<input type="checkbox"/> Electronic Form (Read Note 4 and ensure that email ID is provided in KYC Application Form)	
<b>K)</b>	<b>TRADING PREFERENCES</b>				
	*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.				
	<b>Exchanges</b>	<b>Segments</b>			
	NSE	CM FH3	FO FH4	CD FH5	SLB
	BSE	CM FH6	FO FH7	CD FH8	MF SLB
	<b>CM</b> = Cash Segment, <b>FO</b> = Futures & Options Segment, <b>CD</b> = Currency Derivatives Segment, <b>MF</b> = Mutual Fund				

<b>L)</b>	<b>PAST ACTIONS</b>		
	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		
<b>M)</b>	<b>DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS</b>		
	<ul style="list-style-type: none"> <li>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 (in 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: _____ </li> <li>Details of disputes/dues pending from/to such stock broker/sub-broker : _____</li> </ul>		
<b>N)</b>	<b>ADDITIONAL DETAILS</b>		
	<ul style="list-style-type: none"> <li>I wish to avail Standard KYC documents (Rights &amp; Obligations of Beneficial Owner / Client / Depositories/ Participants / Trading Members as prescribed by SEBI &amp; Depositories ) <input type="checkbox"/> Physical Form <input checked="" type="checkbox"/> Electronic Form</li> <li>I wish to receive Contract Note and other documents <input type="checkbox"/> Physical Form <input checked="" type="checkbox"/> Electronic Form</li> <li>I wish to avail facility for Trading <input type="checkbox"/> Internet trading <input checked="" type="checkbox"/> Wireless technology</li> <li>Number of years of Investment/Trading Experience : _____</li> <li>Any other information _____</li> </ul>		
<b>O)</b>	<b>INTRODUCER DETAILS (OPTIONAL)</b>		
	<ul style="list-style-type: none"> <li>Name of the Introducer _____</li> <li>Status of the Introducer _____  (Sub-broker / Remiser / Authorized Person / Existing Client / Others, please specify)</li> <li>Address of the Introducer _____</li> </ul>		
<b>FOR OFFICE USE ONLY</b>			
UCC Code allotted to the Client : _____		Branch Code : _____	
	Documents verified with Originals	Client Interviewed by	In-Person Verification done by
Name of the Person			
NSE / BSE AP Registration Number / SEBI / Employee Code			
Designation			
Date			
Signature			
<p>I / We undertake that I/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</p> <div style="background-color: #cccccc; height: 30px; width: 300px; margin-bottom: 10px;"></div> <div style="display: flex; justify-content: space-between;"> <div> Signature of the Authorised Signatory of Stock Broker  Date : _____ </div> <div> Seal/Stamp of the stock broker </div> </div>			

# Declaration

I/We would like to share the email ID with RTA		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No									
I/We would like to receive the annual report		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 checked="" type="checkbox"/> Yes	<input type="checkbox"/> No									
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure-2.6	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 checked="" 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%;"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </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 <a href="http://www.cdslindia.com">www.cdslindia.com</a> . easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.											
I / We wish to avail the following facility:												
Basic Services Demat A/C facility:		<input type="checkbox"/> YES (Please sign the BSDA declaration) <input type="checkbox"/> No <input type="checkbox"/> Opted Out										
Rajiv Gandhi Equity Savings Scheme (RGESS)		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No										

"Client who does not want to execute voluntary clauses/document can cancel the same"

Signature of the Client :

FH9 

SH1



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

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

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

# DECLARATION

1. 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.
2. 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.
3. 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.

Name				Signature <b>FH10</b>	
Place		Date		Signature <b>SH2</b>	
FOR OFFICE USE					
UCC Code allotted to the Client:					
Documents verified with Originals	Client Interviewed / Approved by			In person Verification done by	
Name					
Signature					
Designation					
Employee Code					
Date					

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.

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

Signature of the Authorised Signatory

Seal/Stamp of the stock broker

## POLICIES & PROCEDURES

This document outlines various policies and procedures framed and followed by Vijeta Broking India Private Limited (VBIPL) with respect to its dealing with its clients as a stock broker on National Stock Exchange of India Ltd. ("NSE"), Bombay Stock Exchange Ltd. ("BSE") (collectively herein after referred as "The Exchanges").

The policies and procedures as stated herein below are subject to change from time to time at the sole discretion of Stock Broker, depending upon regulatory changes, its risk management framework, other market conditions, etc.

The said policies and procedures which are subject to up gradation in the same from time to time are produced below for the benefit and notice of all our clients.

### 1. Refusal of orders for Penny Stocks and/or illiquid Stocks/Contracts/Options.

In view of the risks associated in dealing with Penny Stocks and/or illiquid Stocks/Contracts/options, VBIPL would generally advice its clients to desist from trading in them. Further, SEBI, Exchanges or VBIPL may issue circulars or guidelines necessitating exercising additional due diligence by the clients for dealing in such securities. A security may be treated as Penny Stocks / illiquid Stock / Contracts / Options if it falls in anyone category as mentioned herein below :

- Securities (with face value of Rs.10 and above) traded at less than Rs.10/- on any of the Exchanges.
- Securities appearing in the list of illiquid securities issued by the Exchanges periodically.
- Securities forming part of Trade-to-Trade settlement.
- Securities forming part of Z, IP,P,PZ,R,M,MT,IT,SM group.
- Securities on which Exchange VaR is more than 50%.
- Securities whose average daily volume in last 3 Months is less than 50,000 shares or Rs. 50 lacs in value which ever is higher (collectively for all Exchanges).
- Securities which have not been traded on all the trading days on which trading took place in the exchange during last 3 months.
- Illiquid options / near & far month options/ long dated options/ far month future.
- Securities list identified under Graded Surveillance Measure [GSM] or put under surveillance by Exchange / SEBI
- Any other securities/ contract/options as may be decided by VBIPL, which may be considered by VBIPL as volatile or subject to market manipulation or have concentration risk at client level or at the security level or any other reason.

Trading in such securities will be allowed to the client at the discretion of VBIPL. Such securities may be blocked in normal trading system and any dealing in such securities may be allowed only on the approval of the Risk team and subject to such terms & conditions/requirements as may be deemed fit by VBIPL. VBIPL may restrict the quantity of such securities, insist up to 100% advance pay-in of funds/securities, suspend purchase, allow only sell subject to shares available in advance in VBIPL Depository account.

Under no circumstances, VBIPL shall be responsible for non-execution/delay in execution of such orders and consequential opportunity loss or financial loss to the client. The above list of criteria is an indicative list. VBIPL may define from time to time other category/ criteria to treat a security as Penny Stocks/illiquid Stock/Contracts/Options.

### 2. Setting up the client's exposure limits.

While setting up the exposure limits for and on behalf of the clients, Stock Broker broadly takes into consideration the regulatory requirement, client profile, internal risk management policy, market conditions, etc. considering the said parameters the exposure limit for a client would be set up as follows:

- Exposure limits to the client will be provided based on the available margin in the client's broking account maintained with VBIPL.
- The exposure limits will be depending upon the category of the scrip in which the Client will transact and will be as decided by VBIPL from time to time and may vary from client to client.
- On a case-to-case basis VBIPL, at its discretion, may allow higher exposure limits to the client.
- Single Order Quantity, Single Order Value, Total Turnover cap may be set depending upon client to client.
- In case of cash segment, VBIPL may at its discretion allow clean exposure limit up to certain amount to the client without insisting for any credit balance and / or margin. The quantum of clean exposure limit shall be decided by VBIPL. On a case - to - case basis VBIPL may, at its discretion, give higher clean exposure limits to certain set of the clients. VBIPL reserves the right to withdraw clean exposure limit granted to the client at any point of time at its discretion. The client cannot raise any concern/dispute for the same.
- Available margin for the purpose of granting exposure is calculated as a sum of free credit balance of the client in VBIPL's books, margin in the form of funds, securities, bank fixed deposit, bank guarantee, etc. of the client available with VBIPL, and the value of securities held in the client demat account for which power of attorney is granted in favour of VBIPL.
- The choice of the securities to be considered as margin shall be determined by VBIPL at its discretion from time to time and the client shall abide by the same.
- While granting the exposure limit, margin in the form of securities will be valued as per the latest available closing price on NSE or BSE after applying appropriate haircut as may be decided by VBIPL at its discretion.
- VBIPL may from time to time depending on market conditions, profile and history of the client, type and nature of scrip, etc., at its discretion charge/change the rate of haircut applicable on the securities given as margin, multiplier for granting exposure in Cash / F&O segments and take such steps as VBIPL may deem appropriate.
- The Client will have to abide by the exposure limit set by VBIPL.



### 3. Applicable Brokerage Rate.

For rendering the broking services, VBIPL charges brokerage to the client. The Brokerage rate will be as per the terms agreed with the client at the time of client registration. The brokerage rate will be communicated to the client by way of Welcome letter sent to him. The client shall verify the welcome kit and revert within 30 days in case the brokerage rate is not as per the terms agreed.

The brokerage rate may be varied in future as agreed between the client and VBIPL either in writing or orally from time to time. In case of oral agreement, if the brokerage is charged at such revised rate in contract note subsequent to revision and the client does not raise any dispute on such brokerage within a reasonable time then the same will be considered as consented by the client.

The brokerage rate at no point of time will exceed the rates as may be specified by the Exchanges/SEBI from time to time.

The brokerage will be exclusive of the following except in cases where it is agreed otherwise:

- GST (Goods & Services Tax)
- SEBI/ Exchange/ Clearing member charges/Stamp duty
- Statutory charges payable to Exchange/SEBI/Govt. Authorities etc.
- Any other charges towards customized/specialized service.

### 4. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period. Impositions of Penalties.

The Exchanges/Clearing Corporation/SEBI levies penalties on the broker for irregularities observed by them during the course of business. VBIPL shall recover such imposed penalties/levies, if any, by the Exchange/regulators, from the client which arise on account of dealings by such client. Few of the examples of violations for which penalties may be levied are as follows :

- Auction of securities pursuant to short deliveries by the client.
- Non adherence to client level exposure limits in Cash and F&O segment;
- Short margin reporting in F&O Segment;
- Any other reasons which may be specified by the Exchanges/Clearing Corporation/SEBI from time to time.
- Such recovery would be by way of debit in the ledger of the client and amounts would be adjusted against the dues owed by VBIPL to the clients.

#### Delayed payment charges

It is the responsibility of the client to ensure that the required margins (including but not limited to initial margin, mark to market and/or other margins), any outstanding settlement obligations and/or any other dues payable to VBIPL are paid within the time stipulated by the Exchange/VBIPL, whichever is earlier. For the purpose of calculating required margin, there should be adequate percentage of cash margin and non-cash margin as prescribed by the exchange from time to time. Further, stock margin shall be calculated on the value of stock after appropriate haircut of stocks as per VBIPL's haircut.

In the event the client defaults in meeting his/her/its above obligations towards VBIPL and maintain any debit balance/Margin shortfall/shortfall in Cash Margin in VBIPL's books beyond the stipulated time period, there shall be deployment of funds/securities by VBIPL. In such a situation VBIPL shall have absolute discretion to charge and recover from the client's account, delayed payment charges at such rate (not exceeding 21% p.a.)/manner/interval as may be determined by VBIPL from time to time for the delayed period on the deficit amount.

The delayed payment charges are only a penal measure to deter the client from delaying the payment. The client should not construe it as funding arrangement. The client cannot demand continuation of service on a permanent basis citing levy of delayed payment charges. The client will not be entitled to any interest on the credit balance/surplus margin available/kept any clearing member during that time.

### 5. The Right to sell clients securities or close client's positions on account of non-payment of client's dues.

The client needs to furnish adequate margin as specified by VBIPL from time to time at its sole and absolute discretion. It shall be the client's responsibility to track margins/ obligations and to ascertain in advance the margin requirement for his / her / its order/trades/deals and to ensure the required margin is made available to VBIPL in such form/manner/time as may be required by VBIPL whether or not any margin call or such other communication to that effect is sent by VBIPL to the client. The margin will have to be paid within the time frame stipulated by the Exchange or VBIPL, generally in case of fresh positions upfront, in case of mark to market and/or any other additional margins on same day or before the commencement of trading on next day and in case where the Exchanges levy and/or increase any margin required during the day, immediately upon levy and/or increase in any such margin. The client shall keep adequate margin for Mark to Market (MTM)/Margin on live tick basis during the market hours for its open position. If there is a short fall during the market hours, client shall bring in additional margin/funds for the short fall and shall have no excuse of paying such MTM/Margin on T+1 or T+2 basis as regularly allowed by the Exchange. VBIPL shall have right but not an obligation to square up such open position in what so ever manner it thinks fit due to such shortfall of MTM/margin during the market hours

The Client shall fulfill all his/her/its settlement obligations and/or other liabilities including but not limited to DP charges to VBIPL within the time frame stipulated by the VBIPL or the Exchanges.

In case the payment of the margin/ security is made by the client through a bank instrument, VBIPL shall be at liberty to give the benefit/ credit for the same only on the realization of the funds from the said bank instrument etc. at the discretion of VBIPL. Without prejudice to its other rights and remedies available under the member client documents executed/to be executed by and between the client and VBIPL or at Law, VBIPL shall be entitled, in its discretion, to liquidate/close out all or any of the client's open/outstanding position, sell the client's securities (both unpaid securities as well as collaterals towards margin) available with VBIPL and/or held in the client's demat account for which power of attorney is granted in favor of VBIPL at any time to recover its dues in the following circumstances:

- If the client fails to pay any margin, settlement obligations and/or other liabilities (including but not limited to DP charges) due to VBIPL within the stipulated time frame;

- In case the margin requirement/mark to market (MTM) loss on outstanding open position reaches or crosses fifty percentage / such higher percentage as may be fixed by VBIPL , of available margin at any time or circumstances arise or are likely to arise which may in the opinion of VBIPL , jeopardize its interest and expose it to any financial loss or damage
- In case client is allowed extra exposure on intraday basis, the position may be liquidated as above at any time on mark to market (MTM) loss reaching or crossing fifty percentage/higher percentage as may be fixed by VBIPL, of available collateral after specified haircut, prior to the close of the normal market.

The value of stock margin shall be determined after applying appropriate haircut rates as approved and amended by VBIPL from time to time. The margin requirement as determined by VBIPL shall be final and no question shall be raised about the same. VBIPL shall be free to change the margin requirement, haircut of stock margin depending upon the market volatility and other future market situation and no question or objection shall be raised for increase in such margin requirement or reduction in the value of collaterals.

Any and all losses (actual or notional), financial charges, damages on account of such liquidation / sell / close-out/ non-liquidation / extension or waiver granted for liquidation shall be borne by the client only.

#### **6. Shortage in obligation arising out of internal netting of trades.**

In case the client fails to deliver the shares against his obligation within pay-in-time and there is no market obligation in that particular stock, (i.e. in case of internal client's to clients' positions) the account of the client who defaulted to deliver the shares is debited with an amount equivalent to the highest closing rate from trade date to payin date plus a mark up of 5% and correspondingly a credit of same amount is given to the client who had purchased the shares but did not receive the delivery due to default in delivery by other client.

This policy is applicable only for the internal shortage i.e. Client to client position and is not applicable in the cases where the shares are received short from the exchange itself.

#### **7. Conditions under which the client may not be allowed to take further positions or VBIPL may close existing position of a client.**

An illustrative list of circumstances in which VBIPL may not allow the client to take further positions or may close/liquidate a part of or whole of the existing position of the client are as follows :

- Failure by the client in providing sufficient/adequate margins and/or insufficient/inadequate free credit balance available in clients' broking account with VBIPL ;
- If the client fails to deposit the margin/additional margin by the deadline or if an outstanding debt occurs in the Client's brokerage account with VBIPL.
- If the client fails to maintain the requisite margin in such form and manner as may be specified by VBIPL from time to time.
- Settlement obligations are not paid by the client within the time frame allowed by the Exchanges or as per the norms specified by VBIPL from time to time.
- Securities falling in the category of Penny Stocks/illiquid Stocks/Contract/Options,
- Trades which apparently in the discretion of VBIPL seems to be Synchronized trades / Circular trading / Artificial trading / manipulative in nature, etc.;
- Securities/F&O contracts banned by the regulatory authorities;
- Any ban imposed on the client by the regulatory authorities;
- Where name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI / Exchanges (where the information available for the debarred entity (other than name) is not sufficient enough to establish that the client and such debarred entity are one and the same);
- The client fails to furnish documents/information as may be called for by VBIPL from time to time as per regulatory requirement and/or as per its internal policy.
- In the event of death or insolvency of the client or the client otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold;
- Where due to adverse movement in the prices of stocks in which the client has position, (in CM or F&O) or given as collaterals, the chances of the account of the client going uncovered or unsecured i.e. Not backed by any kind of security arises.

VBIPL will not be responsible for any opportunity loss or financial loss to the client in the event any action taken by it under this policy.

#### **8. Temporary suspending or closing client's broking account at client request.**

A client who wishes to temporarily suspend or close his/her/its broking account can do so by submitting a written request or by email (through email id registered with VBIPL ) in the form and format as may be prescribed by VBIPL .The request can be submitted to the head office of VBIPL . Prior to submission of such request the client should ensure that all amount due and payable to VBIPL are paid. Requests from a client where no dues are outstanding would be processed within 10 working days from the date of receipt of the request.

If the client wants to activate the broking account then a request for reactivating the broking account should be sent in writing/via email (through email id registered with VBIPL) to VBIPL along with such documentary evidence as may be specified by VBIPL from time to time.

#### **9.De-Registering a client.**

Without prejudice to VBIPL 's rights and remedies as mentioned in Rights & Obligations document, VBIPL may forthwith, at its discretion, de-register the client in the following circumstances:

- (i) Where the client indulges in any irregular trading activities like synchronized trading, price manipulation, trading in illiquid securities / options / contracts, self trades, trading in securities at prices significantly away from market prices, etc;

- (ii) Any enquiry/investigation is initiated by the Exchanges/regulators against the client;
- (iii) Any regulatory action taken/initiated against the client by the Exchanges / regulators including but not limited to debarring the client from accessing the capital market;
- (iv) Where name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI/Exchanges (where no information other than name is available);
- (v) On the death/lunacy or other disability of the Client;
- (vi) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (vii) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (viii) If the client being a partnership firm, any steps has been taken by the Client and/or its partners for dissolution of the partnership;
- (ix) Name of the client appears in database/website of VBIPL, Watch Out Investors, World check, UN List etc;
- (x) The client having suspicious background or link with suspicious organization; Where the client is nontraceable, has pending disputes with any clearing member active at that time, possibility of a default by the client;
- (xi) any other circumstances leading to a breach of confidence in the client for reasons like return of undelivered couriers citing reason of "NO such person / Addressee left/ Refusal to accept mails, etc.", continuous cheque bouncing, or not furnishing the financial and other details as may be called for by VBIPL from time to time, etc.,
- (xii) It becomes unviable to do business by VBIPL with the Client

In all such case, VBIPL shall have the right to close out the existing open positions/contracts, sell/liquidate the margin (in any form) to recover its dues, if any, before de-registering the client. Any action taken by VBIPL in terms of this policy shall not be challenged by the client, and VBIPL shall not be liable to the client for any loss or damage (actual/notional), which may be caused to the client as a result. Also while deregistering the client, VBIPL may retain certain amount/securities due/belonging to the client for meeting any future losses, liability, penalties, etc., arising out of dealing of the client with VBIPL. In case if any securities retained by VBIPL is sold/liquidated to recover any such losses, liability, penalties, etc., VBIPL shall have the authority to decide the mode, manner and the price at which to effect the sale of securities and the client can not raise any dispute as to the manner, mode and the price at which the securities are sold by VBIPL.

In any of the above circumstances, if the client is able to justify his/her/its innocence either by producing any record, document or otherwise to the full satisfaction of VBIPL may reconsider its decision of de-registering the client. However in no circumstances any action taken by VBIPL till the date of re-registration shall be challenged by the client and VBIPL shall not be liable to the client for any loss or damage (actual/notional), which may be caused to the client as a result.

#### **10. Policy for Inactive clients.**

Any client who has not traded with VBIPL in any of the Exchange for last 6 months calculated from the end of the month in which client last traded or such other period as may be decided by VBIPL at its discretion then such client would be termed as a Dormant/Inactive Client.

The broking account of such client may be deactivated / suspended temporarily by VBIPL. If the client wants to activate the broking account then a request for reactivating the broking account should be sent in writing / via email (through email id registered with VBIPL) to VBIPL. Such request for reactivation should be accompanied along with such documentary evidence as may be specified by VBIPL from time to time.

If the client is tagged as a Dormant/inactive client, then the funds/securities lying with VBIPL may be refunded/ returned to the clients at his/her/its last known bank account/DP account or sent at last known address of the client as per VBIPL record.

#### **Client Acceptance of Policies and procedures stated herein above :-**

I/We have fully understood the policies and procedures and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses of this document under any circumstances what so ever. These policies and procedures may be amended/changed by the broker, provided the change is informed to me through anyone or more means or methods such as post/speed post/courier/ registered post/facsimile/telegram / cable/e-mail / voice mails / telephone including SMS on the mobile phone / by messaging on the computer screen of the client's computer or any other similar device

Signature of the Client :  FH11

 SH3

# TERMS & CONDITION-CUM-REGISTRATION/ MODIFICATION FORM FOR RECEIVING SMS ALERT FROM CDSL

**[SMS Alerts will be sent by CDSL to BOs for all debits and for all credit as well]**

## 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 successor 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 & 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 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 period.
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, e-mail 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 sends an email to CDSL at [complaints@cdslindia.com](mailto: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 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 without proper authorization, the BO should immediately inform the DP in writing.

**Fees :**

Depository reserves the right to change 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 alerts transmitted 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 (Beneficiary Owner's) . Any such 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 purpose 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).

BOLD

1	2	0	6	9	5	0	0	
---	---	---	---	---	---	---	---	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name :

\_\_\_\_\_

Second Holders Name :

\_\_\_\_\_

Third Holder's Name :

\_\_\_\_\_

Mobile Number on which message 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 :

\_\_\_\_\_

E-mail ID :

\_\_\_\_\_

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

Signatures

FH12



Sole / First Holder

SH4



Second Holder

TH



Third Holder

Place :

\_\_\_\_\_

Date:

\_\_\_\_\_

## TARIFF SHEET (TRADING)

### Normal Trading :

Particulars	Delivery (CM Segment)	Square off (CM Segment)	Future (Equity & CDS)	Option (Equity & CDS)	
Brokerage				Index	Stock
Minimum Brokerage					Brokerage

### Internet /Mobile Trading :

Particulars	Delivery (CM Segment)	Square off (CM Segment)	Future (Equity & CDS)	Option (Equity & CDS)	
Brokerage				Index	Stock
Minimum Brokerage					Brokerage

### Mutual Fund Tariff Sheet :

Particulars	Liquid	Equity	Debt	Diversified	Others
Brokerage					

### Terms and Condition :

- In cash Segment brokerage will be charged at the highest value, which will be derived after considering following 3 criteria :
  - Brokerage slab (as mentioned in above Tariff Sheet)
  - For intra-day trades, brokerage up to Rs. 15 for each executed order
  - For delivery based trades, brokerage up to Rs. 30 for each executed order
 (Above 3 criteria are subject to maximum rate(s) as prescribed by the regulator(s) from time to time)
- Other charges like STT, GST (Goods & Services Tax), Stamp duty, SEBI charges, Transaction Charges & other charges if any shall be levied as per the stipulation of the relevant authorities and hence subject to change from time to time. In addition to the above, charges may be levied on account of Cheque Return, Issue of Duplicate Reports / Statements, other Value Added Services and may be recovered from your account.
- ECSL or any clearing member active at that time reserves the right to change the brokerage as well as other tariff from time to time under intimation to client.

(To be continued.....)

## VIJETA BROKING INDIA PRIVATE LIMITED

1/C, 2nd Floor, Jijibhoy Industrial Estate, Opp Vakharia Estate, Ram Mandir Road,  
Goregaon(W), Mumbai - 400 104

### TARIFF CHARGES FOR NEW DEMAT ACCOUNT OPENING

Particulars	Individual & HUF	Other than Individual & HUF (Which include corporate, partnership firm, trust, NRI etc.)
Account Opening charges	NIL	NIL
Transaction Charges	For On Market Rs.20/- For Off Market Min. Rs.50/- Or 0.01% Off Market Value Whichever Is Higher	For On Market Rs.20/- For Off Market Min. Rs.50/- Or 0.01% Off Market Value Whichever Is Higher
Annual Maintenance Charges (Annual)	Rs.300/-	Rs.1000/-
Dematerialisation	Rs.150/- Per Certificate + RS.100/- courier charges	Rs.150/- Per Certificate + RS.100/- courier charges
Remat Charges	Rs.150/- Per ISIN (Minimum Quantity of 100 share & multiple there off)	
Mutual fund Redemption charges	0.06 % of the value or Rs.100 per unit whichever is higher of value	
Normal Pledge Creation / Closure	0.02 % of value	
Margin Pledge / Re-pledge Margin Unpledged Invocation	RS.50/- Per ISIN RS.50/- Per ISIN 0.05 % of value	
Other Charges	<ul style="list-style-type: none"><li>KRA charges of Rs.100/-</li><li>Cheque Bounce- Rs. 350/-</li><li>Physical Statement - Rs. 100/-</li><li>Modification in CML - Rs. 25/- per request</li><li>Dis lost new book issued Rs.200/- per book</li><li>A/c &amp; ISIN freezing/ de-freezing Rs.100/-.</li></ul>	

A) The above charges are subject to Taxes and duties as applicable as per government Rules

B) GST as per prevailing Rates will be applicable on all Charges





**FATCA & CRS**  
**Annexure for Individual Accounts**

(Including Sole Proprietor) (Refer to instructions)  
(Please consult your professional tax advisor for further guidance on your tax residency, if required)

First / Sole Applicant / Guardian

Name			
Gender		PAN	Occupation Type
Father's Name			
Cust ID / Folio No./Client Code			

Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & notify the changes.

Type of address given at KYC	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office
Permissible documents are	<input type="radio"/> Passport <input type="radio"/> Election ID Card <input type="radio"/> PAN Card <input type="radio"/> Driving license <input type="radio"/> UIDAI Card <input type="radio"/> NREGA Job Card <input type="radio"/> Others			

Date of Birth		Place of Birth	
Country of Birth			
Nationality			
Are you a tax resident of any country other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country #	Tax Identification Number %	Identification Type (TIN or Other, please specify)

# To also include USA, where the Individual is a citizen / green card holder of The USA

% In case Tax Identification Number is not available, kindly provide its functional equivalent \$

**Second applicant**

Name			
Gender		PAN	Occupation Type
Father's Name			
Cust ID / Folio No./Client Code			

Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & notify the changes.

Type of address given at KYC	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office
Permissible documents are	<input type="radio"/> Passport <input type="radio"/> Election ID Card <input type="radio"/> PAN Card <input type="radio"/> Govt. ID Card <input type="radio"/> Driving License <input type="radio"/> UIDAI Card <input type="radio"/> NREGA Job Card <input type="radio"/> Others			

Date of Birth		Place of Birth	
Nationality			
Are you a tax resident of any country other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country #	Tax Identification Number %	Identification Type (TIN or Other, please specify)

# To also include USA, where the Individual is a citizen / green card holder of The USA

% In case Tax Identification Number is not available, kindly provide its functional equivalent \$



**Third applicant**

<b>Name</b>			
<b>Gender</b>		<b>PAN</b>	<b>Occupation Type</b>
<b>Father's Name</b>			
<b>Cust ID / Folio No./Client Code</b>			

Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & notify the changes.

<b>Type of address given at KYC</b>	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office
<b>Permissible documents are</b>	<input type="radio"/> Passport <input type="radio"/> Election ID Card <input type="radio"/> PAN Card <input type="radio"/> Govt. ID Card <input type="radio"/> Driving License <input type="radio"/> UIDAI Card <input type="radio"/> NREGA Job Card <input type="radio"/> Others			

<b>Date of Birth</b>		<b>Place of Birth</b>	
<b>Nationality</b>			

Are you a tax resident of any country other than India? ☐ Yes ☐ No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country #	Tax Identification Number %	Identification Type (TIN or Other, please specify)
-----------	-----------------------------	---

# To also include USA, where the Individual is a citizen / green card holder of The USA

% In case Tax Identification Number is not available, kindly provide its functional equivalent \$

**Certification**

I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instruction) and hereby confirm that the information provide by me/us on this Form is true, correct, and complete. I / We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

**Signatures**

FH15	SH6	
First / Sole Applicant / Guardian	Second Applicant	Third Applicant
Date	Place	

**FATCA & CRS Terms & Conditions**

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Incometax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto..

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e.within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with Vijeta Broking India Private Limited or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information..

## Nomination Form Annexure A

Nomination Form Annexure A				
			<b>FORM FOR NOMINATION</b> <i>(To be filled in by individual applying singly or jointly)</i>	
Date		UCC/ DP ID	/	Client ID
<input type="checkbox"/> I/We wish to make a nomination. [As per details given below]				
<b>NOMINATION DETAILS</b>				
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.				
Nomination can be made upto three nominees in the account		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the nominee(s) Mr./Ms.)			
2.	Share of each Nominee Equally [If not equally, please specify percentage]	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				
3.	Relationship with the Applicant (if any)			
4.	Address of Nominee(s)  City / Place: State & Country:			
	PIN Code			
5.	Mobile/Telephone No. of Nominee(s)			
6.	Email ID of nominee(s)			
7.	Nominee Identification details [Please tick any one of following and provide details of same]			
	<input type="checkbox"/> Photograph & Signature			
	<input type="checkbox"/> PAN			
	<input type="checkbox"/> Aadhaar			
	<input type="checkbox"/> Saving Bank A/c No.			
	<input type="checkbox"/> Proof of Identity			
	<input type="checkbox"/> Demat Account ID			
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor :				
8	Date of Birth {in case of minor nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10	Address of Guardian(s)  City / Place: State & Country:			
	PIN Code			

11	Mobile / Telephone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details –[Please tick any one of following and provide details of same]			
	<input type="checkbox"/> Photograph & Signature			
	<input type="checkbox"/> PAN			
	<input type="checkbox"/> Aadhaar			
	<input type="checkbox"/> Saving Bank A/c No.			
	<input type="checkbox"/> Proof of Identity			
	<input type="checkbox"/> Demat Account ID			
		Name(s) of Holder(s)		Signature(s) of Holder
	Sole/First Holder (Mr./Ms.)			FH16
	Second Holder (Mr./Ms.)			SH7
	Third Holder (Mr./Ms.)			

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

**Note:**

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

**Declaration Form for opting out of nomination  
Annexure B**

To	Date	
UCC/DP ID		/
Client ID (only for Demat account)		
Sole/First Holder Name		
Second Holder Name		
Third Holder Name		
<p>I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.</p>		
<b>Name and Signature of Holder(s)*</b>		
<div style="display: flex; justify-content: space-between;"> <span>1. <u>FH16-A</u></span> <span>2. <u>SHZ-A</u></span> <span>3. _____</span> </div>		
<p>* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature</p>		

## Voluntary Document

Date:

To

Vijeta Broking India Pvt Ltd  
1/C, Jijibhoy Industrial Estate, 2nd  
Floor, Opp Vakharia Estate,  
Ram Mandir Road, Goregaon  
(W), Mumbai- 400104.

Sub : Letter of Understanding

Ref :- Trading Code

Dear Sir,

1. I/We inform that I /We have/may have demat A/c with you. In such a case in order to avoid inconvenience to issue cheque against my /our depository bills, I /We hereby authorise and instruct you to recover the demat charges by debiting my/our ledger A/c with you for trading purpose.
2. I/We hereby authorise you to pledge/deposit my/our securities lying in the beneficiary account of "Vijeta Broking India Private Limited- Client Account" with stock exchange(s)/ Clearing House/Clearing Corporations/Clearing Members/ Banks/NBFC/Others as may be required from time to time. The securities may be transferred from my/our demat account to "Vijeta Broking India Private Limited-Client A/c" by exercising the Power of Attorney duly executed by me/us in your favour or any other mode as may be permissible under the rules and regulations of the exchange/SEBI. Further, I/We hereby authorise VBIPL to levy charges for pledging/un pledging securities or any other charges incurred in this regard.
3. I/We hereby authorize you to maintain records/books of accounts for me/us collectively for different exchanges/segments of the exchanges and/or any other service which I/We may be availing.
4. I/We understand that the Company (hereinafter referred to as "VBIPL ") also does proprietary trading and I/We have noted the same and hereby state that I/We have no objection to VBIPL doing the proprietary trading.
5. I/We authorize & instruct VBIPL to issue summarised contract note, instead of detailed contract note in Capital market (CM) segment.
6. I/We agree and acknowledge that it is advised and preferred that I/We give instructions for order placement/modification and cancellation in writing to avoid disputes. However as the fluctuations in market are so rapid it is not practical to give written instructions for order placement/modification and cancellation, hence I/We hereby authorize you to accept my/our / authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/We shall not be entitled to disown orders and consequent trades (if any) under the plea that same were not under my/our instructions.
7. I/We hereby submit that mobile number as mention in KYC application form belongs to me/us. All confirmations / informations / messages sent at my/our aforesaid mobile no. or any subsequent alteration or modification thereof shall be valid and deemed to be made to me/us and shall be binding on me/us.  
I/We hereby confirm that I/We have activated or may activate Do Not Disturb (DND) facility in respect of my/our mobile number(s) and I /We hereby authorise and instruct you to send any messages relating to my/our trading account with you at my/our aforesaid mobile number(s) or any subsequent alteration / modification thereof. Further, I/We shall not lodge any claim or complaint with respect to communications made at my/our aforesaid mobile number or any subsequent alteration/modification thereof.
8. I /We hereby declare that I/We do not have any link directly or indirectly with promoters of any of the companies as far as my/our transactions are concerned. Also I/We do not have any involvement, whatsoever, with regards to the increase or decrease in the price of share dealt by me/us.

## Voluntary Document

9. I/We hereby agree and authorize that if I/We fail to make payment towards my/our obligation / margin / additional margin or any outstanding debt occurring in my/our account within the time limit as stipulated by the exchange/trading member from time to time, VBIPL shall be at liberty to square off/sale a part of or the whole position/securities lying with it as margin. I/We shall be solely responsible for any loss due to such sale/square off of position/securities and shall raise no claim/complaint for the same.

10. I/We hereby declare that :-

(A) I/We have never defaulted to any other broker/exchange. \_\_\_\_\_

(B) We have never been suspended / expelled / defaulter member of any exchange. \_\_\_\_\_

(C) I/We have never been declared bankrupt/insolvent \_\_\_\_\_

(D) I/We have never been prohibited under any law for the time \_\_\_\_\_  
being in force for dealing in securities market by any authority.

(E) Please tick mark the additional information, if applicable, to you as required under PMLA (Client of special category):-

☐ YES ☐ NO

- ☐ Non resident client
- ☐ High net-worth client
- ☐ Civil Servant or family member or close relative of civil servant
- ☐ Bureaucrat or family member or close relative of bureaucrat
- ☐ Current or Former MP or MLA or MLC or their family member or close relative
- ☐ Politician or their family member or close relative
- ☐ Current or Former Head of State or of Governments or their family member or close relative
- ☐ Senior government/judicial/military officers or their family member or close relative
- ☐ Senior executives of state-owned corporations or their family member or close relative

Thanking you,

Yours faithfully

Signature of the Client :

FH17  


SH8



I/We \_\_\_\_\_ (Sole/First Holder)  
 Jointly with \_\_\_\_\_ (Second Holder)  
 And \_\_\_\_\_ (Third Holder)  
 Residing / registered office/ place of business at \_\_\_\_\_

Hold Beneficial Owner Account number (BO ID) \_\_\_\_\_ with CDSL, through Vijeta Broking India Pvt Ltd. a Depository Participant registered with Securities and Exchange Board of India (SEBI) bearing DP ID. 12069500. And Whereas I/ We am/ are desirous to buy and sell securities through Vijeta Broking India Pvt Ltd., a stock broker registered with SEBI and a member of recognized Stock Exchange/s (National Stock Exchange of India Limited and BSE Ltd) bearing SEBI single registration number **INZ000254833**.

Whereas I / we authorize Vijeta Broking India Pvt Ltd, to operate my / our Beneficial Owner Account in a manner hereinafter appearing and subject to conditions as provided herein . Whereas I / We hereby am / are fully aware and understand that this Demat Debit Pledge Instruction (DDPI) is voluntary and I / we have been fully made aware of the explicit authority consented by me / us under this executed document.

I / We do hereby authorize Vijeta Broking India Pvt Ltd, (hereinafter referred to as the "Stock Broker / Stock Broker and Depository Participant") acting through any of its directors and/or its duly authorized officers to perform the following functions on my/our behalf:

Sr. No	Purpose	Signature of the Client		
		First Holder / Sole Holder	Second Holder	Third Holder
1	Transfer of securities held in my / our beneficial owner accounts towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me / us on the Stock Exchange through Vijeta Broking India Pvt Ltd.	FH18	SH9	
2	Pledging / re-pledging of securities in favor of trading member Vijeta Broking India Pvt Ltd (TM) / clearing member Vijeta Broking India Pvt Ltd (CM) for the purpose of meeting margin requirements in connection with the trades executed on the Stock Exchange.	FH19	SH10	
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	FH20	SH11	
4	Tendering shares in open offers through Stock Exchange platforms	FH21	SH12	

I/We hereby covenant, ratify and confirm that all acts done and documents executed or signed by the stock broker / stock broker and depository participant pursuant to this DDPI has been made done and executed in good faith and shall for all-purpose be valid and binding on me/us and I/ we undertake to indemnify the stock broker / stock broker and depository participant against all actions proceedings claims, costs, expenses and liabilities of every description arising from the exercise or the purported exercise in good faith, of authorities conferred by this DDPI.

The stock broker / stock broker and depository participant may appoint and remove at its discretion any authorized signatories for or under this DDPI in respect of all or any of the matters contained herein upon such terms and conditions as the stock broker / depository participant may think fit.

I/We further agree and confirm that the authorities conferred under this DDPI shall continue until it is revoked (without notice) in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by any person authorised in this regard by the Stock Broker in its office situated at: 1/C, 2nd Floor, Jijibhoy Industrial Estate, Opp Vakharia Estate, Ram Mandir Road, Goregaon(W), Mumbai -400104 .However, such revocation shall not be applicable for any outstanding settlement obligation of funds/ securities arising out of the trades carried prior to receiving request for revocation of this DDPI.

**List of the Stock Broker Designated Demat Account:**

Sr. No.	POOL ID / CLIENT ID/CM BP ID	DP Name	Purpose
1.	1206950000013261	Vijeta Broking India Pvt Ltd.	NSE CDSL POOL A/C
2.	1206950000000121	Vijeta Broking India Pvt Ltd.	BSE CDSL POOL A/C
3	1206950000000062	Vijeta Broking India Pvt Ltd.	BSE CDSL PRINCIPAL A/C
4.	1100001100019815	Vijeta Broking India Pvt Ltd.	NSE EARLY PAY-IN A/C
5.	IN30009511475950	Vijeta Broking India Pvt Ltd.	NSE NSDL POOL A/C
6.	1206950000037097	Vijeta Broking India Pvt Ltd.	CLIENT UNPAID SECURITIES PLEDGE A/C
7.	12069500000276 50	Vijeta Broking India Pvt Ltd.	CM/TM-CMPA CDSL A/C
8.	IN30009512207964	Vijeta Broking India Pvt Ltd.	CM/TM-CMPA NSDL A/C

All such accounts opened in future in place of the above mentioned accounts are declared by the regulator for demat debit and pledge instruction.

This document shall be subject to the jurisdiction of the Courts in Mumbai.

Dated at Mumbai \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_.

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE			
	FH22	SH13	

We hereby accept to exercise the authorities conferred upon us in terms of the purposes mentioned hereinabove. This document is in conformity with the conditions as specified in SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04, 2022.

For Vijeta Broking India Pvt Ltd.

Director / Authorized Signatory

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



## Voluntary Document

Date:

To

Vijeta Broking India Private Limited,  
1/C, Jijibhoy Industrial Estate, 2nd Floor, Opp Vakharia Estate,  
Ram Mandir Road, Goregaon (W), Mumbai- 400104.

Sub : Maintenance of my/our Funds & Securities on running account basis & Preference for actual settlement.

Ref :- Trading Code

Dear Sir,

I /We hereby authorise you to maintain my/our account on running account basis and to retain credit balances / securities in my/our account till further instruction (Written or verbal) from my/our side or instruction for settlement interval given by me/us (monthly/quarterly as the case may be) whichever is earlier.

I/We understand that this authority for maintenance of funds & securities on running account basis may be revoked by me/us at any time giving instruction in writing and shall remain in force until revoked by me/us in writing.

I/We hereby authorize the trading member to make actual settlement of funds & securities in respect of my/our trading account at least once in a

- ☒ Quarter (90 days)  
☐ Month (30 days)

I/We hereby authorise the Company to retain an amount of upto Rs. 10,000/- while making actual settlement of funds/ securities in my/our account in case I/We have traded at least once in the quarter / month, as the case may be.

I /We further understand that while settling the account, the broker shall send to me/us a statement of funds & securities and in case there will be any dispute in the statement of account or settlement so made, I/We shall intimate the same within 7 working days from the date of receipt of Fund/Securities or Statement as the case may be.

Thanking you,

Yours faithfully

Signature of the Client :

FH23



Voluntary- Declaration

I /We am/are aware that the below mentioned points are voluntary & I/We have an authority to set aside or revoke any of them whenever I /We want to do so. I am giving this authorization for my operational convenience.

To,  
Vijeta Broking India Private Limited,  
1/C, Jijibhoy Industrial Estate,  
2 nd Floor, Opp Vakharia Estate,  
Ram Mandir Road, Goregaon -(W),  
Mumbai- 400104.

1. I/We confirm that you can send any mandatory or non mandatory documents, Digital/Electronic Contract Note cum Bill you will send on our Register Email Id and Trade Confirmation, Ledger Confirmation, on following Mobile NO. or Email ID.

A. Mobile No. \_\_\_\_\_

B. Email ID: \_\_\_\_\_

I/We also confirm that both Email and Mobile No. are belongs to me/us. I/we confirm that in case any change in my/our Mobile No. or Email Id. Shall be communicated to you by me/us through a physical letter.

2. I/We also agree that non-receipt of Bounce mail notification by you shall amount of Delivery at my/our email account. 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 not limited of e-mail services, loss of connectivity, e-mail 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 & such dispatch shall be deemed to mean receipt by me/us & shall not be disputed by me/us on account of any non receipt/delayed receipt for any reason what so ever.

Signature of the Client :  FH24

 SH14

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

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

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

## LETTER OF STANDING INSTRUCTION

I/We am/are aware that the below mentioned points are voluntary & I/We have an authority to set aside or revoke any of them whenever I /We want to. I/We am/are giving this authorization for my/our operational convenience.

To,  
Vijeta Broking India Private Limited.,  
1/C, Jijibhoy Industrial Estate, 2nd floor,  
Opp Vakharia Estate, Ram Mandir Road,  
Goregaon (W), Mumbai-400104.  
Tel No. : 42023300 Fax-42023302.  
E-mail ID: igredressal@vijetabroking.com.

Sub: Letter of standing instructions

Respected Sir,

I/We hereby will fully & unconditionally issue following standing instructions with references to personal discussion between us:

- 1 I/we agreeable that the credit balance of funds & shares deposited with Exchange and Clearing Corporation be treated as margin for both cash & derivatives segment & that no interest will be payable by the company thereon to me/us.
- 2 I/we am/are agreeable for transfer of credit balances in margin account/client account cash & derivatives segment of (BSE/NSE/MSE) against debit balance in margin account/ client account of cash & derivatives segment (BSE/NSE/MSE) & vice versa.
- 3 I/we am/are agreeable for inter settlement transfer of securities towards pay in / pay out of securities in the future/past settlements.
- 4 I/we am/are agreeable for and authorize you to with hold funds/ securities pay out towards all the applicable margins & debits in my /our account.
- 5 I/we have noted that you trade on your PRO/OWN account
- 6 All fines/penalties & charges levied upon you due to my acts/deeds or transactions may be recovered by you from my account.
- 7 I/we authorized you to give instructions to DP for debiting/crediting my/our account(S) with them and I/We authorized you to debit DP Charges to my account
- 8 I/we am/are confirm that the revocation of standing instruction will be effective only from the date & time these notice is received by the company. I also confirm that all transaction originated prior to this are valid.
- 9 I/we agree that in case of default of any Stock Exchanges/Clearing Member or Depository Participant, Vijeta Broking India Private Limited shall not liable for paying any fund/or collateral on behalf of the defaulting Exchanges, Clearing Member or DP. The client understand that Vijeta Broking India Private Limited has acted as pure agent and not as a principal for the transaction done by me/us. I/We shall have no claim towards Vijeta Broking India Private Limited in case of such default.

Thanking you,

Yours faithfully

Signature of the Client :  FH25



:  SH15



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

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

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

## **Prevention of Money Laundering Act, 2002 (PMLA)**

The Prevention of Money Laundering Act, 2002 came into effect from 1st July 2005

### **Applicability of PMLA Act**

Banking company

Financial institution

Intermediary (which includes a stock broker, sub-broker, depository participant, share transfer agent, portfolio manager, other 12 of the SEBI Act, 1992) intermediaries associated with securities market and registered under section

### **Objectives**

The Act is intended to supplement the law enforcement authorities activities, to detect proceeds derived from serious crimes and help to effectively prevent money laundering, terrorist financing, and recycling of illegally obtained money.,

In brief the objectives of AML are as follows :-

- a. To prevent financial intermediaries from being used as a channel for the purpose of Money laundering & terrorist financing.
- b. To preserve the integrity/stability of the Financial System.
- c. To work hand in hand with the regulators to flush money laundering and terrorist financing activities out of our financial system.

### **What is Money Laundering?**

Money Laundering is a process of making dirty money look clean. Money laundering is the process by which criminal attempt to hide and disguise the true origin and ownership of the proceeds of their criminal activities.

Through money laundering, the launderer transforms the monetary proceeds derived from criminal activity into funds with an apparent legal source.

### **Steps taken by Vijeta Broking India Pvt Ltd . :-**

Vijeta Broking India Pvt Ltd . is fulfilling objective of AML program in 3 steps :-

- a) Identification of clients
- b) Monitoring of clients transactions
- c) Reporting of suspicious transactions

### **Obligation of the client :-**

Implementation of AML/CFT measure requires demand of certain information from investors which may be of personal nature or has hitherto never been called for. Such information can include documents evidencing source of funds/income tax return/bank records etc. This can sometimes lead to raising of questions by the client with regard to the motive and purpose of collecting such information. This document has therefore been prepared to sensitize the clients about requirements emanating from AML and CFT framework.

Clients are required to provide complete details at the time of account opening :-

- 1) Address proof
- 2) Identity proof
- 3) PAN
- 4) Income details

Clients are required to periodically update

- 1) Contact details
- 2) Financial details
- 3) Occupational details

The transactions executed by the clients need to be commensurate with the disclosed income details.

Clients are required to provide requested explanation / details for suspicious transactions.

## Annexure 2.1

### Additional KYC Form for Opening a Demat Account

#### For Individuals

<b>Depository Participant Name/Address</b>
--

(To be filled by the Depository Participant)

Application No.	Date	D	D	M	M	Y	Y	Y	Y
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													
	UCC													
	Exchange Name & ID													
Second Holder's Name	PAN													
	UID													
Third Holder's Name	PAN													
	UID													

<b>Name *</b>	
<p>*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 Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.</p>	

#### Type of Account (Please tick whichever is applicable)

Status	Sub – Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others(specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI – Depository Receipts <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <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 the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)

<b>I/ We</b> wish to receive dividend / interest directly in to <b>my</b> 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 code					

- (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  
(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.

<b>Other Details</b> Gross Annual Income Details	<b>Income Range per annum:</b>									
	<input type="checkbox"/> Up to 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 1 year]										
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:										

<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure - 2.4</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).	
<b>Easi</b>	To register for <b>easi</b> , please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . <b>Easi</b> allows a BO to view his ISIN balances, transactions and value of the portfolio online.	

#### MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the Holder
----------------------------------	---

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be **first holder**).

<input type="checkbox"/> first Holder	<input type="checkbox"/> All Holder	Email id
	<input type="checkbox"/> Second Holder	
	<input type="checkbox"/> Third Holder	

	First holder	Second holder	Third holder
<b>NAME</b>			
	FH26	SH16	
<b>SIGNATURE</b>			

# CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

## Important Instructions:

- A) Fields marked with \*\* are mandatory fields.  
 B) Please fill the form in English and in BLOCK letters.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please read section wise detailed guidelines / instructions at the end.  
 E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 F) List of two character ISO 3166 country codes is available at the end.  
 G) KYC number of applicant is mandatory for update application.  
 H) For particular section update, please tick ( ) in the box available before the section number and strike off the sections not required to be updated.



### For Official use only

Application Type\* ☒ New

☐ Update

7REH ILOOHG E\ ILQDQFLDQ QOMLW XWLRQ

(Mandatory for KYC update request)

Account type\* ☒ Normal

☐ Simplified (for low risk customers)

☐ Small

### ☒ 1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input checked="" type="checkbox"/> Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				
Date of Birth*				
Gender*	<input type="checkbox"/> M-Male	<input type="checkbox"/> F-Female	<input type="checkbox"/> T-Transgender	PHOTO
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> In-Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )	LONGITUDE	
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian	LATITUDE	
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin	Date & Time	
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector )	Signature / Thumb Impression FH26
	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student )	
	<input type="checkbox"/> B-Business <input type="checkbox"/> Forex Dealer			
	<input type="checkbox"/> X- Not Categorized			

### ☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\* \_\_\_\_\_

Tax Identification Number or equivalent (If issued by jurisdiction)\* \_\_\_\_\_

Place / City of Birth\* \_\_\_\_\_ ISO 3166 Country Code of Birth\* \_\_\_\_\_

### ☒ 3. PROOF OF IDENTITY (PoI)\* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	_____	Passport Expiry Date	_____
<input type="checkbox"/> B- Voter ID Card	_____		
<input checked="" type="checkbox"/> C- PAN Card	_____		
<input type="checkbox"/> D- Driving Licence	_____	Driving Licence Expiry Date	_____
<input type="checkbox"/> E- UID (Aadhaar)	_____		
<input type="checkbox"/> F- NREGA Job Card	_____		
<input type="checkbox"/> Z- Others (any document notified by the central government)	_____	Identification Number	_____
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	_____	Identification Number	_____

### 4. PROOF OF ADDRESS (PoA)\*

#### ☒ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)	
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	_____
	<input type="checkbox"/> Simplified Measures Account - Document Type code	_____		

### Address

Line 1*	_____		
Line 2	_____		
Line 3	_____		
District*	Pin / Post Code*	State / U.T Code*	ISO 3166 Country Code*
	_____	_____	_____

☒ **4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS \*** (Please see instruction E at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1\* \_\_\_\_\_  
Line 2 \_\_\_\_\_  
Line 3 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_  
District\* \_\_\_\_\_ Pin / Post Code\* \_\_\_\_\_ State / U.T Code\* \_\_\_\_\_ ISO 3166 Country Code\* \_\_\_\_\_

☐ **4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\*** (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details

☐ Same as Correspondence / Local Address details

Line 1\* \_\_\_\_\_  
Line 2 \_\_\_\_\_  
Line 3 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_  
State\* \_\_\_\_\_ ZIP / Post Code\* \_\_\_\_\_ ISO 3166 Country Code\* \_\_\_\_\_

☒ **5. CONTACT DETAILS** (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel. (Off) \_\_\_\_\_ Tel. (Res) \_\_\_\_\_ Mobile \_\_\_\_\_  
FAX \_\_\_\_\_ Email ID \_\_\_\_\_

☐ **6. DETAILS OF RELATED PERSON)** (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

☐ Addition of Related Person ☐ Deletion of Related Person

KYC Number of Related Person (if available\*)

Related Person Type\* ☐ Deletion of Related Person ☐ Assignee ☐ Authorised Representative ☐ Guardian of Minor

Prefix \_\_\_\_\_ FirstName \_\_\_\_\_ MiddleName \_\_\_\_\_ LastName \_\_\_\_\_  
Name\* \_\_\_\_\_

(If KYC number and name are provided, below details of section 6 are optional)

**PROOF OF IDENTITY [PoI] OF RELATED PERSON\*** (Please see instruction (H) at the end)

☐ A- Passport Number \_\_\_\_\_ Passport Expiry Date \_\_\_\_\_  
☐ B- Voter ID Card \_\_\_\_\_  
☐ C- PAN Card \_\_\_\_\_  
☐ D- Driving Licence \_\_\_\_\_ Driving Licence Expiry Date \_\_\_\_\_  
☐ E- UID (Aadhaar) \_\_\_\_\_  
☐ F- NREGA Job Card \_\_\_\_\_  
☐ Z- Others (any document notified by the central government) \_\_\_\_\_ Identification Number \_\_\_\_\_  
☐ S- Simplified Measures Account - Document Type code \_\_\_\_\_ Identification Number \_\_\_\_\_

☐ **7. REMARKS (If any)**

**8. APPLICANT 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. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.



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

Signature / Thumb Impression of Applicant

**9. ATTESTATION / FOR OFFICE USE ONLY**

Documents Received ☐ Certified Copies

**KYC VERIFICATION CARRIED OUT BY**

Date \_\_\_\_\_  
Emp. Name \_\_\_\_\_  
Emp. Code \_\_\_\_\_  
Emp. Designation \_\_\_\_\_  
Emp. Branch \_\_\_\_\_

**INSTITUTION DETAILS**

Name \_\_\_\_\_  
Code \_\_\_\_\_

Signature

Institute Stamp