

# MEHTA



REWARDING RELATIONSHIPS

Equity

Research

Derivatives

Commodities

Currency

Mutual Fund

IPO

## CLIENT REGISTRATION FORM BOOKLET - 1

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

PAN No.

DP A/c. No.

Client Code \_\_\_\_\_ Branch \_\_\_\_\_

Dealer Name \_\_\_\_\_ Brokerage Scheme \_\_\_\_\_

Ref. No. / Sr. No. \_\_\_\_\_ Date \_\_\_\_\_

Corporate  
Advisory

Broking

Wealth  
Management

Real  
Estate

## MEHTA EQUITIES LTD.

**-: CORPORATE MEMBER :-**

The National Stock Exchange of India Ltd.

Bombay Stock Exchange Ltd.

Metropolitan Stock Exchange of India Ltd.

Depository Participant: CDSL

## DETAILS OF THE TRADING MEMBER

Name of the Stock Broker / Trading Member / Clearing Member :- Mehta Equities Ltd.

**Registered Office / Correspondence Address :**

903, Lodha Supremus, Dr. E. Moses Road,  
Worli Naka, Mumbai - 400 018.

Tel.: 91-22-6150 7100

Fax: 91-22-6150 7102

Email : info@mehtagroup.in

Website : www.mehtagroup.in

**Administrative Office Address :**

L. M. Tower, 3rd Floor, 27/20, Adarsh Society,  
Near ITI Circle, New Power House Road,  
Jodhpur - 324 003.

Tel.: 0291 - 5150903 / 915

Email : info@mehtagroup.in

**Director**

**Mr. Prashant Bhansali**

E-mail: prasant@mehtagroup.in

Tel.: +91 - 22 - 6150 7100

**Compliance Officer**

**Mr. Ritesh Tiwari**

E-mail: compliance@mehtagroup.in

Tel.: +91 - 22 - 6150 1150

For any grievance/dispute please contact Mehta Equities Ltd. at the above address and email id info@mehtagroup.in and Phone no. 022- 4007 0100. In case not satisfied with the response, please contact the concerned exchange / DP

Particulars	E-mail ID	Tel. No.
BSE	is@bseindia.com	022-2272 8097
NSE	ignse@nse.co.in	022-2659 8190 / 18002 20058
MSEI	investorcomplaints@msei.in	022-6112 9000
CDSL	complaints@cdslindia.com	180 0200 5533

Name of Exchange	Segment	SEBI Registration No.	Date
BOMBAY STOCK EXCHANGE LTD.	Cash	INB 010683856	17-01-1995
	Derivatives Segment	INF 010683856	08-06-2000
THE NATIONAL STOCK EXCHANGE OF INDIA LTD.	Cash	INB 231351231	08-10-2009
	Derivatives Segment (F&O)	INF 231351231	08-10-2009
	Currency Derivatives	INE 231351231	08-10-2009
MSEI	Currency Derivatives	INE 261207756	20-11-2008
	Cash	INB 261351234	07-01-2013
	Derivatives Segment (F&O)	INF 261351234	07-01-2013
CDSL		IN-DP-CDSL-35-99	11-08-2014

This is to inform you that we are also engaged in proprietary trading.

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

### B. Proof of Identity (POI): - List of documents admissible as Proof of Identity:

1. PAN card with clear photograph. This is mandatory requirement for all applicants 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 apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN

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

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

### E. List of people authorized to attest the documents:

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

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

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

## Instructions/Checklist to the Applicants (BOs) for Account Opening

### 1. Additional documents in case of trading in Derivatives segment - Illustrative List

The Client is required to give any one of the following document as financial proof.

#### List of Illustrative documents:

- Copy of ITR Acknowledgment
- Copy of Holding statement of de-mat account
- In case of salary income - Salary Slip, Copy of Form 16
- Net-worth certificate
- Bank account statement for last 6 months
- Copy of Holding statement of de-mat account
- Any other relevant documents substantiating ownership of assets
- Self declaration along with relevant supporting

\* In respect of other Client, document as per risk management policy of the Stock Broker need to be provided by the Client from the time to time.

2. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.

3. Signatures should be preferably in black ink.

4. Details of the Names, Addresses, Telephone Number(s) etc. of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be available in case of attestation done by any of them.

#### 5. For individuals:

a. In case of non-resident clients, employees at the stock broker's local office, (subject to NRI Client's availability in India), and/or Overseas office 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 is to be submitted.

#### 6. For non-individuals:

a. Form needs to be initialed by all the authorized signatories.

b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures is required.









7. In case of additional signatures (for accounts other than individuals), separate annexure should be attached to the account opening form.

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

9. Demat master or recent holding statement issued by DP bearing name of the client to be submitted.

10. All correspondence / queries shall be addressed to the first / sole applicant.

11. Strike off whichever option, in the account opening form, is not applicable.

Notes: Below mentioned Symbols denote various signatures approximately		
	Client -1 <sup>st</sup> Holder	- 15 Signature
	2 <sup>nd</sup> Holder	- 9 Signature (In case of Joint Account)
	3 <sup>rd</sup> Holder	- 6 Signature (In case of Joint Account)
	Non-Individual	- 14 Signature
	Witness	- 3 Signature
	MEL authorized	- 8 Signature
	Introducer	- 1 Signature
	Sub-Broker	- 1 Signature

## INDEX

Sr. No.	Name of the Document	Brief Significance of the Document	Pg. No.	
<b>MANDATORY FORM AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>				
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/checklist (To be filled by customer)	B O O K L E T 1	1 - 15
		B. Document captures the additional information for Trading and Demat Account.		
2.	Tariff Sheet	Document detailing the demat fee schedule & rate/amount of brokerage charges levied on the client for trading on the stock exchange(s).		16
<b>VOLUNTARY FORM AS PROVIDED BY THE STOCK BROKER</b>				
3.	Regular Demat Account	Declaration for opting for Regular Services Demat Account		17
4.	ECN Authorization	Mandate to issue Contract & Other Communication in Digital format		18
5.	Voluntary Clauses BSE/NSE	Voluntary Clauses BSE (Cash & F&O Segment) NSE (Cash, F & O & Currency Derivatives Segment)		19 - 22
6.	Authorisation for Running Account	Authorization of Running Account.		23
7.	Declaration for common E-mail Id & Mobile No.	Declaration for common E-mail Id & Mobile No.		24
8.	NACH/ECS/Auto Debit Mandate Instruction Form	Mutual Fund ECS mandate registration form.		26
9.	Mutual Fund	Mutual Fund Subscription		28

### MANDATORY DOCUMENT AS PRESCRIBED BY SEBI & EXCHANGES

10.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ trading member, sub-broker and client for trading on exchanges.	B O O K L E T 2	1 - 4
11.	Internet & wireless technology based trading facility	Rights and Obligations in respect of internet and wireless technology based trading facility.		5
12.	Rights and Obligations of Beneficial Owner and Depository Participant	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories		6 - 8
13.	Rights and Obligation Documents for Margin Trading Facility	Rights and Obligation Documents for availing Margin Trading Facility as prescribed by exchanges /SEBI		9 - 14
14.	Risk Disclosure Document (RDD)	Document detailing Risks associated with dealing in the securities market.		15 - 17
15.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.		18 - 19
16.	Policies & Procedures	Various policies and procedures applied by the Member/ Depository Participant.		20 - 22
17.	Information on prevention of money laundering act 2002, (PMLA)	Brief note on PMLA for Client Information		23
18.	Additional Guidance Note for DP	Document detailing do's and don'ts for DP, for the education of the investors.		24

**Note:** Booklet 1 to be filled by client and returned to MEHTA EQUITIES LTD. Booklet 2 to be read, understood and retained by the client for future reference.



A. Identity Details (please see guidelines overleaf)										
1. Name of Applicant (As appearing in supporting identification document).										
Name	[Grid for Name]									<b>PHOTOGRAPH</b> Please affix the recent passport size photograph and sign across it
Father's / Spouse Name	[Grid for Father's / Spouse Name]									
2a. Gender	<input type="checkbox"/> Male	<input type="checkbox"/> Female	2b. Marital Status	<input type="checkbox"/> Single	<input type="checkbox"/> Married	2c. Date of Birth	[dd/mm/yyyy]			1/15
3. Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other (please specify) _____									
4. Status Please tick (✓)	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National (Passport Copy Mandatory for NRI's & Foreign Nationals)									
5. PAN	[Grid for PAN] Please enclose a duly attested copy of your PAN Card									
Aadhaar No. if any: _____										
6. Proof of Identity submitted for PAN exempt cases Please tick (✓)	<input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Passport <input type="checkbox"/> Votor ID <input type="checkbox"/> Driving Licence <input type="checkbox"/> Others (please see guideline 'D' overleaf)									

B. Address Details (please see guidelines overleaf)											
1. Address of Residence											
[Grid for Address]											
City/Town/Village								Pin Code			
State							Country				
2. Contact Details											
Tel. (Off.)	(ISD)	(STD)					Tel. (Res)	(ISD)	(STD)		
Mobile	(ISD)	(STD)					Fax	(ISD)	(STD)		
E-mail Id											
3. Specify the proof of address submitted for residence address:											
<input type="checkbox"/> Passport <input type="checkbox"/> Ration Card <input type="checkbox"/> Registered Lease/Sale Agreement of Residence <input type="checkbox"/> Driving License <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> *Latest Bank A/c Statement/Passbook <input type="checkbox"/> *Latest Telephone Bill (only Land Line) <input type="checkbox"/> *Latest Electricity Bill <input type="checkbox"/> *Latest Gas Bill <input type="checkbox"/> Others (Please specify) _____											
*Not more than 3 month old. Validity/Expiry date of proof of address submitted [dd/mm/yyyy]											
4. Permanent Address of Resident Applicant if different from B1 above OR Overseas Address (Mandatory) for Non-Resident Applicant											
[Grid for Permanent/Overseas Address]											
City/Town/Village								Pin Code			
State							Country				

DECLARATION					SIGNATURE OF APPLICANT				
I hereby declare that the details furnished above are true and correct to the best of my/our 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/ We are aware that I/We may be held liable for it.									
Place :	_____				Date :	_____			
FOR OFFICE USE ONLY					IPV Done <input type="checkbox"/> on [dd/mm/yyyy]				
<b>MEHTA EQUITIES LIMITED</b> ( ) <input type="checkbox"/> (Originals Verified) Self Certified Document Copies received and True Copies of document received					Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date				
					<b>MEHTA EQUITIES LIMITED</b> Staff Name Designation Signature [Signature] 1/8 Date				



**ADDITIONAL DETAILS FOR CENTRAL KYC REGISTRY | 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.

<b>For office use only</b> <i>(To be filled by financial institution)</i>	Application Type* <input type="checkbox"/> New <input type="checkbox"/> Update KYC Number <input style="width: 100px;" type="text"/> <i>(Mandatory for KYC update request)</i> Account Type* <input type="checkbox"/> Normal <input type="checkbox"/> Simplified (for low risk customers) <input type="checkbox"/> Small
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**1. PERSONAL DETAILS**

Maiden Name (If any\*)   
 Mother Name\*

**2. TICK IF APPLICABLE**  RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA

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)\***

*(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 style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> - <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> - <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/>
<input type="checkbox"/> B- Voter ID Card		
<input type="checkbox"/> C- PAN Card		
<input type="checkbox"/> D- Driving Licence	Driving Licence Expiry Date	<input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> - <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> - <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/>
<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 style="width: 100px;" type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	Identification Number	<input style="width: 100px;" type="text"/>

**4. 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. DETAILS OF RELATED PERSON**

Addition of Related Person  Deletion of Related Person KYC Number of Related Person (if available\*)   
 Related Person Type\*  Guardian of Minor  Assignee  Authorized Representative

Prefix	First Name	Middle Name	Last Name
<input style="width: 40px;" type="text"/>	<input style="width: 120px;" type="text"/>	<input style="width: 120px;" type="text"/>	<input style="width: 120px;" type="text"/>

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

**PROOF OF IDENTITY [PoI] OF RELATED PERSON\***

<input type="checkbox"/> A- Passport Number	Passport Expiry Date	<input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> - <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> - <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/>
<input type="checkbox"/> B- Voter ID Card		
<input type="checkbox"/> C- PAN Card		
<input type="checkbox"/> D- Driving Licence	Driving Licence Expiry Date	<input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> - <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> - <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/>
<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 style="width: 100px;" type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	Identification Number	<input style="width: 100px;" type="text"/>

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

3/15

Signature / Thumb Impression of Applicant









A. Identity Details (please see guidelines overleaf)												
1. <b>Name of Applicant</b> (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. please do not abbreviate the Name)												
[Grid for Name]												
2. <b>Date of Incorporation</b> [d d / m m / y y y y]					<b>Place of Incorporation</b> [Grid]							
3. <b>Registration No. (e.g. CIN)</b> [Grid]					<b>Date of commencement of business</b> [d d / m m / y y y y]							
4. <b>Status</b> Please tick (✓) <input type="checkbox"/> Private Ltd. Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/Charities/NGO's <input type="checkbox"/> HUF <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> AOP <input type="checkbox"/> FPI Category I <input type="checkbox"/> FPI Category II <input type="checkbox"/> FPI Category III <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non - Government Organization <input type="checkbox"/> Defence Establishment <input type="checkbox"/> Body of Individuals <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Others (Please Specify) _____												
5. <b>Permanent Account Number (PAN) (MANDATORY)</b> [Grid]					<b>Please enclose a duly attested copy of your PAN Card</b>							

B. Address Details (please see guidelines overleaf)												
1. <b>Address of Correspondence</b>												
[Grid for Address]												
City/Town/Village										Pin Code		
State			Country									
2. <b>Contact Details</b>												
Tel. (Off.) (ISD) (STD)										Tel. (Res) (ISD) (STD)		
Mobile (ISD) (STD)			Fax (ISD) (STD)									
E-mail Id [Grid]												
3. <b>Specify the proof of address submitted for correspondence address:</b> <b>Proof of Address to be provided by Applicant. Please submit ANY ONE of the following valid documents &amp; tick (✓) against the document attached.</b> <input type="checkbox"/> *Latest Telephone Bill (only Land Line) <input type="checkbox"/> *Latest Electricity Bill <input type="checkbox"/> *Latest Bank A/c Statement <input type="checkbox"/> Registered Lease / Sale Agreement of Office Premises <input type="checkbox"/> *Any other proof of address document (as listed overleaf) (please specify) _____ *Not more than 3 month old. <b>Validity/Expiry date of proof of address submitted</b> [d d / m m / y y y y]												
4. <b>Registered Address (If different from above)</b>												
[Grid for Registered Address]												
City/Town/Village										Pin Code		
State			Country									

C. Other Details (please see guidelines overleaf)												
1. <b>Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees/Whole Time Directors</b> (Please use the Annexure to fill in the details)												
2. a) <b>DIN of Whole time Directors</b> _____					b) <b>Adhaar Number of Promoters / Partners / Karta</b> _____							

DECLARATION				NAME & SIGNATURE (S) OF AUTHORISED SIGNATORY								
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.								[Signature Area]				
Place : _____ Date : _____												

FOR OFFICE USE ONLY												
MEHTA EQUITIES LIMITED ( )												
<input type="checkbox"/> (Originals Verified) Self Certified Document Copies received and True Copies of document received												
Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature  3/8 Date												

DETAILS OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC) APPLICATION FORM for NON-INDIVIDUALS

Name of Applicant \_\_\_\_\_ PAN of the Applicant : ( \_\_\_\_\_ )

Sr. No.	PAN	NAME	DIN (for Directors) / Aadhar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	PHOTOGRAPH
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	☞ 2a
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	☞ 2b
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	☞ 2c
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	☞ 2d
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	☞ 2e



PEP : Politically Exposed Person

RPEP : Relative to Politically Exposed Person

Date : 

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

☞ 2/14 Name & Signature of the Authorised Signatory(ies)

## DECLARATION IN CASE OF HUF

From:

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

(Address of HUF) : \_\_\_\_\_

\_\_\_\_\_

To,

**MEHTA EQUITIES LIMITED**

Regd. Off.: 903, Lodha Supremus,

Dr. E. Moses Road, Worli Naka, Mumbai - 400 018.

Tel.: +91 22 6150 7100 Fax: +91 22 6150 7102

E-mail: rslcds@mehtagroup.in, info@mehtagroup.in

Dear Sir,

Re.: Application for HUF Account: Trading A/c. \_\_\_\_\_ Demat A/c. \_\_\_\_\_

This is with reference to my application for HUF account to be opened with Mehta Equities Limited. I would like to furnish the following details as required to process the above said account opening form.

Being Karta of my family, I hereby declare that following is the list of Co-parceners in our HUF.

Name of Co-parcener	Sex (M\F)	Date of Birth	Relationship with HUF

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for Making this application to open our Account.

I agree any false / misleading information given by me or suppression of any material information will render my said account liable for termination and further action.

Further, I agree that I will immediately intimate any changes in the constitution of the HUF.

Thanking you,  
Yours truly,

 4/15

(Name & Signature of Karta with HUF stamp)

## TRADING ACCOUNT RELATED DETAILS

### DEPOSITORY ACCOUNT(S) DETAILS

Particulars	(1)	(2)	(3)
DP Name			
DP Address			
DP ID			
Client Name (1st Holder)			
Client ID			
2nd holder's Name			
3rd holder's Name			
Default A/c (Any One)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

1) Client name & DP A/c No. on the proof of DP submitted should match with that mentioned in the account opening form with sole holder or first holder as the case may be.

2) DP statement should clearly show DP ID & Client ID.

3) In case NRI's proof of Demat Account should be only with NRI status.

### BANK ACCOUNT(S) DETAILS OF SOLE / FIRST HOLDER

Bank Name									
Branch Name									
Branch Address									
City		State		Country		PIN			
Bank A/c. No.									
A/c. Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRI/NRE/NRO <input type="checkbox"/> Others _____								
MICR Number									
IFSC Code									
Proof of 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)								

### TRADING PREFERENCE

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchange	Segment					MTF
	Cash	F & O	Currency	Mutual Fund	Debt	
BSE	<input type="checkbox"/> 5a/15 <input type="checkbox"/> 3a/15	<input type="checkbox"/> 5a/15 <input type="checkbox"/> 3a/15	<input type="checkbox"/> 5a/15 <input type="checkbox"/> 3a/15	<input type="checkbox"/> 5a/15 <input type="checkbox"/> 3a/15	<input type="checkbox"/> 5a/16 <input type="checkbox"/> 3a/16	<input type="checkbox"/> 5a/15 <input type="checkbox"/> 3a/15
NSE	<input type="checkbox"/> 5b/15 <input type="checkbox"/> 3b/15	<input type="checkbox"/> 5b/15 <input type="checkbox"/> 3b/15	<input type="checkbox"/> 5b/15 <input type="checkbox"/> 3b/15	<input type="checkbox"/> 5b/15 <input type="checkbox"/> 3b/15	<input type="checkbox"/> 5b/16 <input type="checkbox"/> 3b/16	<input type="checkbox"/> 5b/15 <input type="checkbox"/> 3b/15
MSEI	<input type="checkbox"/> 5c/15 <input type="checkbox"/> 3c/15	<input type="checkbox"/> 5c/15 <input type="checkbox"/> 3c/15	<input type="checkbox"/> 5c/15 <input type="checkbox"/> 3c/15	<input type="checkbox"/> 5c/15 <input type="checkbox"/> 3c/15	<input type="checkbox"/> 5c/16 <input type="checkbox"/> 3c/16	<input type="checkbox"/> 5c/16 <input type="checkbox"/> 3c/16

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

### BROKERAGE TARIFF SHEET

#### Cash

#### Brokerage Scheme

	Trading		Delivery	
	%	Min.	%	Min.
1st Leg				
2nd Leg				

Preferred ageing : T + \_\_\_\_\_

#### F & O

	Future		Option	
	%	Min.	%	Min.
1st Leg				
2nd Leg				

#### Currency Per Lot

1st Leg	2nd Leg	Next Day
Rs.	Rs.	Rs.

### ADDITIONAL DETAILS

Facilities For Trading	Whether you wish to avail the facility of <input type="checkbox"/> Internet Trading <input type="checkbox"/> Wireless technology (Mobile Trading)
Contract Note	Whether you wish to receive <input type="checkbox"/> Electronic Contract Note (ECN) <span style="float: right; font-size: small;">Please specify your email id _____</span> <input type="checkbox"/> Physical Contract Note
Educational Qualification	<input type="checkbox"/> Under Graduate <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional
Investment/Trading Experience	<input type="checkbox"/> Years in Stocks <input type="checkbox"/> Years in Derivatives <input type="checkbox"/> No Prior Experience

In case of Non-Individuals, Name, Designation, PAN, UID, Signature, Residential Address and Photographs of persons authorised to deal in securities on behalf of Company / Firm / Others \_\_\_\_\_

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

### SMS AND EMAIL ALERTS FACILITY BY STOCK EXCHANGES/CDSL

I/We accord our consent to receive the following: a) SMS alerts  Yes  No b) Email alerts  Yes  No  
The mobile number and email Id as specified in the KRA KYC shall be used for the purpose of receiving details of various transaction.

Mobile No. \_\_\_\_\_ Mobile No. is registered in the name of  Self  Spouse  Parents  Dependent Children

Email Id. \_\_\_\_\_ Email Id is registered in the name of  Self  Spouse  Parents  Dependent Children

### PAST ACTIONS

Details of any action/proceedings initiated/pending/taken by SEBI/Stock exchange/any other authority/regulatory against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years, whether in terms of criminal or civil proceedings by any enforcement agency worldwide.

--

### INFORMATION IN RELATION TO THE PREVENTION OF MONEY LAUNDERING ACT, 2002

Funds Detail	Do you intend to invest in the stock market with : <input type="checkbox"/> Own Funds <input type="checkbox"/> Borrowed Funds			
Name	Details of the relatives, having account with Mehta Equities Ltd. <table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 100%;"></td> </tr> </table>			
Relationship	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 60%;"></td> <td style="text-align: center;">UCC</td> <td style="width: 40%;"></td> </tr> </table>		UCC	
	UCC			
Name	Details of the corporate/partnership firm/trust, etc where client is affiliated <table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 100%;"></td> </tr> </table>			
Relationship	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 60%;"></td> <td style="text-align: center;">UCC</td> <td style="width: 40%;"></td> </tr> </table>		UCC	
	UCC			
Nature of Business	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 60%;"></td> <td style="text-align: center;">Entity Type</td> <td style="width: 40%;"></td> </tr> </table>		Entity Type	
	Entity Type			

### DEALING THROUGH OTHER STOCK BROKERS

If you are dealing with any other stock broker/ Sub broker / Authorised Person, provide the following details: (in case dealing with multiple stock broker/ Sub broker / Authorised Person, provide details of all)				
Name of Stock broker	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 50%;"></td> <td style="text-align: center;">Client Code</td> <td style="width: 50%;"></td> </tr> </table>		Client Code	
	Client Code			
Name of Sub broker/ Authorised Person	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 50%;"></td> <td style="text-align: center;">Exchange</td> <td style="width: 50%;"></td> </tr> </table>		Exchange	
	Exchange			
Details of disputes/dues pending from/to such stock broker / Sub broker / Authorised Person _____				

## DEALING THROUGH REGISTERED SUB BROKER / AUTHORISED PERSON

If you are dealing through Mehta Equities Ltd. Sub-broker / Authorised Person, provide the following details:

Name		BSE SEBI Regn. No.	
Regd. Off. Address		NSE SEBI Regn. No.	
		MSEI SEBI Regn. No.	
Signature (Sub-broker/AP)	<b>SB</b> <sup>1/1</sup>	Tel. No.	Remisier / AP _____
		Fax No.	Remisier / AP _____
		Website	Remisier / AP _____

### COMMON DETAILS FOR TRADING AND DEMAT

#### OTHER DETAILS

<b>Gross Annual Income details</b>	<b>Income range per annum (Individuals / Non-Individuals)</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"/> Rs. 25,00,000 to Rs. 1,00,00,000/- <input type="checkbox"/> More than Rs.1,00,00,000/-
Net worth as on Date: _____ Rs. _____ (Net worth should not be older than 1 year)	
<b>Occupation</b>	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____
<b>Please tick, if applicable</b>	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)
<b>Any other information</b>	_____

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.

#### INTRODUCER DETAILS (OPTIONAL)

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

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

Code (if any) : \_\_\_\_\_ Tel. No.: \_\_\_\_\_

Status of Introducer :  Sub-broker  
 Remisier  
 Authorised Person  
 Existing Client  
 Others \_\_\_\_\_

Signature of the Introducer : **I**<sup>1/1</sup> \_\_\_\_\_

#### Risk Assessment of Client in terms of PMLA 2002

Type of Client	High Risk	Low Risk	Medium Risk	CSC (Client Special Category)	PEP (Politically Exposed Person)

Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with Mehta Equities Ltd.

**For Mehta Equities Ltd.**



## NOMINATION DETAILS (For Individual Only)

Nomination Registration No.		Date							
-----------------------------	--	------	--	--	--	--	--	--	--

I/We the Sole Holder / Joint Holders / Guardian (in case of minor) hereby declare that :

I/We **do not wish to nominate any one for this trading & demat account.**

I/We **nominate** the following person/s who is entitled to receive funds/security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
<b>Nominee Name</b>			
* First Name	_____	_____	_____
Middle Name	_____	_____	_____
* Last Name	_____	_____	_____
*Address			
*City			
*State			
*Pin			
*Country			
Telephone / Mobile No.			
Fax No.			
*PAN No.			
UID			
Email ID			
*Relationship with BO			
Date of Birth			
<b>Name of the Guardian of Nominee (if the nominee is minor)</b>			
* First Name	_____	_____	_____
Middle Name	_____	_____	_____
* Last Name	_____	_____	_____
*Address of the Guardian of nominee			
*City			
*State			
*Pin			
*Country			
Age			
Telephone / Mobile No.			
Fax No.			
Email ID			
*Relationship of the Guardian with the Nominee:			
*Percentage of allocation of securities:	[ ]	[ ]	[ ]
<b>*Residential Securities</b> [please tick any one nominee] If tick not marked default will be first nominee]:			
	[ ]	[ ]	[ ]

**Note :** Residual securities: incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

**\* Marked is Mandatory field**

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

Name & Address of Witness (Mandatory for Nomination)	Witness Signature
	<b>W</b> 1/3





## ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT

**(To be filled by the Depository Participant)**

Application No.

Date

DP Internal Reference No.

DP ID  **1**  **2**  **0**  **1**  **3**  **7**  **0**  **0**

Client ID

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

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

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

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

\* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. although the demat 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.

**Type of Account (Please tick whichever is applicable) INDIVIDUAL**

Status	Sub-Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual Director Relative <input type="checkbox"/> Individual HUF/AOP <input type="checkbox"/> Minor <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Other (specify)_____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI-Depository Receipt <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Other (specify)_____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National-Depository Receipt <input type="checkbox"/> Other (specify)_____


**Type of Accounts (Please tick whichever is applicable) NON - INDIVIDUAL**

Status	Sub-Status								
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Funds <input type="checkbox"/> OCB <input type="checkbox"/> FIT <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Cleaning House <input type="checkbox"/> Other (Specify)_____	<b>To be filled by the DP</b>								
<b>Corporate Sub-Status</b>	<input type="checkbox"/> Domestic <input type="checkbox"/> Foreign Body <input type="checkbox"/> Group Company <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Others_____								
Place of Incorporation	Date of Incorporation	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>
	Date of Commencement of Business	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>
SEBI Registration No.	SEBI Registration Date	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>
ROC Registration No.	ROC Registration Date	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>
RBI Registration No.	RBI Registration Date	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>	<input style="width: 30px;" type="text"/>
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)_____								

**DETAILS OF PERSON AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF COMPANY / FIRM**


Individual's Full Name \_\_\_\_\_  
 Residential Address \_\_\_\_\_  
 \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code   
 State \_\_\_\_\_ Country \_\_\_\_\_ Gender  Male  Female  
 Designation \_\_\_\_\_ Date of Birth   
 Nationality \_\_\_\_\_ Tel.   
 UID   
 PAN

Recent  
Passport Size  
Photograph  
Only  
(Sign across)

 4a. 4/14


Individual's Full Name \_\_\_\_\_  
 Residential Address \_\_\_\_\_  
 \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code   
 State \_\_\_\_\_ Country \_\_\_\_\_ Gender  Male  Female  
 Designation \_\_\_\_\_ Date of Birth   
 Nationality \_\_\_\_\_ Tel.   
 UID   
 PAN

Recent  
Passport Size  
Photograph  
Only  
(Sign across)

 4b.


Individual's Full Name \_\_\_\_\_  
 Residential Address \_\_\_\_\_  
 \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code   
 State \_\_\_\_\_ Country \_\_\_\_\_ Gender  Male  Female  
 Designation \_\_\_\_\_ Date of Birth   
 Nationality \_\_\_\_\_ Tel.   
 UID   
 PAN





Recent  
Passport Size  
Photograph  
Only  
(Sign across)

 4c.

Individual's Full Name \_\_\_\_\_  
 Residential Address \_\_\_\_\_  
 \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code   
 State \_\_\_\_\_ Country \_\_\_\_\_ Gender  Male  Female  
 Designation \_\_\_\_\_ Date of Birth   
 Nationality \_\_\_\_\_ Tel.   
 UID   
 PAN

Recent  
Passport Size  
Photograph  
Only  
(Sign across)

 4d.

Name of Authorized Person	Signatorise(s) along with Seal
	 5a. 5/14
	 5b.
	 5c.
	 5d.

**CLEARING MEMBER DETAILS (To be filled by CMs only)**

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

**GUARDIAN DETAILS \*(Where sole holder is a minor)**

Guardian Name			
PAN			
Relationship of Guardian with minor			

\* For account of minor, two KYC application forms must be filled. ie. one for the guardian and another for the minor (to be signed by guardian)

**OTHER DETAILS**

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. +91 _____ [[Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).											
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure – 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="width: 100%; margin-top: 5px;"> <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)										
<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.											

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 Instructions from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
DP 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)	
I/We wish to receive dividend/interest directly in to my bank account 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

**ADJUSTMENT OF CDSL BILL WITH TRADING ACCOUNT**




Do you wish to authorize to set off /adjust my debit balance in the Demat Account with the credit balance lying in Trading Account from time to time:-  Yes  No

## 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.
- #4) I/We have received and read the Guidance note describing rights and obligation of Margin Trading Facility as prescribed by the exchanges/SEBI for the purpose of availing MTF and I/We have agreed there upon.
- 5) I/ We have received and read the Guidance note detailing do's and don'ts for trading on exchanges, for the education of the investors.
- \*6) I/ We have received and the read the Documents describing Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories for the purpose of opening a Demat account and I/We have agreed there upon.
- \*7) I/ We have received and read the Guidance note detailing do's and don'ts for DP, for the education of the investors.
- 8) I/We have got a clear idea about all brokerage, commission, fees and other charges levied by Mehta Equities Ltd. for trading and \*Depository Account as per the relevant provision/ guidelines specified by the SEBI/ Stock Exchanges. I/We hereby acknowledge the same.

\* **Note** : Only for Clients who are operating Depository Account with Mehta Equities Ltd.




# **Note** : Only for Clients availing Margin Trading Facility

Name			
Signature of client / (all) Authorised Signatory(ies)	 7/15	 4/9	 1/6

Place	Date	D	D	M	M	Y	Y	Y	Y
-------	------	---	---	---	---	---	---	---	---

### 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	 5a. 5/8	 5b.	 5c.

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 \_\_\_\_\_

 6/8

Signature of Authorised Signatory

Seal/Stamp of the stock broker

### Details of DP Schemes and Charges Applicable

Sr. No.	Particulars	SCHEME		
		<input type="checkbox"/> Yearly Scheme	<input type="checkbox"/> Life Time Scheme	<input type="checkbox"/> Basic scheme
1.	<b>Account Maintenance Charges</b>	Individual ₹ 300/- for Yearly	Individual ₹ 1100/-	Individual ₹ 500/- (Holding value <50,000 = 0/- Amc, Holding value 50,000 < 2,00,000 = 100/- Amc and Holding value > 2,00,000 = 500/- Amc)
		Corporate ₹ 1000/-	N.A	N.A
2.	<b>Demat</b>	Per Certificate ₹ 2/- Plus Postal Charges ₹ 20/- Per Certificate	Per Certificate ₹ 2/- Plus Postal Charges ₹ 20/- Per Certificate	Per Certificate ₹ 15/- Plus Postal Charges ₹ 75/- Min Min ₹ 100/-
3.	<b>Remat</b>	Actual CDSL Charges + Postal Charges ₹ 50/- Min. ₹ 100/-	Actual CDSL Charges + Postal Charges ₹ 50/- Min. ₹ 100/-	Actual CDSL Charges + Postal Charges ₹ 75/- Min. ₹ 100/-
4.	<b>Transaction Charges</b>			
	a) Within MEL Pay-in	0.02% (Subject to Min. of ₹ 20/- Max ₹ 100/-)	NIL	₹ 50/-
	b) Within MEL Bo to Bo	0.02% (Subject to Min. of ₹ 20/- Max ₹ 100/-)	0.02% (Subject to Min. of ₹ 20/- Max ₹ 100/-)	₹ 50/-
	c) Outside MEL DP	0.02% (Subject to Min. of ₹ 20/- Max ₹ 100/-)	0.02% (Subject to Min. of ₹ 20/- Max ₹ 100/-)	₹ 50/-
	d) Failed Transaction	₹ 25/-	₹ 25/-	₹ 25/-
	Pledge / Unpledge / Conf	0.02% (Subject to Min. of ₹ 30/- Max ₹ 100/-)	0.02% (Subject to Min. of ₹ 30/- Max ₹ 100/-)	₹ 100/-
	<b>Other Charges</b>			
	DIS Issue	₹ 25/-	₹ 25/-	₹ 25/-
	Demat Rejection	₹ 60/-	₹ 60/-	₹ 60/-
5.	<b>Extra Statement</b>	Soft Copy ₹ 10/- per req. Physical ₹ 30/- per req.	Soft Copy ₹ 10/- per req. Physical ₹ 30/- per req.	Soft Copy ₹ 10/- per req. Physical ₹ 25/- per req.
	Transaction Statement	₹ 15/-	₹ 15/-	Nil
	Miscellaneous Charges	Actual Charges (Erroneous transfer, penalties etc.)	Actual Charges (Erroneous transfer, penalties etc.)	Actual Charges (Erroneous transfer, penalties etc.)

**Notes :**

1. GST and other statutory levies (if any) would be charged extra wherever applicable as per the prevailing rates.
2. POA Charges would be applicable as per actual
3. For availing 'Easiest' facility of CDSL the charges as levied by CDSL would be collected from clients at actual.
4. CDSL Levies Rematerialization charges as higher of the following:
  - i) A fee of Rs 10/- for every 100 securities or part thereof; or
  - ii) A flat fee of Rs. 10/- per certificate
5. Postal charges for rejection of Demat/Remat shall be charged on actual.
6. I/We hereby authorise Mehta Equities Ltd., to debit all the Demat Account related charges to my/our Mehta Equities Ltd. Trading Account.

8/15 8/14

✓ 5/9

X 2/6

**First Holder**

**Second Holder**

**Third Holder**

**General Instructions:**

1. In case of non exercise of option, yearly scheme shall be applicable.
2. Blank & Signed Delivery Instruction Slips should not be left with your DP/Broker.
3. All market instructions for transfer must be received latest by 4.00 p.m. on the previous working day prior to pay in day as per SEBI Guidelines. All off Market Instructions for transfer must be received atleast 24 hours before the execution date. Late instructions would be accepted at the account holder's sole risk and responsibility.



ECN AUTHORIZATION

From : \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

To,  
Dear Sirs,

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

**Sub: Mandate to issue contract in digital format & other communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bill, Notices etc.) through an E-mail**

I/We hereby agree and consent to accept the contract notes for transactions carried on by us/me on BSE/NSE/MSEI with you, as the case may be, in terms of mandatory and voluntary client registration documents entered into between us/me, in digital form. Digital Contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.

1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.  
You can also send me/us my/our margin statement in digital form with contract notes.
2. I/We undertake to check the contract notes and bring the discrepancies to your notice of such issuance of contract notes. My / our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any should be sent on E-mail: info@mehtagroup.in
5. Client can view the digital contract notes using the username & password through the web-site apart from the contract notes sent to the client through mail.
6. The Digital Contract Notes will be archived at an interval of 3 months. If the client intends to view the digital contract notes for a period prior to 3 months client may request for the same in writing.
7. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
8. It will be client's responsibility to regularly check the mailbox and keeping storage space for new email messages.
9. Any changes in the terms and conditions shall be intimated from time to time as per applicable laws, rules and regulations of Exchange/SEBI.
10. Non-receipt of bounces mail notification by the trading member shall amount to deliver of contract note at the e-mail ID of the client.
11. Digital Contract Notes will also be available at our Web-site : www.mehtagroup.in
12. Any change in the E-mail ID shall be communicated by us / me through a physical letter.
13. Non-receipt of bounced e-mai, will amount to delivery of the documents.

**Other Communications (Such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bill, Notices etc.**





You can send me various documents like Daily margin statement, Statement of funds & Securities, Account confirmations, bills, notices etc. through an E-mail ID mentioned in this letter.

This Instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above.

My/ Our E-mail ID \_\_\_\_\_

My/ Our Alternative E-mail ID \_\_\_\_\_

Yours faithfully,

(Client Signature) 1)  10/15  10/14 2)  7/9 3)  4/6 \_\_\_\_\_

**VOLUNTARY CLAUSES –BSE/NSE/MSEI -Cash/F&O/ CD Segment, as the case may be**

**IN CONSIDERATION OF THE MUTUAL UNDERSTANDING BETWEEN THE PARTIES, THE PARTIES HERETO AGREE TO THE FOLLOWING RIGHTS & OBLIGATIONS IN ADDITION TO THE RIGHTS & OBLIGATIONS OF MEHTA EQUITIES LTD. ("STOCK BROKER"), SUB-BROKERS & CLIENTS AS PRESCRIBED BY SEBI AND STOCK EXCHANGES VIDE ANNEXURE-4 TO THE KYC**

1. **Authorized Person:** (Authorized Person / Authorized Representative / Representative of the client shall be as per applicable laws / rules & regulations of SEBI / Exchange)
  - a. The trading and other instruction for facilitating and carrying out business issued telephonically or through any other approved means either express or implied by an authorized representative of the 'Client' shall be binding on the 'Client'. The 'Client' hereby authorizes its representative(s) to trade and transact in securities for and on behalf of the Client. In the event of 'Client' replacing the authorized representative(s), it shall be the responsibility of the 'Client' to inform the 'Stock Broker' of the change in writing, failing which the 'Client' shall be responsible for the trade obligations arising out of the actions of both the representative(s), old as well as the new representative, if any.
  - b. If any transaction(s) with Mehta Equities Ltd. has/ have been executed on behalf of the 'Client' by any other person, not mentioned above and the same has /have been accepted by 'Client' from time to time on the basis of the contract note(s)/ bills/ any other correspondence dispatched/ communicated to the 'Client' by Mehta Equities Ltd. and/ or by part or full settlement of the said transaction(s) by the 'Client' then such transaction(s) shall be deemed to have been executed by the person authorized by the 'Client' and the 'Client' shall ratify and bound to accept all such or other actions of such persons and shall meet all such obligations arising from such transaction(s).
2. **Payment of margins:** The 'Stock Broker' or the Exchange shall decide the margin to be paid by the 'Client' from time to time. The 'Client' may also be liable to pay withholding margins, special margins or such other margins as the 'Stock Broker' or the said Exchange may consider as necessary, from time to time. The 'Stock Broker' at its sole and absolute discretion will be entitled to collect additional margins (even though not imposed by the Exchange, the Clearing House or SEBI) and the 'Client' shall be bound to pay such margins.
3. The 'Client' shall make all margin payments forthwith on being demanded by the 'Stock Broker', failing which the 'Stock Broker' shall be free to square up all or any outstanding position of sale and / or of purchase of the 'Client' without any notice to the 'Client'. The 'Client' authorizes the 'Stock Broker' to withhold transfer of shares or payout of funds to his account in case he/it fails to pay margin money as demanded by the 'Stock Broker' and utilize the same towards margin requirements. The 'Client' is expected to pay brokers due including the margin money through RTGS/ NEFT/CHEQUE. In case, payments are made by the 'Client' by means of a Cheque, the 'Stock Broker' / Sub -broker may execute the orders of the 'Client' only after the proceeds of the Cheque for Margin payment is realized and credited to the 'Stockbroker's Bank account. The 'Stock Broker' has a right to collect margins from the Sub -broker in addition to the margin paid by the 'Client'. In case the Sub -broker defaults to pay the margin, the 'Stock Broker' has a right to refuse to execute transactions of the 'Client'.
4. **Maintenance of Accounts:** The 'Client' agrees to deposit monies and eligible security/ies as may be Required to open and / or to maintain the 'Client's' account with the 'Stock Broker'.
5. **Excess Contracts:** The client agree that they shall not, acting alone or in concert with others, directly or indirectly, hold and control shares in a company in excess of the number as may be fixed by the said Exchange, in that scrip from time to time
6. **Lien:** All monies, securities or other approved collaterals that may be held by the 'Stock Broker' on the 'Clients' account shall be held subject to a general lien of the 'Stock Broker' for the discharge of the Client's obligation to the 'Stock Broker'.
7. **Discretion:** The 'Stock Broker' shall be entitled to use his discretion to buy, sell or close out any part or all of the positions held in the Client's account with the 'Stock Broker' for the protection of the interest of the 'Client' and or to the extent of margin/ settlement obligation the 'Stock Broker' in a given circumstance. The 'Client' shall be bound by the decision of the 'Stock Broker' and in that event shall reimburse any or all such incidental expenses that may be incurred by the 'Stock Broker'.
8. **Force Majeure :** The 'Stock Broker' will not be liable for any losses, costs or damages accruing to the 'Client' caused directly or indirectly by government restriction, Exchange or market rulings, fires, acts of God, commotion, insurrection, breakdown, acts or regulations of any governmental or supranational bodies or authorities, embargo, industrial disputes, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions which are beyond the control of Mehta Equities Limited. Any of the above Force Majeure events shall not exempt the 'Client' to fulfil the obligations in his account with Mehta Equities Ltd.
9. The 'Client' agrees that in the event of 'Stock Broker' or any employee or official of 'Stock Broker' providing any information, recommendation or advice to the Client, the 'Client' may act upon the same at its sole risk and cost, and the 'Stock Broker' shall not be liable or responsible for the same. The 'Client' shall assume full responsibility with respect to its investment decisions and transactions. The 'Stock Broker', its officers, directors, partners, employees, agents will have no liability with respect to any investment decision or transactions of the Client.



10. Rights: The 'Client' shall have a right to deal through the Sub Broker, if acceptable to the 'Stock Broker', after intimating the 'Stock Broker' and upon signing necessary documents.
11. The "Stock Broker" may maintain a consolidated ledger account of the 'Client' in respect of transactions entered on behalf of the 'Client' in various segments namely Cash / F&O / currency derivatives of the Exchange/s and the payments received and paid by the 'Stock Broker' to/from the 'Client' shall be appropriated by the "Stock Broker" on a first-in-first-out basis and the 'Client' shall be bound by it.
12. All orders placed by The 'Client' shall be treated as orders for that particular session only. In case any order/(s) the 'Client' desires to carry forward or to extend for the next session, he will be required to communicate the same to the 'Stock Broker'. The "Stock Broker" will not be responsible for partial execution of any order/(s) placed by the 'Client'.
13. The 'Stock Broker' may, at its sole discretion, refuse to execute any order placed by or on behalf of the Client due to reasons, including but not limited to, the non-availability of funds in the trading account of the Client, non availability of securities in the Demat account of the 'Client', insufficiency of the margin amount, where the 'Client' opts for the margin trading, suspension of scrip specific trading activities by or on an Exchange or due to the applicability of circuit breaker to a scrip in which order is placed.
14. As per the present Stock Exchange Regulations, the 'Stock Broker' is required to seek an order from its Clients in writing and should provide order confirmation, modification, cancellation and trade confirmation slips to the Client. Client understand that since this requirement of the Exchange would be time consuming and might lead to delay in execution of orders in the dynamic market situation and therefore not practicable, both the parties agree to abide by the prevailing market practice of placement and confirmation of orders etc. done through the medium of telephone, emails, sms etc. Accordingly, the 'Client' confirms that intimation from the Stock Broker, orally or through sms or email or physical contract should be sufficient confirmation for trades executed on behalf of the Client and shall be construed as adequate compliance of the Stock Exchange regulation.
15. The 'Client' shall bring to the notice of the Stock Broker discrepancy, if any, that he may found in the contracts and bills issued to the 'Client' and the Stock Broker will be bound to suitably clarify the position; within the time period permitted under rules, regulation and bye law of the Stock Exchanges.
16. Settlement: All payment for securities bought / margins payable shall be made out by way of Cheque/DD/RTGS/NEFT/fund transfer in favour of Mehta Equities Limited. At the time of settlement of dues of the 'Client', the 'Stock Broker' shall draw an account payee Cheque/ fund transfer in favour of the 'Client'.
17. The 'Client' shall ensure that he had the securities in his name before placing any order to sell that security. If the 'Client' failed to deliver the securities sold on his behalf, the consequential loss arising on account of auction / close out shall be borne by the Client. Similarly, the loss, if any, on account of auctions taking place due to incomplete /illegible / unclear instructions and or instructions not received on time shall be borne by the Client.
18. In case The 'Client' sells any security before it being delivered to his demat a/c, the Broker shall be entitled to transfer such security directly to the Pay -In a/c. In case the 'Client' does not want such direct transfer he should immediately inform the 'Stock Broker' in writing to such effect failing which, the loss, if any on this a/c, shall be borne by the 'Client'
19. Notification: The 'Client' shall note to update the requisite financial information including details as regards financial position, assets, liabilities etc. periodically as and when required.
20. In case of delivery of securities (retained with the broker for non payment of dues or otherwise), by the broker against paying obligations of the 'Client', the 'Stock Broker' shall be entitled to recover from the 'Client' demat and inter-settlement charges for the same.
21. The 'Stock Broker' will not be liable to the 'Client' for loss arising due to fire, theft or loss due to human error in case of dematerialized shares, or any other unforeseen circumstance if the shares are in the custody of the 'Stock Broker' beyond the stipulated time. In case of dematerialized shares, the 'Stock Broker' will be entitled to recover the custody charges and inter settlement charges in case of subsequent sales as mentioned above from the Client, if the deliveries are not transferred out of the 'Stock Broker' s depository account within the stipulated time. The 'Client' agrees that in case the 'Stock Broker' is declared a defaulter or suspended or expelled by the Exchange/s then the damages, losses/liabilities and / or expenses mentioned herein above may devolve upon him/her.
22. The Client' shall individually indemnify and shall always keep indemnified the 'Stock Broker'; 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 'Stock Broker' directly or indirectly, owing to bad delivery (as defined by the exchange rules/regulations /bye-laws) of share / securities and / or as result of fake / forged / stolen shares / securities / transfer documents that are introduced or that may be introduced by or through the 'Client' during the course of its dealings / operation on the stock exchange/s. The 'Client' shall also indemnify the 'Stock Broker' against all claims including legal costs incurred to defend any claims by such 'Client'
23. The 'Client' shall unconditionally, absolutely and irrevocably undertake to pay immediately any amount due and payable to

the "Stock Broker" for the transactions undertaken by it through the "Stock Broker" on being called to do so without any demur merely on a demand in writing or otherwise from the 'Stock Broker' stating that the amount claimed is due pursuant to these Arrangement.

24. Further it is explicitly agreed that the 'Stock Broker' will adjust and set off the amount and securities payable to the 'Client' in respect of transaction done by the 'Client' in the cash/ F&O / currency derivatives segment of the Exchange/s against the amount receivable and due from the 'Client' in respect of the transaction entered into, by or on behalf of the 'Client' on the cash /F&O/ Currency Derivatives Segment of the other exchange/s.
25. Tape recording of the 'Client's' conversation: The 'Client' may take note that the 'Stock Broker' would be taping the conversation between the 'Client' or the Client's representative and the 'Stockbroker's Representative', over the telephone, and the same to be used as evidence in resolving the dispute, if any in connection with any transactions.
26. The 'Stock Broker' shall have the deemed authority of the 'Client' to effect transfer of his/her credit balances in the Capital or Cash Market Segments of NSE and/ or BSE and/ or MSEI to the ledger or to the credit of the Derivatives/Currency Derivatives segment of NSE and/ or BSE and/ or MSEI or vice -versa to meet the margin and/ or settlement obligations on his/her account(s) as may be necessitated, from time to time.
27. The 'Stock Broker' may, at its sole discretion prescribe the payment of margin in the form of cash instead of securities. The 'Client' shall accept to comply with the 'Stock Broker' such requirement for payment of margin in the form of cash immediately, failing which the 'Stock Broker' may sell, dispose or transfer the securities already placed with it as margin or square off/ liquidate all or some of the outstanding positions of the Client, as it may deem fit in its discretion, without further reference to the Client. Any resultant or associated loss/es that may occur due to such squaring off or liquidation/sale, shall be on account of the 'Client' who shall bear the same and the 'Stock Broker' will remain fully indemnified and held harmless by the 'Client' in that behalf.
28. The 'Stock Broker', in its absolute discretion, would decide the eligible securities, which could be deposited by the 'Client' for meeting current or future margin obligations. Also, the 'Stock Broker' would be free to continuously review the eligibility of securities already deposited by the Client. The 'Stock Broker' shall be entitled to determine the haircut at least at the rates prescribed by exchange, to be applied to the market value of the securities placed with it as margin as it may deem appropriate, from time to time. The 'Client' shall note to replenish forthwith the shortfall in the value of the margins, arising on account of erosion in the value of securities.
29. The 'Client' understands that all securities of the client held with the 'Stock Broker' for meeting the Client's trading and exposure limits and/ or towards upfront/initial margins, additional margins, and/ or towards the Client's settlement obligations or for meeting marked to market losses, in any segment at any Exchange shall be utilized by the Stock Broker for transfer/ with the clearing corporations/house/member or pledge with the clearing corporation/house/member/NBFC/ financial institution duly registered with the appropriate Regulatory Authorities viz. RBI, SEBI and Stock Exchanges so as to meet the margin requirements on account of the Client or other similar purpose. The 'Stock Broker' shall be free to do all such acts, deeds and things as may be necessary and expedient for the above purpose.
30. The 'Stock Broker' confirms that corporate benefits accruing on securities deposited by the 'Client' for Margin/ collateral purpose and/ or remaining/held with the 'Stock Broker' shall be added to the margin deposits and/ or credited to the account of the Client, on receipt of the same by the 'Stock Broker'. In case of further issuance of security on right/preferential basis or otherwise, the 'Stock Broker' will apply for the same only with the consent of the 'Client' against receipt of the Application/Subsription money or by debit to the account of the Client.
31. The Stock Broker shall have over riding right to set -off any funds and securities lying/received in the Clients account against the Clients debits and settlement obligations including the amount of penalty and/ or interest debited or outstanding in the Client's account or otherwise.
32. The 'Stock Broker' does not warrant that the service extended by it will always be uninterrupted or error free as the service is being provided on as in and as available basis by the 'Stock Broker' without extending warranties of any kind, either express or implied, including, without limitation, those of merchantability and fitness for a particular purpose. The 'Client' shall not hold the 'Stock Broker' responsible for any delays in transmission of orders/non execution of trades due to breakdown of the system or failure of communication facilities either due to the fault of the systems at the 'Stock Broker's establishment or at the Exchanges or otherwise or for any other delay beyond the reasonable control of the 'Stock Broker'.
33. On request from the Client, the 'Stock Broker' may include the Clients name in the list of Clients agreeing to receive SMS alerts with regard to the trade execution, ledger balance, margin shortfall requirement and related matters on the mobile number intimated to the 'Stock Broker'.
34. The Stock Broker may permit the Client to execute his/her transaction/s through the internet or view the status of the order, account position in the ledger and margin requirement through the web site of the 'Stock Broker'. This facility may be withdrawn/ prohibited/ restricted by the 'Stock Broker' at any time, at its sole discretion and without prior notice to the Client,

on the Stock Broker's having any suspicion as part of the surveillance activity. Any loss that may be incurred by the 'Client' on this account due to his/her inability to execute trades, will be borne by the Client.

- 35. Investment or any other advice::
  - a. The 'Stock Broker' shall not provide to the 'Client' any form of legal, investment (the suitability or Profitability of a security or investment), accounting or tax related advice.
  - b. If the website or literature or brochure issued by the 'Stock Broker' contains any observation of the Stock Broker with regard to any investment opportunity, the same shall not be construed as The 'Stockbroker's advice to the Client
  - c. The 'Client' will not solicit or rely upon any advice from the 'Stock Broker' or any of its employees that he may get from any of the employees of the 'Stockbroker's as the employees of the Stock Broker are not authorized to give investment advice. If the 'Client' acts upon any information, recommendation, emanating from the 'Stock Broker' or any employee or official of the 'Stock Broker' it will be a t the sole risk and cost of the 'Client' and the 'Stock Broker' shall not be liable or responsible in any way.
  - e. The 'Stock Broker', its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decision or transaction of the Client.
- 36. Assignment: It should be clearly understood that neither the Client nor the Stock Broker shall be entitled to assign or transfer all or any its rights or obligations between the Client and the Stock Broker without the prior consent of the other party.
- 37. Severance: In case any one of the above covenants become invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining covenants contained herein shall not in any way be affected or impaired thereby.
- 38. Non Waiver: No failure or delay by either party to exercise any right, power or privilege hereunder shall operate as a waiver nor shall any single or partial exercise of any right, power or privilege preclude any other or further exercise thereof or the exercise of any other right, power or privilege as herein provided.




This Arrangement can be altered, amended and / or modified by the parties mutually in writing without derogating from the contents of this Arrangement, provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and Regulations of SEBI or Bye -laws, Rules and Regulations of the relevant Stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this Arrangement.

IN WITNESS THEREOF the parties to the Arrangement have caused these presents to be executed as of day and year first above written.

SIGNED for and on behalf of Mehta Equities Limited

By :  
Signature :  7/8  
Title :  
Witness :  2/3  
(Name, Address & Signature)

SIGNED for and on behalf of the CLIENT

Name :  
Signature :  11/15  11/14  
Title :  
Witness :  3/3  
(Name, Address & Signature)

Note: All references to the specific quantity/rate/fee mentioned in this Arrangement are subject to change from time to time, as so agreed to in writing between the parties.

**Voluntary**

**AUTHORISATION FOR RUNNING ACCOUNT**

To,

**Mehta Equities Ltd.**

903, Lodha Supremus, Dr. E. Moses Road,  
Worli Naka, Mumbai - 400 018.

I/We hereby authorize you to maintain my/our ledger accounts for funds and securities on a running basis. The ledger account may be treated as open, mutual and current.

I/We hereby authorize you to maintain running account for transactions executed through Mehta Equities Limited on any of the stock exchanges / segments and set off/ settle/ adjust/ appropriate any outstanding debits on account of initial margin / mark –to market and / or other settlement accounts against any credits lying in the above mentioned accounts or any other accounts maintained by you.

I/We also authorize you to retain securities received in payout on my account with you towards margin in any exchange / segment. I/We also request you to hold my account shares in Client Demat Beneficiary Owner Account unless I/We specifically request you to transfer to my account Demat Beneficiary Owner Account.

I/We hereby agree to do actual settlement of my/our funds / securities account on----- basis as per SEBI Guidelines /circular. (The 'CLIENT' must specify whether settlement is to done on Monthly / Quarterly basis in the blank provided above).

I/We hereby authorize you to retain the requisite securities / funds toward my/our obligations in case of any outstanding obligations on the settlement date and may also retain the funds expected to be required to meet margin obligations for the next five trading days, calculated in the manner specified by the exchange/s.

I/We authorize Mehta Equities Ltd to retain an amount upto Rs 10000.00 (consolidated amount across segment and across stock exchanges wherever I/We am/are registered with you) for settlement of funds and securities of that respective traded quarter/month.

As and when I/We require the funds/ securities lying with you, I/We will be informing you of the same and on receipt of the instructions from me /us, same may be released within one working day of the request after verification.

I/We hereby declare that I/we can revoke this authorization at any point of time.

Yours faithfully,

Client Signature :  12/15  12/14  
(In Case of Company form, Seal to be affixed)

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

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

(Please note that this authorization must be signed by the client and can not be signed by authorized person/POA Holder on behalf of the client)

**DECLARATION FOR COMMON E-MAIL ID & MOBILE NO.**

To,  
**Mehta Equities Ltd.**  
903, Lodha Supremus, Dr. E. Moses Road,  
Worli Naka, Mumbai - 400 018.

Dear Sir,

I, Mr./Mrs. \_\_\_\_\_  
having client code \_\_\_\_\_ with you, hereby declare that the below mentioned e-mail Id and Mobile No.  
belongs to me .

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

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

OR

It belongs to my spouse / Parent's / Dependent Children

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

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

Therefore, I request you that kindly continue sending the reports/documents on aforesaid e-mail ID for communication with me.

Thanking You,

 13/15

(Client Signature)

\_\_\_\_\_  
Signature of Relative

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**Mehta Equities Ltd. (Mutual Fund)**

903, Lodha Supremus, Dr. E. Moses Road, Worli Naka, Mumbai - 400 018.

CLIENT CODE :



Broker/ Agent code ARN:		SUB-BROKER:		EUIN:	
<b>Unit Holder information</b>					
<b>Name Of First Applicant:</b>					
Pan Number:		KYC:		Date of Birth:	
Father Name:			Mother Name:		
Name of Gaurdian:			Pan:		
<b>Contact Address:</b>					
City:		Pincode:		State:	
Tel. (Off):		Tel.(Res):		Email:	
Fax (Off)		Fax (Res):		Mobile	
Income Tax Slab/Networth:			Occupation Details:		
Place of Birth:			Country of Tax Residence:		
Tax Id No.:					
Politically exposed person / Related to Politically exposed person etc.?				Yes	No
Mode of Holding :				Occupation :	
<b>Name of Second Applicant :</b>					
PAN Number :		KYC:		Date of Birth :	
Income Tax Slab/Networth :			Occupation Details		
Place of Birth :			Country of Tax Residence :		
Tax Id No. :					
Politically exposed person / Related to Politically exposed person etc.?				Yes	No
<b>Name of Third Applicant :</b>					
PAN Number :			KYC:	Date of Birth :	
Income Tax Slab/Networth :			Occupation Details		
Place of Birth :			Country of Tax Residence :		
Tax Id No. :					
Politically exposed person / Related to Politically exposed person etc.?				Yes	No
<b>Other Details of Sole/ 1st Applicant</b>					
<b>Overseas Address :</b> (In case of NRI investor)					
City :		Pincode :		Country :	
<b>Bank Mandate Details</b>					
Name of Bank :				Branch :	
A/C No. :		A/c Type :		IFSC Code:	
<b>Bank Address :</b>					
City :		Pincode :		State :	Country :
<b>Nomination Details</b>					
Nominee Name :				Relationship :	
Guardian Name (If Nominee is Minor) :					
<b>Nominee Address :</b>					
City :		Pincode :		State :	
<b>Declaration and Signature</b>					
I/We confirm that details provided by me/us are true and correct. The ARN holder has to disclosed to me/us all the commission (In the form of trail commission or any other mode),payable him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.					
Date :				Place :	
1st applicant Signature :		2nd applicant Signature :		3rd applicant Signature :	

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# MEHTA



REWARDING RELATIONSHIPS

## MEHTA EQUITIES LTD.

Corporate Member: THE NATIONAL STOCK EXCHANGE OF INDIA LTD. -Cash, Derivatives (F&O) & Currency Derivatives Segment

SEBI REG NO: INB 231351231, INF 231351231, INE 231351231

Corporate Member: BOMBAY STOCK EXCHANGE LTD.- Cash, Derivatives Segment

SEBI REG NO: INB 010683856, INF 010683856

Corporate Member: METROPOLITON STOCK EXCHANGE OF INDIA LTD. - Currency Derivatives, Cash & Derivatives Segment (F&O)

SEBI REG NO: INF261351234, INB261351234, INE 261207756

Depository Participant: SEBI REG. NO. IN-DP-CDSL-35-99 • CIN No.: U65990MH1994PLC078478

**Registered Office:**

903, Lodha Supremus, Dr. E. Moses Road, Worli Naka, Mumbai - 400 018.

Tel.: 91-22-6150 7100 Fax: 91-22-6150 7102

Email: [rslcds@mehtagroup.in](mailto:rslcds@mehtagroup.in) (DP A/c) • [info@mehtagroup.in](mailto:info@mehtagroup.in) (Trading A/c) • [complaints@mehtagroup.in](mailto:complaints@mehtagroup.in)

Website : [www.mehtagroup.in](http://www.mehtagroup.in)