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**For Individual Clients
(Equity & Commodity)**

ARYA FIN - TRADE SERVICES (INDIA) PRIVATE LIMITED
ON BOARDING OF CLIENT FORM
(Trading and Demat Account)

Sr. No.

Client Name:	
Client Code:	BOID:
Introducer:	
Date of Opening KYC:	

ARYA FIN-TRADE SERVICES (INDIA) PRIVATE LIMITED

Registered Office Address: Office-4,15th Floor, GIFT One Tower Block No-56, Road-5C, Zone-5, GIFT Gandhinagar - 382355

Corporate Office Address: 20th Floor, B-Wing, Privilon Ambli-BRT Road, b/h Iskcon Temple, Off S.G. Highway Ahmedabad -380059

Phone No: 079-68222200

Fax: 079- 6822 2295

Website: www.aryafingroup.in

E-mail: info@aryafingroup.in

REGISTRATION DETAILS:

EXCHANGES	SEGMENTS	TMID	CMID
NSE	CM, FNO, CD, SLB	90012	NCL-M51933
BSE	CM, FNO, CD	6590	NCL-M51933
MCX	FNO	46600	MCXCCL-8060
NCDEX	FNO	01154	NCCL-M51080
NSE	COMM	90012	*GLOBE-M50302
BSE	COMM	6590	*GLOBE-M50302

SINGLE SEBI Registration No: INZ000181536 dt. June 18, 2018 (Stock & Commodity Broker)

DP SEBI Registration No: IN-DP-110-2015 dt. August 24, 2015 | CDSL DP ID: 12081900

*Globe Capital Market Limited: 609, Ansal Bhawan, 16 K.G. Marg, Connaught Place, New Delhi-110 001 | Phones: +91-11-30412345 | E-mail id: mail@globecapital.com | SEBI Regi No. INZ000177137 | Clearing Member in NSE Clearing Limited (NSE).

Compliance Officer: Mr. Hitesh Soni | Phone: 079 68222205/00 | Email ID: compliance@aryafingroup.in

Managing Director: Mr. Shani Prahladbhai Patel | Phone: 079 68222205/22 | Email ID: compliance@aryafingroup.in

For any grievance/dispute please contact Arya Fin-Trade Services (India) Private Limited (AFSPL) at the above address or E-Mail ID- investorcomplaints@aryafingroup.in (for trading) and investorcomplaints_dp@aryafingroup.in (for demat) | Phone: 079 6822 2201 | In case not satisfied with the response, please contact the concerned exchange(s) Investor Grievance Cells at National Stock Exchange of India Limited (NSE) - ignse@nse.co.in or 1800 266 0058; BSE Limited (BSE) - is@bseindia.com or 022-2272 8138; Multi Commodity Exchange of India Limited (MCX) - grievance@mcxindia.com or 022-6649 4070; National Commodity and Derivatives Exchange Limited (NCDEX) - ig@ncdex.com or 022-6640 6789; Central Depository Services (I) Limited (CDSL) - complaints@cDSLindia.com or 1800 22 5533

KNOW YOUR CLIENT (KYC) APPLICATION FORM - ACCOUNT OPENING KIT

INDEX

Sr. No.	Name of the document	Brief Signature of the Document	Pg. No.
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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, EXCHANGES & DEPOSITORIES

1	Know your client or account opening form	A. KYC Form - Document captures basic information about the constituent and an instruction/checklist. B. Document captures the additional information about Constituent relevant to Trading and Demat Account Details.	
2	Rights and Obligation Documents	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading) and also of BO & DP.	
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market	
4	Guidance note	Document detailing do and don'ts for trading on exchange, for the education of the investors.	
5	Schedule of Charges /Tariff Details	Brokerage Tariff and Demat Services Charges	
6	Policy And Procedures	Document describing significant Policies and Procedures of the Stock Broker	
7	Terms and Conditions	Registration / Modification Form for receiving SMS Alerts from CDSL	

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER & DP

1	Additional clauses agreed between stock broker and client.	Voluntary documents containing clauses (1-23) including running account authorisation.	
2	Terms and Conditions	POA to nominate, constitute and appoint Member for DP operations, pledging with clearing corporation etc...	

Further, the above documents is also made available in vernacular languages, you may download

from on our website: <http://www.aryafingroup.in/static/downloads.aspx#Download7> or

from BSE Website Link: https://www.bseindia.com/static/investors/client_regislanguages.aspx?expandable=3 or

NSE Website Link: https://www.nseindia.com/membership/content/complinc_trading_mem.htm or

MCX Website Link: <https://www.mcxindia.com/membership/members-compliance/vernacular-language> or

NCDEX Website Link: https://ncdex.com/kyc_documents

IMPORTANT INSTRUCTIONS:

- A) Fields marked with '*' are mandatory fields.
- B) Tick (✓) wherever applicable.
- C) Please fill the form in English and in BLOCK letters.
- D) Please fill the date in DD-MM-YYYY format.
- E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.

- F) Please read section wise detailed guidelines/instructions at the end.
- G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- H) List of two character ISO 3166 country codes is available at the end.
- I) KYC number of applicant is mandatory for update application.
- J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.



FOR OFFICE USE ONLY:	Application Type* <input type="checkbox"/> New <input type="checkbox"/> Update
(To be filled by financial institution)	KYC Number <input type="text"/> (Mandatory for KYC update request)
Account Type*	<input type="checkbox"/> Normal <input type="checkbox"/> Minor <input type="checkbox"/> Aadhaar OTP based E-KYC (in non-face to face mode)

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

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M-Male	<input type="checkbox"/> F-Female	<input type="checkbox"/> T-Transgender	
PAN*	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> From 60 furnished	

2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A- Passport Number
- B- Voter ID Card
- C- Driving Licence
- D- NAREGA Job Card
- E- National Population Register Letter
- F- Proof of Possession of Aadhaar

- II. E-KYC Authentication
- III. Offline verification of Aadhaar



ADDRESS:

Line 1*

Line 2

Line 3 City/Town/Village*

District* Pin/Post Code State/UT Code ISO 3166 Country Code*

3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

Same as above mentioned address (In such case address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A- Passport Number
- B- Voter ID Card
- C- Driving Licence
- D- NAREGA Job Card
- E- National Population Register Letter
- F- Proof of Possession of Aadhaar

- II. E-KYC Authentication
- III. Offline verification of Aadhaar
- IV. Deemed Proof of Address-Document Type code
- V. Self declaration

ADDRESS:

Line 1*

Line 2

Line 3 City/Town/Village*

District* Pin/Post Code State/UT Code ISO 3166 Country Code*

4. CONTACT DETAILS (All communications will be sent to Mobile number/Email-ID provided) (Please refer instruction C at the end)

Tel. (Off) - Tel. (Res) - Mobile -
 Email ID

5. REMARKS (if any)

6. APPLICANT DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I under take to inform you of any changes there in, 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/emailaddress.

SIGNATURE/THUMB IMPRESSION OF APPLICANT

Date: Place:

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies E-KYC data received from UIDAI Data received from Offline verification
 Digital KYC Process Equivalent e-document Video Based KYC

KYC VERIFICATION CARRIED OUT BY

Date
 Emp. Name
 Emp. Code
 Emp. Designation
 Emp Branch

[Employee Signature]

INSTITUTION DETAILS

Name
 Code

[Institution Stamp]

INSTRUCTION/CHECKLIST/GUIDELINES FOR FILING INDIVIDUAL KYC APPLICATION FORM

- A. Clarification / Guidelines on filling 'Personal Details' section
 1. Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
 2. One the following is mandatory: Mother's name, Spouse's name, Father's name.
- B. Clarification / Guidelines on filling 'Current Address details' section
 1. In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
 2. PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
 3. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
 4. In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
 5. In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
 6. List of documents for 'Deemed Proof of Address'.

DOCUMENT CODE DESCRIPTION

- 01 Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
- 02 Property or Municipal tax receipt.
- 03 Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
- 04 Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.
- 7. Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8. "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital locker Facilities) Rules, 2016.
- 9. 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10. REs may use self declaration check box where Aadhar Authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central identities Data Repository.
- C. Clarification / Guidelines on filling 'Contact details' section
 1. Please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
 2. Do not add '0' in the beginning of Mobile number.
- D. Clarification / Guidelines on filling 'Related Person details' section
 1. Provide KYC number of related person, if available.
- E. Clarification on Minor
 1. Guardian details are optional for minors above 10 years of age for opening of bank account only.
 2. However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

A. Important points:

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

B. Proof of Identity (POI):

List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicable except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and

its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA):

List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

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

D. Exemptions/clarification to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs. 50,000/- p.a.

5. In case of institutional clients, namely, FIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

F. Additional Documents In Case Of Trading In Derivatives Segments - Illustrative List:

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

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

G. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code and IFSC Code of the bank should be submitted.

H. Demat master or recent holding statement issued by DP bearing name of the client.

I. For individuals:

1. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
2. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

F. TRADING PREFERENCES:

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

Exchanges/Segments	NSE	BSE	MCX	NCDEX
Equity (CASH)	/	/		
Equity Derivatives (FNO)	/	/		
Currency Derivatives(CD)	/	/		
SLBM	/	/		
Commodity derivatives-Futures	/	/	/	/
Commodity derivatives-Options	/	/	/	/

(If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter will be taken)

G. PAST ACTIONS:

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/ any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: Yes No If Yes _____

H. DEALINGS THROUGH SUB BROKER AND OTHER STOCKBROKERS:

If client is dealing through the sub-broker, provide the following details:	
Sub Broker Name:	SEBI Registration No: _____ Website: _____
Regd office address:	Ph: _____ FAX: _____
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:
Details of disputes/dues pending from/to such stock broker/sub- broker:	

I. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002 & OTHER DETAILS

Gross Annual Income	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> 25 Lac - 1 Cr <input type="checkbox"/> >1 Cr Net Worth : _____ as on date: _____ (Net worth should not be older than 1 year)		
Occupation (Select One)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Homemaker <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others _____		
Investment / Trading Experience	Stocks : <input type="text"/> Years	Derivatives other than Currency : <input type="text"/> Years	Currency Derivatives : <input type="text"/> Years
Select, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)		
Guardian Details(where sole holder is minor)	Two KYC application forms must be filled i.e.1)for the guardian and 2) for the minor (to be signed by the guardian)		
	G. Name:	PAN:	
		Relation with Minor:	
Any other information:			

J. GST Registration Details

GST Registration No.		
Type	<input type="checkbox"/> Active <input type="checkbox"/> Inactive	Name of State : _____

K. STANDING INSTRUCTIONS / OTHER DETAILS: (Please select one)

To receive Contract Note, Statement of Fund & Securities, Retention & Margin Statement, CAS, etc...		<input type="checkbox"/> Electronically <input type="checkbox"/> Physically
I/We wish to avail facility of Internet Trading (IT) & Wireless Technology (WT)		<input type="checkbox"/> IT <input type="checkbox"/> WT <input type="checkbox"/> Both
I/We wish to receive Rights & Obligations, RDD, Guidance Note, Policies & Procedures		<input type="checkbox"/> Electronically <input type="checkbox"/> Physically
I/We wish to receive dividend / interest in to my bank account stated in KYC via 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
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 Required	<input type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Weekly <input type="checkbox"/> As per SEBI Regulation	
I/We request you to send Electronic Transaction-cum-Holding Statement at email id _____		<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to Share Email id with RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to receive 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)		
To opt for BSDA facility		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Optd out
Easi	To register for easi, please visit website www.cdslindia.com , where BO can view ISIN balances, transactions & value of portfolio online.	<input type="checkbox"/> Yes <input type="checkbox"/> No
SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4	MOBILE NO. +91 _____ [Mandatory, if you are giving Power of Attorney (POA)]. (If POA is not granted & you do not wish to avail of this facility, cancel this option.)	<input type="checkbox"/> Yes <input type="checkbox"/> No
For Commodity Transaction:	Purpose of Trading: <input type="checkbox"/> Speculation <input type="checkbox"/> Hedging <input type="checkbox"/> Day Trading o Jobbing/Arbitrage	
	Nature of Business Relationship: <input type="checkbox"/> Speculative <input type="checkbox"/> Hedger <input type="checkbox"/> Day Trader <input type="checkbox"/> Jobber/Arbitrager	

L. OPTION FORM FOR ISSUE OF DIS BOOKLET

Option 1: I/We require you to issue Delivery Instruction Slip(DIS) booklet to me/us immediately on opening my/our CDSL account though I/we have issued a Power of Attorney (POA)/executed PMS agreement in favor of/with Arya Fin-Trade Services (India) Private Limited for executing delivery instructions for settings stock exchange trades [settlement related transactions] effected through such Clearing Member/by PMS manager.

OR

Option 2: I/We do not require the Delivery Instruction Slip (DIS) for the time being, since I /We have issued a POA/executed PMS agreement in favor of/with Arya Fin-Trade Services (India) Private Limited for executing delivery instructions for setting stock exchange trades [settlement related transactions] 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.

M. FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Client Name:			
	First Holder	Second Holder	Third Holder
Are you Indian Resident Person?(Refer Risk Disclosure document at www.aryafingroup.in)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Specify country of residence for tax purpose (if above clause is no)			
Specify Tax Identification No./ Others			
Note : if you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, than please provide declaration / self certification under FATCA / CRS.			
Place of Birth			
Country of Birth			

FEMA declaration:I/We hereby confirm that I am a /we are non-resident Indian/s / foreign national/s individual/s.I/We also confirm that:-I/we have complied with FEMA (erstwhile FERA) regulations and I / we would continue to comply with FEMA (FERA) regulations

Signature X 

Sole/First Holder

Signature X 

Second Holder

Signature X 

Third Holder

NOMINATION FORM

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/23 dated February 24, 2022 on Nomination for Eligible Trading and Demat Accounts]

Arya Fin-Trade Services (India) Private Limited (AFSPL) 20th Floor, B Wing, Privilon, Ambli BRT Road, Behind Iskcon Temple, S.G Highway, Ahmedabad - 380 059	Form for nomination To be filled in by individual applying singly or jointly Application No. _____
--	--

Date	D	D	M	M	Y	Y	Y	Y	UCC/DP ID	I	N					Client ID					
------	---	---	---	---	---	---	---	---	-----------	---	---	--	--	--	--	-----------	--	--	--	--	--

I/We wish to make a nomination. [As per details given below]

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 even of my / our death.

Nomination can be made up to 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 and 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"/> Aadhar <input type="checkbox"/> Saving Bank Account 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)		
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"/> Aadhar <input type="checkbox"/> Saving Bank Account No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID		

Signature X _____
Sole/First Holder

Signature X _____
Second Holder

Signature X _____
Third Holder

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

Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

Note: This nomination shall supersede any prior nomination made by the account holder(s), if any. The Trading member/Depository Participant shall provide acknowledgment of the nomination from the account holder(s).

Witness Details	Name	Address	Signature
Witness			

Declaration form for opting out of nomination
[Annexure B To SEBI Circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 Dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

To,	Date	D	D	M	M	Y	Y	Y	Y
Arya Fin-Trade Services (India) Private Limited (AFSPL) 20th Floor, B Wing, Privilon, Ambli BRT Road, Behind Iskcon Temple, Off S.G Highway, Ahmedabad - 380 059									
UCC/DP ID	I	N							
Client ID (only for demat account)									
Sole/First holder name									
Second holder name									
Third holder name									

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

Signature X _____
 Sole/First Holder

Signature X _____
 Second Holder

Signature X _____
 Third Holder

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

Witness Details	Name	Address	Signature
Witness			

CLIENT DECLARATION

FOR DEMAT ACCOUNT

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

FOR TRADING ACCOUNT

- 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), 'Risk Disclosure Document' and 'Guidance Note' with 'Policy and Procedures'. 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 at www.aryafingroup.in

DECLARATION PURSUANT TO SEBI CIRCULAR SEBI/HO/CDMRD/DNPMP/CIR/2019/08 DATED 04TH JANUARY, 2019

Commodities	Code	Commodities	Code	Commodities	Code	Commodities	Code
Aluminium		Silver		Brass		Cardamom	
Castorseed		Copper		Cotton		Crupalmoil	
Crude oil		Gold		Lead		Menthaoil	
Natural Gas		Nickel		Pepper		Rbdpalmoil	
Kapas		Mcxbulldex		Mcxmetldex		Zinc	
Rubber						All Commodities	

Category wise Code: 1. FPO/Farmers 2. Value Chain Participants 3. Proprietary Traders(Only for Registered Stock / Commodity) brokers 4. Domestic Financial Institutional Investors 5. Foreign Participants 6. Other
- In case no trading in commodities write "NA"

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

Date: _____

Place: _____

Signature X _____
Sole/First Holder

Signature X _____
Second Holder

Signature X _____
Third Holder

FOR OFFICE USE ONLY

UCC Code allotted to the client: _____

	Documents verified with originals	Client interviewed by	In-person verification done by
Name of the employee			
Employee code			
Designation of the employee			
Date			
Signature	/	/	/

I/We undertake that we have made the client aware of 'Policy and Procedures' tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document(s), RDD and Guidance Note. 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.

Signature of Authorised Signatory

Date: _____



Seal/stamp of the stock broker

BROKERAGE TARIFF DETAILS

Exchanges & Segment	Trading /Intra-day (% or Paisa)		Trading /Intra-day Minimum (% or Paisa)		Delivery (CM) / Carry forward (FNO)(% or Paisa)		Delivery(CM)/Carry Forward(FNO) Minimum (% or Paisa)		Minimum (per Options contract)
Equity & SLBM									
Equity FNO	F-	O-	F-	O-	F-	O-	F-	O-	
CD	F-	O-	F-	O-	F-	O-	F-	O-	
MCX	F-	O-	F-	O-	F-	O-	F-	O-	
NCDEX									

Note: 1) The above rates are exclusive of Stamp Duty, Securities Transaction Tax (STT), Exchange Transaction charges and GST which will be charged extra at the rate prevailing from time to time. 2) For Internet Based Trading (IBT) clients, additional charges with regard to software access etc. will be applicable as per the terms agreed at relevant point in time. 3) Any Penalties like Short Margin Penalty, Code Modification etc will be charged at actual and as prescribed by exchange(s). 4) Any changes to above shall be intimated separately.

SCHEDULE OF CHARGES FOR DEMAT SERVICES

Particulars	Scheme - A	Scheme - B (Life time)	Scheme - BSDA*
A. Deposit	<input type="checkbox"/> NIL	<input type="checkbox"/> 404/-	<input type="checkbox"/> NIL
B. Charges			
Account Opening/Closing	NIL	NIL	NIL
Annual Maintenance Charges	250/-	NIL	As per BSDA Circular of SEBI
KRA Charges/Demat/Remat/ Rejection Request	As actual 3/- (per certificate) + 50/- Postage		
Custody Charges	NIL	NIL	NIL
C. Transfer of Securities			
Buy/Credit	NIL	NIL	NIL
Sales/Failed Instructions	18/- (12/- for in-house market transactions) per ISIN	18/- (12/- for in-house market transactions) per ISIN	25/- per ISIN
Inter depository/ Off market	26/-	26/-	26/-
D. Pledging Services			
Margin Pledge/Unpledge	10/- per request	10/- per request	10/- per request
Creation/Closure/Invocation			
Creation/Closure/Invocation)			

Condition:

- 1) Annual maintenance has to be paid on Quarterly/annually basis in advance. For corporate, the AMC shall be Rs. 1000 per year.
- 2) All charges mentioned above are inclusive of CDSL charges. GST, as applicable will be charged separately.
- 3) We reserve the rights to change/add charges with 30 days prior notice.
- 4) Charge once paid will not be refunded except as required by law.
- 5) All instructions for transfer must be received at least one day before the Execution/Pay in date.
- 6) Same day execution /late instructions will be accepted on "A best effort basis" at the sole risk and responsibility of the Depository account holder (s)
- 7) The depository service may be temporarily discontinued if the cheque given for availing DP services is returned unpaid. Intimation of discontinuation of the DP services shall be in accordance with the rules specified by CDSL. The DP services shall be resumed after recovery of the returned cheque plus Rs. 100/- as additional charges.
- 8) All value of securities will be in accordance with the rate provided by CDSL.
- 9) Non periodical statement will be charged at Rs. 25/- per statement.
- 10) Charges quoted above are for the services listed. Any services not quoted above will be charged separately.
- 11) Inter-scheme Transfer Charge is Rs. 1000/- Per time-Scheme Change.
- 12) For scheme B is Non-Refundable except as prescribed by law.
- 13) POA stamp duty charges of Rs. 300/- will be charged separately.

BSDA*: 1) First/Sole holder does not have / propose to have any other Demat Account across Depositories. 2) Individuals having any other demat account/s where they are not the first holder shall be eligible for BSDA in respect of the single demat account where they are sole or first holder. 3) If the value of holdings exceeds more than Rs. 200000/- any date then charges will be levied as applicable to Regular Scheme (non-BSDA) from that date onwards.

I/WE HAVE READ AND UNDERSTOOD THE CHARGES AND CONDITIONS AS ABOVE AND AGREE TO ABIDE BY THE SAME.

Signature X

Sole/First Holder

Signature X

Second Holder

Signature X

Third Holder

1. Refusal To Take Orders

The Client undertakes and agrees that member, may, as a risk containment measure, at any time, at its sole discretion, and without prior notice, prohibits, restricts or refuse the client's ability to place order or trade in penny stocks or such other stocks/contracts, as specified by Member, through the Member. The Client waives any and all claims for loss or damage arising directly or indirectly from any such refusal.

2. Exposure Limits

The client agrees and confirms to abide by the exposure limits, if any, set by Member or by the exchange or Clearing Corporation or SEBI from time to time. The Trading Member may from time to time, at its sole discretion, impose and vary limits on the orders that the client place (including but not limited to exposure limits, turnover limits, limits as to number, value and / or kind of securities / contracts in respect of which buy or sell orders can be placed etc.) The client is aware and agree that the trading Member may need to vary or reduce the limits or impose new limits urgently on the basis of Member's risk perception and other factors considered relevant by Member and Trading Member may be unable to inform to the client of such variation, reduction, imposition in advance. The client agrees that the Trading Member shall not be responsible for such variation, reduction and imposition of limits.

3. Brokerage Rate

The Client confirms and agrees that the brokerage shall be paid in the manner intimated by the Member to the client from time to time, including as a percentage of the value of the trade or as a flat fees or otherwise, together with the GST or any other statutory tax as may be applicable from time to time on the same. The Client hereby agrees to the brokerage slabs / rates, as mentioned in this document, which do not exceed the maximum limits prescribed by the SEBI/exchange.

4. Delayed Payment Charges

The client understands and agrees that applicability of delayed payment charge by either party is solely at the discretion of the Trading Member. Without prejudice to margin funding guidelines issued by SEBI, any amounts which are overdue from a client toward settlement obligation or margin obligation either in cash segment and/or Derivative segment may attract delayed payment charges at the rate of 1.5 % per month or part thereof or such other rate as may be determined by the Trading Member. In case client has not opted for running account maintenance, any amount which are overdue from a Trading Member towards settlement pay out after meeting all pending settlement/ margin obligations or dues, may attract delayed payment charges at the rate of 1.5 % per month or part thereof or such other rate as may be determined by the Trading Member.

In case client has opted for running account maintenance, any amount which are overdue from a Trading Member towards the available undisputed credit balance in client ledger after meeting settlement and/or margin obligation

and making provision for next 5 trading day settlement and /or margin obligation, calculated in the manner specified by the exchanges or amount as demanded by client, in writing, out of available ledger balance, whichever is less, may attract delayed payment charges at the rate of 1.5 % per month or part thereof or such other rate as may be determined by the Trading Member.

5. Liquidation/Closeout of Positions

Without prejudice to the member's other rights (including the right to refer a matter to arbitration), the Member shall be entitled to liquidate / close out all or any of the Client's positions for non payment of margins or settlement obligation after giving prior notice. Any and all losses and financial charges on account of such liquidation / closing out shall be charged to and borne by the Client. Further Compulsory Liquidation for shares lying in Client Unpaid Securities Account shall be governed by SEBI and Exchange Circulars issued from time to time based on members' risk perception. Client is liable to clear its settlement outstanding on or before 05th Trading Day from the date of Pay-out cut-off time 2.30 pm. In case of nonpayment before such cutoff date and time, clients share shall be liquidated at member's discretion to recover debit.

6. Internal Shortage For Equity

In case of purchase of securities by the Client, at times Member may be unable to deliver the securities to the said purchaser on the payout day due to non receipt of the said securities from another Client of Member who has sold the securities against the said purchase transaction. In such cases, member may buy the shares from the market on T+ 1 day or on settlement day and deliver the same to the client or he may give close out at the rate as determined by the member.

7. Internal Shortage for Commodity

Member shall not be obliged to deliver any commodities or pay any money to the client until the same has been received by the Member from the Exchange, the clearing corporation/clearing house.

Clients are required to make Commodities/Funds pay-in on or before Settlement day. In case of default in pay-in by the client and the shortage is at member level i.e. internal shortage, a penalty as applicable from time to time (not exceeding the percentage prescribed by the exchange for auctioned trades), will be imposed on the defaulting client and the benefit will be passed on to the respective beneficiary client.

8. Close Out

The Client hereby agrees that if he/she/it has short delivered any securities/commodities against his/her/its payin obligation which resulted into internal shortage (i.e. buy position of another client of Member and could not be auctioned in the market), close out shall be debited to his account at the rate which is in the range of 5% to 20% above the purchase price or the closing price on auction day or such other percentage as may be revised by Member and intimated to client time to time.

9. Restrictions/Prohibition To Take Further Position or Closing Existing Position

The Member may, in its sole discretion, not allow taking further position to the client or may close the existing position of a client due to any restrictions in relation to volume of trading / outstanding business or margins stipulated by the exchange, clearing corporation/ clearing house and/or the Member and / or any other extraordinary event warranting such restrictions. The Client waives any and all claims for loss or damage arising directly or indirectly from any such restrictions.

10.Suspension / Closure at the Client's Request

The Client may suspend or close his/her/its trading account temporarily by giving written request to the member. Such temporary closing or suspending of trading account will not affect the rights and obligation incurred prior to such suspension or closure. Any request for temporary suspension or closure shall not be processed by the member unless all the dues are paid by the client.

11.Deregistering the Client

The Member may, at its sole discretion, deregister client's account to protect his interest which might include (but not limited to)

- 1. Member is compelled to by law;

- 2. Client has not used account for a significant period of time;

- 3. Member has reasons to believe that account is being used for fraudulent purposes.


- 4. Any other reason which member thinks reasonable for deregistering the account.


The Client waives any and all claims for loss or damages arising directly or indirectly from such deregistering. The deregistering will not affect any liability of the Client resulting directly or indirectly from any transactions made at anytime before such deregistering.


12.Policy for Inactive Clients

In case client has not traded in his trading account for last 12 months across all exchanges, then his account shall be marked "inactive" for further trades and the said account shall be reactivated only after client gives account reactivation request, in writing, along with the proofs, if any, required. If any credit lying in client's ledger shall be returned to the client after adjusting against pending dues. In case, collaterals are lying with us, the same shall be retained to the extent of debit balance or pending dues, remaining part shall be returned to the client.

I/We Have Thoroughly Read and Understood the Contents of the aforesaid Mandatory Document and thereafter put my Signature Herein Below.

Signature X  _____
Sole/First Holder

Signature X  _____
Second Holder

Signature X  _____
Third Holder

Annexure 2.4**[SMS Alerts will be sent by CDSL to BOs for all debits]****Definitions:**

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

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

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

I, voluntarily and unconditionally hereby state and declare that I/We have read and understood the terms and conditions mentioned hereinafter governing securities trading and broking services of Member Arya Fin-Trade Services (India) Private Limited (hereinafter referred to as AFSPL) and agree to be bound by the same.

1) Internet Based Trading Services: E-Broking Services, Wireless Securities Trading & Dial & Trade Services

The CLIENT is aware that authentication technologies and strict security measures are required for the internet trading through order routed system and undertakes to ensure that the password of the CLIENT and/or his authorised representative are not revealed to any third party. The CLIENT agrees that the STOCK BROKER/TRADING MEMBER shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link/system failure at the CLIENT/ STOCK BROKERS/TRADING MEMBERS/EXCHANGE end.

2) Electronic Payment Gateway for Net Banking Services:

Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with AFSPL. Client understands that AFSPL is only providing access to the electronic fund transfer facility provided by the banker of the Client through AFSPL's web-site by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising there out. Client undertakes not to make AFSPL a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that AFSPL's liability shall at all time be limited to the amount actually received in its account by elec-tronic transfer from Client's account with the Bank. The AFSPL expressly excludes liability for consequential loss or damage or loss of profit, business, revenue, goodwill or anticipated saving which may arise in respect of (i) the payment gateway services offered by such bank (ii) the payment Mechanism

3) PMLA Declaration

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by AFSPL officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002. I further undertake and confirm that; I do not have any links with any known criminal. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner. I am not a party to any agreement or arrangement to facilitate any segment of my transaction with AFSPL.

4) Order Placement Instructions

I understand that you require written instructions from me for

placing / modifying / cancelling orders. However, since it is not practical for me to give written instructions for placing / modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting /calling/ Emailing the Call centre/ branch specified for the said purpose in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my or my authorized representative or mandate holder's verbal orders / instructions, in person or over phone and execute the same.

I understand the risk associated with placement of verbal orders

and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other modes. I indemnify AFSPL and its employees against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

5) Errors and Omissions

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances AFSPL shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold AFSPL responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by AFSPL. Extra Ordinary Events and termination/suspension of trading facility: AFSPL will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication network or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond AFSPL's control resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any AFSPL may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client. Any loss or damage arising from or occasioned by (i) Any such inaccuracy, error, delay or omission, (ii) Non- performance, or (iii) Interruption in making available any such data, information or message, due to either any act or omission by AFSPL or any disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of AFSPL or any disseminating party.

6) Non-execution/delay/cancellation of Orders:

The client hereby agrees that AFSPL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the trading services, disruptions or congestion of communication networks, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of AFSPL or the Exchange. Client not to act on representations of agents, employees: Client is aware that AFSPL has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of AFSPL.

7) Indemnification:

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

8) Indemnity of Joint Holdings:

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

9) Mutual Fund Service System (MFSS) Facility:

I am interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange. For the purpose of availing the MFSS facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations or the respective Mutual Fund Schemes subscribed by me.

10) NRI Declaration:

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to AFSPL every time the investment is made. Further, I /we undertake to update any status change and shall abide by

FEMA , RBI and SEBI guidelines with regard to NRI investment in India.

11) Third-Party Payments:

AFSPL shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along-with adequate proof thereof as per proforma prescribed by AFSPL shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by AFSPL and the credit for the same has been given in the client's ledger and P&L shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case AFSPL reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client AFSPL, its Directors and employees shall not be responsible for any consequential damages or losses.

12) No Dealings In Cash:

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

13) No Market Manipulation:

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

14) Authorization to debit additional charges with regard to Trading and Demat Account:

Without prejudice to the other rights and obligations of the parties, the client understands and agrees that AFSPL may levy charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account for any service rendered by AFSPL and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients' Trading ledger account maintained with AFSPL for the demat charges payable to AFSPL as Depository for providing depository services.

15) Authorization for Inter Segment/Inter Exchange Fund Balance Transfer:

The client hereby authorize AFSPL to transfer fund/ pay out resulting on account of sale of shares/contract/or margin refunds from NSE/BSE/MSE and adjust the same towards debit balances in any segment of NSE/BSE/MSE. Further, I/we hereby authorise to consider credit available in one segment/ exchange towards margin / settlement obligation in another exchange/segment with or without passing journal entries.

16) Deliveries:

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

17) Proprietary Trading:

The CLIENT is aware that AFSP is doing proprietary trading along with client business.

18) Portfolio Management:

Further any investment views given by the Trading member are market views only. Reacting on the same will not render member liable for the same. All risk will be of client only. Members do not intend to manage the portfolio of client.

19) Close Out:

The Client hereby agrees that if he/she/it default in daily margin, MTM's or any outstanding debt occurs in their/our account, AFSP is irrevocably authorize to close out/liquidate whole or any part of their/our position without prejudice to their right to refer the matter to arbitration. Any and all losses and financial charges on account of such liquidation/closing out etc. shall be charged to and borne by client.

20) Commodity Transaction Undertaking & Confirmation

I/We wish to opt to deal in Commodity Option as per Trading Preference selected in the KYC herein and I/We shall abide by the rules and regulation of Exchange and SEBI in this regard, which may vary from time to time and I/we hereby confirm that we have read and understood risk disclosure document of commodity options and are fully aware of commodity option holders and writers. I/We have taken cognizance of circulars issued by Regulator / Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same. I / We hereby declare and undertake that I/we will not exceed the position limits prescribed from time to time by Commodity Exchanges or Regulator and such position limits derivatives for me / us as your clients on Commodity Exchanges only on the basis of our above assurances and undertaking. I/We further undertake to bear any liable / penalty / charges levied by Commodity Exchanges / Regulator. I/We propose to undertake high value transactions (i.e., buy and sell trades for value exceeding Rs. 5,00,000/- or such other sum as may be prescribed by Regulator / MCX / NCDEX or any other authority from time to time) in a day on MCX / NCDEX through you as my/our commodity broker. By this one time declaration, please note

that the said transaction(s) would be for and on my/our behalf and entirely for my/our profit or loss only. I/We also declare that the transactions would not be carried out for any unauthorized / unregistered authorized person or for and on behalf of any other person / entity. I/we confirm that transactions related to sale, purchase and or dealing in securities / commodities by me/us are for the purpose of investment of my/our own money and/or dealing in market for own interests. I/we have read and understood the Anti-Money Laundering Guidelines and confirm that funds and securities/commodities used by me for settlement or transaction are assets earned by me through legal means in my/our own capacity and are not assets qualified under PMLA.

21) Investment and Other Advice

I understand and agree that AFSP does not give any guarantee or assurance as to returns or profits or capital protection or appreciation. I further understand and agree that past performance is not necessarily a guide to future performance. I/we hereby acknowledges that AFSP shall not be liable to provide him with any legal, tax , investment, accounting advice or advice related to suitability or profitability of a security or investment.

I/We understand and agree that employees and authorised person of AFSP are not authorised to give any investment or other advice and I/we will not solicit or rely upon any such advice from the AFSP, its employees and authorised person. In case, I/we have relied upon any such information, it is solely at the risk and cost of mine/ours and AFSP or its employees or authorised person shall not be liable or responsible for the same.

22) Other Confirmations and Undertaking:


A) I/We authorise you to send SMS and email to registered email/ mobile no. in respect of my trading and demat account. In case of Electronic delivery, I/we agree that AFSP will not cognizance of any "out-of-office/out of station" auto replies and I/we shall be deemed to have received such electronic mails. I/we shall immediately inform AFSP about change in my email address, if any. B) /We hereby provide my/our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder). I/We hereby agree to carry out online KYC for opening or maintenance of my trading & demat account and hereby give consent to AFSP to share my details and records with Digilocker, for enabling retrieval of Official Valid Documents from Digilocker system, as required for online KYC.

23) Running Account Authorisation:

I am aware that as per the SEBI / Exchange requirements, the settlement of funds / securities is to be done within one working day of the pay-out. I am also aware and understand that it is difficult to manage repeated payments/delivery with respect to all secondary market transactions. Also, I desire to use my securities and monies as margin / collateral without which I cannot deal / trade. Therefore, I hereby request and authorize you to maintain my account as a running account(s) which will entail that funds due to us on pay-out shall be withheld with yourselves beyond the stipulated deadlines and given to us only on the specific request. You shall transfer the funds lying in my credit within one working day of my request if the same are lying with you and within three working days from the request if the same are lying with the Clearing Member/Clearing Corporation. Notwithstanding anything contained in this authorization, the actual settlement of funds, except for funds received from the clients towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR), at least once in a **Month** **Quarter** as allowed by Exchange and SEBI from time to time. In case I have an outstanding margin/settlement obligation on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5

trading days, calculated in the manner as per the applicable guidelines prescribed by the Exchanges. I acknowledge that I can revoke the above mentioned running account authority at any time by sending a written signed instruction through registered post (RPAD). I confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/ securities or statement of account or statement related to it, as the case may be in writing at your registered office. Any clause which is not in conformity with SEBI and Exchange circular on settlement of fund shall stand amended/modified to that extent. There shall be no inter-client adjustments for the purpose of settlement of the 'running account'.

I am / we are understand and aware that the aforesaid consents are purely voluntary and have been given to you for smoother operations of my / our client account with you as our broker. Further, these standing instructions are valid from the date the client / trading account is opened with you and will be valid and operational until revoked by me /us by giving notice in writing to your compliance officer only. Any entries / transactions and acts, deeds, things etc. carried out by broker in accordance with this authorization shall be binding on me/us.

Signature X  _____

DEMAT DEBIT AND PLEDGE INSTRUCTION

This Demat Debit and Pledge Instruction (DDPI) forms part and Parcel of non-judicial stamp paper of Rs, 300/- bearing Certificate Number _____ dated _____. (strike off in case not applicable).

I / We _____ (Client / BO name) hold a Beneficiary account No. 12081900 _____ (BO-ID) with Central Depository Services (India) Limited, through your company having DP-ID 12081900.

And Whereas I/We am/are an investor engaged in buying and selling of securities through ARYA FIN-TRADE SERVICES (INDIA) PRIVATE LIMITED (a member) of National Stock Exchange of India Limited, Bombay Stock Exchange of India Limited, Multi Commodity Exchange of India Limited, National Commodity and Derivatives Exchange Limited; bearing SEBI registration No.INZ000181536, And Whereas due to exigency and paucity of time, I/We am/ are desirous of appointing Arya Fin-Trade Services (India) Private Limited to operate the aforesaid beneficiary account on my/our behalf for a limited purpose in the manner hereinafter appearing.

I/We hereby authorize your company to transfer securities from the aforesaid account to the below mentioned accounts for the purpose specified herein:

Sr. No.	Exchange/Segment Name	DP ID	BO ID	Purpose
1	NSE Cash Segment : CM Early Pay-In A/c - CDSL	12081900	00000029	NSE – CDSL Pool A/c
2	NSE Cash Segment : CM Pool A/c - NSDL	11000011	00019585	NSE - Early Pay-In A/c
3	NSE Cash Segment : CM Pool A/c - CDSL	IN301645	10687153	NSE - NSDL Pool A/c
4	BSE Cash Segment : CM Pool A/c – CDSL	12081900	00000033	BSE – CDSL Pool A/c
5	BSE Cash Segment : CM Principal A/c - CDSL	12081900	00000048	BSE – CDSL Principal A/c
6	BSE Cash Segment : CM Early Pay-In A/c - CDSL	11000010	00023745	BSE - Early Pay-In A/c
7	NSE SLB Segment: SLB Pool A/c - CDSL	12081900	00002347	NSE SLB – CDSL Pool A/c
8	Corporate TM/CM Client Securities Margin Pledge Account- CDSL	12081900	00002784	Corporate TM/CM CMPA
9	Corporate TM/CM Client Securities Margin Pledge Account- NSDL	IN301645	10688247	TM/CM Client Securities Margin Pledge Account-NSDL

ANNEXURE A
MOST IMPORTANT TERMS AND CONDITIONS (MITC)
(FOR NON-CUSTODIAL SETTLED TRADING ACCOUNTS)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.



Client Signature

ACKNOWLEDGEMENT

To,
Arya Fin-Trade Services (India) Private Limited
20th Floor, B Wing, Privilon, Ambli BRT Road,
Behind Iskcon Temple, Off S. G. Highway,
Ahmedabad - 380059

Dear Sir,


This has reference to necessary Know Your Client Form containing basic information, additional information and other documents executed by me/us. I/We hereby acknowledge receipt of following documents from you:-


1	Client Registration Form (KYC)	8	Guidance Note
2	Rights & Obligations (BO & DP)	9	RMS Policy
3	Risk Disclosure Document	10	Tariff Structure
4	POA	11	Right and obligation for trading in equity
5	Non-Mandatory Document	12	Right and obligation for trading in commodity
6	Policies & Procedures	13	Option form for issue / non issue of dis booklet
7	PMLA Policy	14	Nomination Form


I/We state that I/We have read and understood all above documents available at www.aryafingroup.in and these

Thanking you,

Date: _____

Signature X  _____
Sole/First Holder

Signature X  _____
Second Holder

Signature X  _____
Third Holder