



## CLIENT REGISTRATION FORM

Name & Code

DP

☐ **KRA**

☐ **NSE CM** ☐ **NSEFO** ☐ **MCX**

☐ **BSECM** ☐ **BSEFO** ☐ **BSECDS**

CKYC



**DRISHTI SHARES & INVESTMENTS (P) LTD.**



# **DRISHTI SHARES & INVESTMENTS (P) LTD.**

**National Securities Depository Limited  
National Stock Exchange of India Ltd.  
Bombay Stock Exchange Ltd.  
Multi Commodity Exchange of India Ltd.**

**EXCHANGE / SEGMENT / DP**

NSE CASH-NSEFO-BSECASH-BSEFO-BSECDS-MCX  
NSDL

**SEBI REGN. NO.**

INZ000068833  
IN-DP-259-2018

**DATED**

01-09-2016  
15-03-2018

**NSDL DP ID-IN304238; NSE MEM. CODE- 90032; BSE CLG. CODE- 6278; MCX MEM. CODE- 55835**

Regd. Office: 40/62, G.F., C.R. Park, New Delhi-110019

Ph.:011-41000091-98, Fax:011-46551634

Email: drishtishares@gmail.com, Website: www.drishtishares.com

CIN:U74900DL2016PTC290496

**Compliance Officer**

**Narender Khurana**

**011-41000091-98**

Email:narendgm@yahoo.com

**Managing Director**

**Gautam Dutta Munsi**

**011-41000091-98**

Email:drishti12000@yahoo.com

For any grievance/dispute please contact Drishti Shares & Investments (P) Ltd. at the above address or Email id- drishti@drishtishares.com and Phone no.: 011-41000091-98. In case not satisfied with the response, please contact the concerned number given below.

National Stock Exchange of India Ltd.  
Bombay Stock Exchange Limited  
Multi Commodity Exchange Of India Ltd.  
SEBI

ignse@nse.co.in  
is@bseindia.com  
ismum@mcxinidia.com  
http://scores.gov.in

022-26598190  
022-22728097  
022-67318888  
022-26449188

# PART A

## INDEX

Sr.No.	Name of the Document	Brief Significance of the Document	Part A/B	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY DEPOSITORIES, EXCHANGES & SEBI				
1.	Account Opening Form	A.KYC form Document captures the basic information about the constituent and an instruction/check list. B.Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	Part A	I
2.	Rights and Obligations	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).	Part B	4
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Part B	10
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Part B	
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker (to be added by the stock broker).	Part B	
6.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) (to be added by the stock broker).	Part A	
VOLUNTARY DOCUMENTS AS PROVIDED BY Drishti				
1.	General Authority	Verbal Order, RAA & Others	Part A	14-18
2.	FATCA & CRS Declaration	FATCA & CRS Declaration	Part A	19
3.	Letter of Authority to Trade	Where the client wishes to authorise other person to operate his account.	Part A	21
4.	Declaration by Currency Client	Declaration of Underlying Exposure for Currency Derivatives	Part A	22
5.	Declaration by HUF	Declaration by Karta & all the Co-parceners	Part A	23
6.	Statement of Account Receiving in Electronic Mode & ECN	Statement of Account Receiving in Electronic Mode & ECN	Part A	24
7.	Commodity Open Interest & PCD	Commodity Open Interest & PCD	Part A	25
8.	Issuance of DIS Booklet	Option form for issuance of DIS Booklet along with Account Opening	Part A	26

**Name of Stock Broker / Depository Participant :-** Drishti Shares & Investments (P) Ltd.

**Registered Office :** 40/62, G.F., C.R. Park, New Delhi-110019

**Ph.:** 011-41000091-98, **Fax:** 011-46551634 | **Email:** drishtishares@gmail.com | **Website:** www.drishtishares.com  
CIN: U74900DL2016PTC290496

**Managing Director :** Gautam Dutta Muni | 011-41000091-98 | Email:drishti12000@yahoo.com

### Compliance Officer Details

**NSE, BSE, MCX & NSDL**

**Narender Khurana**

011-41000091-98

Email:narendgm@yahoo.com

### TO BE FILLED BY INTERMEDIARY / EMPLOYEE

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', Guidance Note and RDD, Policies & Procedures. would be made available on my/our website, if any, for the information of the clients.

Name & Sign:

### INTRODUCER DETAILS

**Name of the Introducer:** F I R S T N A M E M I D D L E N A M E S U R N A M E

**Status of the Introducer:**

☐ Remisier ☐ Authorized Person ☐ Existing Client ☐ Others: (Please Specify Others)

**Address of the Introducer :**

**Employee Code :**

**Employee E-mail :**

**Mobile :**

**Phone(with STD Code) :**

Signature of the  
Introducer :

For any grievance/dispute please contact Drishti Shares & Investments (P) Ltd. at the registered address or Email id:- Drishti@drishtishares.com or Phone no.-011-41000091-98. In case you're not satisfied with the response then please contact the concerned number given below"

#### EXCHANGE-WISE INVESTOR GRIEVANCE CELL

Exchange	Web Address	Contact No.	Email - Id
NSE	www.nseindia.com	18002660050	ignse@nse.co.in
BSE	www.bseindia.com	022-22728097	is@bseindia.com / iscdelhi@bseindia.com
MCX	www.mcxindia.com	022-67318888	grievance@mcxindia.com
Depository	Web Address	Contact No.	Email - Id
NSDL	www.nsdl.co.in	022-24994200	relations@nsdl.co.in

**Note :- Kindly note that, in addition to client trading, Drishti Shares & Investments (P) Ltd. also does proprietary (own) trading.**

**NSE CLEARING MEMBER ID : M51949 | SEBI REGISTRATION NO. INZ000068833 dated 01-09-2016**

DEPOSITORY PARTICIPATE SEBI REGISTRATION NO. : IN-DP-259-2018, DATED 15-03-2018 | BSE Clg code: 6278

NSE member code : 90032 | MCX Member Code: 55835 | DEPOSITORY PARTICIPANT : IN304238 (NSDL)

#### ACKNOWLEDGEMENT TO DRISHTI FROM CLIENT

To,  
**Drishti Shares & Investments (P) Ltd.**  
Regd. Office: 40/62, G.F., C.R. Park, New Delhi-110019  
Ph.:011-41000091-98, Fax:011-46551634

I/we hereby confirm that I/we have read, understood, agreed and received a duly executed copy of the:-

- Account Opening Form
- Trading Account Related Details & Tariff Sheet (Trading & Demat Account)
- Rights and Obligations of Stock Brokers, Authorised Person and Clients
- Rights and Obligations of Beneficiary owner and Depository Participant as prescribe by SEBI and Depository
- Internet and Wireless technology based trading facility provided by Stock Brokers to Client
- Risk and Disclosure document for capital market and derivative segments
- Guidance note-Do's and Don't for trading on the Exchange(s) for Investors
- Policies and procedures
- Terms & Conditions as Mutually agreed by me & FATCA & CRS Terms & Conditions
- Other disclosure/documents as agreed by me specifically in voluntary segment.
- Copy of DDPI (Demat Debit and Pledge Instruction)
- Investor Charter

"Investors may lodge their complaints by sending an email to us or by sending an email at the nearest Investor Service Centre of stock exchange or by sending physical complaint to the nearest investor service centre of stock exchange or through SEBI SCORES 2.0 (Home - scores.sebi.gov.in) or through SMART ODR Portal (<https://smartodr.in/>)."

Thanks and best regards

Client Code: \_\_\_\_\_

For \_\_\_\_\_

Sign here : (1) 

For **Drishti Shares & Investments (P) Ltd.**

**Authorised Signatory / Director**



See Instructions cum check list at the last page

**PART II - ACCOUNT OPENING FORM (FOR INDIVIDUALS)**

DP ID	I	N	3	0	4	2	3	8	Client ID								
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

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

(Please fill all the details in CAPITAL/BLOCK LETTERS only)

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

**A. TYPE OF ACCOUNT (Please tick whichever is applicable)**

<input type="checkbox"/> Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> FPI
<input type="checkbox"/> Foreign National	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Stock Broker
<input type="checkbox"/> Others (Specify _____)		

Sub Type	<input type="checkbox"/> TM Client Securities Margin Pledge Account	<input type="checkbox"/> Stock Broker-Proprietary
	<input type="checkbox"/> CM Client Securities Margin Pledge Account	<input type="checkbox"/> Promoter
	<input type="checkbox"/> TM/CM Client Securities Margin Pledge Account	<input type="checkbox"/> Others (Specify _____)

**B. DETAILS OF ACCOUNT HOLDER(S)**

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Date of Birth			
UCC			
Exchange Name & ID			
Brief Details			

C. Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below :

Name		PAN							
------	--	-----	--	--	--	--	--	--	--

**D. STANDING INSTRUCTIONS**

1.	I/We authorise you to receive credits automatically into my/our account (If not marked default option would be Yes)	<input type="checkbox"/> YES <input type="checkbox"/> NO	
2.	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	
3.	Client option to receive e-statement	<input type="checkbox"/> YES <input type="checkbox"/> NO	
4.	Receive Annual Reports, AGM notices and other communication from Issuer & RTA in Electronic form (If not marked default option would be Yes)	<input type="checkbox"/> YES <input type="checkbox"/> NO	
5.	For joint accounts communication to be sent to <input type="checkbox"/> First Holder <input type="checkbox"/> All Joint Account Holders		
6.	Account to be operated through (DDPI) (If not marked default option would be No)	<input type="checkbox"/> YES <input type="checkbox"/> NO	
7.	SMS Alert facility: [Mandatory if you are giving (DDPI). Ensure that the mobile number is provided in the KYC Application Form]		
	Holder	YES	NO
	Sole / First Holder	<input type="checkbox"/>	<input type="checkbox"/>
	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>
	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>

E. Mode of Operation for Joint Accounts (\*see notes) ☐ Jointly ☐ Anyone of the holder or survivor(s)

If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operation such as transfer of securities including Inter-Depository Transfer pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and /or securities and /or specific number of securities will be permitted.

**F GUARDIAN DETAILS (where sole holder is a minor):**

[For account of a minor, two KYC/KRA Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]




Guardian Name																										
PAN																	Date of Birth									
Relationship of Guardian with Minor																										

**G In Case of NRIs/Foreign Nationals**

RBI Approval Reference Number		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
-------------------------------	--	-------------------	---	---	---	---	---	---	---	---

**DECLARATION**

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

	Sole/First Holder / Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signatures	(3) 	(1) 	(1) 

## Annexure - A

(SEBI/HO/OIAE/OIAE\_IAD-3/P/ON/2025/01650, dated January 10, 2025)

## Nomination Form for Demat Accounts and Mutual Fund (MF) Folios

I/ We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) \*

Nomination Details								
	Mandatory Details						Additional Details****	
	Name of nominee	Share of nominee (%)**	Relation ship	Postal Address	Mobile number & E-mail	Identity Number ***	D.O.B. of nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

**\*Joint Accounts:**

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously - having nominee	Nominee
Demise of all joint holders simultaneously - not having nominee	Legal heir(s) of the youngest holder

\*\* If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division /fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

\*\*\* Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required. However, in case of NRI/OCI/PIO, Passport number is acceptable.

to be furnished only in following conditions/ circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
  - Guardian: It is optional for you to provide, if the nominee is minor.
- 1) I/We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the AMC / DP as follows; (please tick, as appropriate)
- ☐ Name of nominee(s) ☐ Nomination: Yes / No
- 2) I hereby authorize (nominee number ) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to \_\_\_\_\_% of assets in the account / folio or Rs. \_\_\_\_\_ [Optional] (strike off portions that are not relevant)
- 3) This nomination shall supersede any prior nomination made by me / us, if any.
- 4) Signature(s) - As per the mode of holding in demat account(s) / MF folio(s)

Name(s) of holder(s)	Signature(s) of holder/thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable)*
Sole / First Holder (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

\*Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

## Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC / DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
- In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account/folio, in case of your physical incapacitation, at any point of time and not just during opening of account / folio.
- This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the folio(s) / demat account(s) i.e.
  - Either or Survivor' Folios / Accounts - any one of the holder can sign
  - First holder' Folios / Accounts - only First holder can sign
  - Jointly' Folios / Accounts - all holders have to sign

## Transmission aspects

- AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account / folio, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.
- In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
<b>TOTAL</b>	<b>100%</b>	<b>-</b>	<b>40%</b>	<b>60%</b>	<b>100%</b>



# 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
Trading Member/Participant's Name _____									
Trading Member/Participant's Address _____									
_____									
_____									
UCC/DP ID	I	N							
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
<p>I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.</p>									
<b>Name and Signature of Holder(s)*</b>									
1. _____ 2. _____ 3. _____									

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

Version 24.11

## ANNEXURE

Name of the Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

### Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and Wholetime/Other Directors :

1.	<div style="display: flex; justify-content: space-between;"> <div> Name _____  Date of Birth <span style="border: 1px solid black; padding: 0 2px;">d</span><span style="border: 1px solid black; padding: 0 2px;">d</span> / <span style="border: 1px solid black; padding: 0 2px;">m</span><span style="border: 1px solid black; padding: 0 2px;">m</span> / <span style="border: 1px solid black; padding: 0 2px;">y</span><span style="border: 1px solid black; padding: 0 2px;">y</span><span style="border: 1px solid black; padding: 0 2px;">y</span><span style="border: 1px solid black; padding: 0 2px;">y</span> </div> <div> Status _____ PAN _____  Residential Address _____  DIN _____ UID <span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span> DPIN _____  Mobile _____  E-Mail ID. (In Capital Letters only) _____ </div> </div>	<div style="border: 1px solid black; padding: 5px; margin: 5px;"> Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors &amp; authorised signatories </div>
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors: <input type="checkbox"/> Not a Politically Exposed Person (PEP) <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not Related to a Politically Exposed Person (PEP)		
2.	<div style="display: flex; justify-content: space-between;"> <div> Name _____  Date of Birth <span style="border: 1px solid black; padding: 0 2px;">d</span><span style="border: 1px solid black; padding: 0 2px;">d</span> / <span style="border: 1px solid black; padding: 0 2px;">m</span><span style="border: 1px solid black; padding: 0 2px;">m</span> / <span style="border: 1px solid black; padding: 0 2px;">y</span><span style="border: 1px solid black; padding: 0 2px;">y</span><span style="border: 1px solid black; padding: 0 2px;">y</span><span style="border: 1px solid black; padding: 0 2px;">y</span> </div> <div> Status _____ PAN _____  Residential Address _____  DIN _____ UID <span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span> DPIN _____  Mobile _____  E-Mail ID. (In Capital Letters only) _____ </div> </div>	<div style="border: 1px solid black; padding: 5px; margin: 5px;"> Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors &amp; authorised signatories </div>
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors: <input type="checkbox"/> Not a Politically Exposed Person (PEP) <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not Related to a Politically Exposed Person (PEP)		
3.	<div style="display: flex; justify-content: space-between;"> <div> Name _____  Date of Birth <span style="border: 1px solid black; padding: 0 2px;">d</span><span style="border: 1px solid black; padding: 0 2px;">d</span> / <span style="border: 1px solid black; padding: 0 2px;">m</span><span style="border: 1px solid black; padding: 0 2px;">m</span> / <span style="border: 1px solid black; padding: 0 2px;">y</span><span style="border: 1px solid black; padding: 0 2px;">y</span><span style="border: 1px solid black; padding: 0 2px;">y</span><span style="border: 1px solid black; padding: 0 2px;">y</span> </div> <div> Status _____ PAN _____  Residential Address _____  DIN _____ UID <span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span> DPIN _____  Mobile _____  E-Mail ID. (In Capital Letters only) _____ </div> </div>	<div style="border: 1px solid black; padding: 5px; margin: 5px;"> Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors &amp; authorised signatories </div>
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors: <input type="checkbox"/> Not a Politically Exposed Person (PEP) <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not Related to a Politically Exposed Person (PEP)		
4.	<div style="display: flex; justify-content: space-between;"> <div> Name _____  Date of Birth <span style="border: 1px solid black; padding: 0 2px;">d</span><span style="border: 1px solid black; padding: 0 2px;">d</span> / <span style="border: 1px solid black; padding: 0 2px;">m</span><span style="border: 1px solid black; padding: 0 2px;">m</span> / <span style="border: 1px solid black; padding: 0 2px;">y</span><span style="border: 1px solid black; padding: 0 2px;">y</span><span style="border: 1px solid black; padding: 0 2px;">y</span><span style="border: 1px solid black; padding: 0 2px;">y</span> </div> <div> Status _____ PAN _____  Residential Address _____  DIN _____ UID <span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span><span style="border: 1px solid black; padding: 0 2px;">x</span> DPIN _____  Mobile _____  E-Mail ID. (In Capital Letters only) _____ </div> </div>	<div style="border: 1px solid black; padding: 5px; margin: 5px;"> Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors &amp; authorised signatories </div>
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors: <input type="checkbox"/> Not a Politically Exposed Person (PEP) <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not Related to a Politically Exposed Person (PEP)		

(7)

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

Name & Signature of the Authorised Signatory(ies)

## PART II - ACCOUNT OPENING FORM (FOR NON-INDIVIDUALS)

DP ID IN304238

DP ID	I	N	3	0	4	2	3	8	Client ID								
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

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

(Please fill all the details in CAPITAL/BLOCK LETTERS only)

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

## A. TYPE OF ACCOUNT (Please tick whichever is applicable)

<input type="checkbox"/> Body Corporate	<input type="checkbox"/> FI	<input type="checkbox"/> FII	<input type="checkbox"/> HUF	<input type="checkbox"/> Mutual Fund
<input type="checkbox"/> Trust	<input type="checkbox"/> Bank	<input type="checkbox"/> CM	<input type="checkbox"/> CUSA	<input type="checkbox"/> Stock Broker <input type="checkbox"/> Others (Specify)

Sub Type <input type="checkbox"/> TM Client Securities Margin Pledge Account	<input type="checkbox"/> Stock Broker-Proprietary <input type="checkbox"/> LLP
<input type="checkbox"/> CM Client Securities Margin Pledge Account	<input type="checkbox"/> Foreign Bodies <input type="checkbox"/> Escrow
<input type="checkbox"/> TM/CM Client Securities Margin Pledge Account	<input type="checkbox"/> Unclaimed Securities <input type="checkbox"/> Others (Specify)

## B. DETAILS OF ACCOUNT HOLDER(S)

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Date of Incorporation			
UID/Aadhaar			
UCC			
Exchange Name & ID			
Brief Details			

C. For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name &amp; PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below :

Name	PAN
------	-----

## D. In Case of FIIs/Others (as may be applicable)

RBI Approval Reference Number	RBI Approval Date	D	D	M	M	Y	Y	Y	Y
SEBI Registration Number (For FIIs)									

## E. STANDING INSTRUCTIONS

1.	I/We authorise you to receive credits automatically into my/our account (If not marked default option would be Yes)	<input type="checkbox"/> Yes <input type="checkbox"/> No		
2.	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		
3.	Client option to receive e-statement	<input type="checkbox"/> Yes <input type="checkbox"/> No		
4.	Receive Annual Reports, AGM notices and other communication from Issuer & RTA in Electronic form (If not marked default option would be Yes)	<input type="checkbox"/> Yes <input type="checkbox"/> No		
5.	Account to be operated through DDPI ) (If not marked default option would be No)	<input type="checkbox"/> Yes <input type="checkbox"/> No		
6.	SMS Alert facility :			
	Sr. No.	Holder	Yes	No
	1.	Sole / First Holder	<input type="checkbox"/>	<input type="checkbox"/>
	2.	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>
	3.	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>

Mode of Operation for Sole/First Holder (in case of joint holdings, all the holders must sign)

<input type="checkbox"/> As per resolution	<input type="checkbox"/> Any one singly	<input type="checkbox"/> Jointly by	<input type="checkbox"/> Others (Pl. Specify)
--	---	-------------------------------------	---

## DECLARATION

I/we acknowledge the receipt of copy of document, "Rights and Obligations of the Beneficial Owner and Depository Participant". The rules and regulations of the Depository and Depository Participants pertaining to an account are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. Authorised Signatories (Enclose a Board Resolution for Authorised Signatories)

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name, Designation & Signatures	(8)	(4)	(4)

(Signatures should be preferably in black ink) (In case of more authorised signatories, please add annexure)

**TRADING & DEMAT ACCOUNT RELATED DEATILS**  
For both Individuals & Non-individuals

**A. BANK ACCOUNT(S) DETAILS**

**I. BANK ACCOUNT DETAIL**

Sr No.	Bank Name & Address	Bank Account No.	Account Type	MICR No.	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO		
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO		

**B. DEPOSITORY ACCOUNT(S) DETAILS**

Depository Participant Name	Depository Name	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
Drishti Shares & Investments Pvt Ltd.	NSDL		IN304238	




I authorize you to transfer the shares purchased by me to the above mentioned demat beneficiary account

Affiliated by	Accounting Software Name	Beneficiary Name	CP ID	Beneficiary ID (BO ID)
MCX	CCRL/COMRIS			

Note : Provide a copy of either Demat Master or a recent holding statement issued by DP bearing name of the client.

**C. TRADING PREFERENCE**

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

Exchanges	NSE, BSE	
All Segments	Cash	FO
		
Currency		MCX (Commodity Derivatives)
		

If you do not wish to trade in any of segments, please mention here

\_\_\_\_\_

\_\_\_\_\_



## Important Risk Disclosures from SEBI

Please read the following pointers before participating in the derivatives segments of the markets

### Risk Disclosures on Derivatives

- 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses
  - On an average, loss makers registered net trading loss close to ` 50,000
  - Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs
  - Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.
1. I/We are interested to trade into commodity options and hereby accord my/our consent to trading in commodity options.
  2. I/We have gone through the additional risk disclosure document and have appraised myself/ourselves with the risk of trading in commodity options.
  3. This consent is valid till I/we revoke the same. I/We understand that I/we have right to withdraw the same at any point of time.

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

## D. ADDITIONAL DETAILS

1. I/We hereby request you to provide the Contract Notes, Daily Margin Statements, Monthly/Weekly Statements, Settlement Extracts, AGTS, etc. at my/our registered email id. My/our Email Id has been created by me/us and not by someone else. I/We am/are aware that non-receipt of bounced mail notification by the Member shall amount to delivery of the aforesaid documents at my/our e-mail ID. ☐ Yes ☐ No
- Whether you wish to receive your executed KYC ☐ Electronically ☐ Physically
  - Whether you wish to avail of the facility of internet trading/wireless technology : ☐ Yes ☐ No (if yes, then please specify)
  - ☐ Application Base Trading ☐ Web Base Trading ☐ Securities Trading using Wireless Technology
  - Number of Years of Investment / Trading Experience : \_\_\_\_\_
  - Any other information : \_\_\_\_\_

## E. OTHER DETAILS

- Net Worth (Net worth should not be older than 1 year) Amount Rs.....  
as on (date)
- Is the entity involved/providing any of the following services ☐ Yes ☐ No
  - For Foreign Exchange/Money Changer Services ☐ Yes ☐ No - Gaming/Gambling/Lottery Services (e.g. casinos, betting syndicates)
  - Money Lending / Pawning ☐ Yes ☐ No
- GST Registration Details

S.No.	State	State Code	GST Registration No.	Validity Date
1.				

- Political Exposed Person (PEP) Please tick, if applicable (Note : In case of Non-individuals please tick, if applicable for any of your authorised signatories/Promoters/Partners/Karta/Trustees/whole time directors) :

☐ Not a Politically Exposed Person ☐ Not Related to a Politically Exposed Person ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person

- Any other information: .....

## F. PAST ACTIONS

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

## G. DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

### G1. DEALINGS THROUGH AUTHORISED PERSON

■ + If client is dealing through the authorised person, provide the following details:

Authorised Person's Name: \_\_\_\_\_ SEBI Registration number: \_\_\_\_\_

Registered office address & Contact Details : \_\_\_\_\_

### G2. DEALINGS THROUGH OTHER STOCK BROKERS / AUTHORISED PERSON

■ whether dealing with any other stock broker / authorised person (if case dealing with multiple stock broker / authorised person, provide details of all)

Name of Stock Broker: \_\_\_\_\_ Name of Authorised Person, if any : \_\_\_\_\_

Client Code: \_\_\_\_\_ Exchange : \_\_\_\_\_

■ Details of disputes/dues pending from/to such stock broker / authorised person : \_\_\_\_\_

### TARIFF SHEET

#### TARIFF SHEET - BROKERAGE STRUCTURE - EQUITY, CURRENCY & COMMODITY

	% of Turnover	Minimum	Brokerage Slab	% of Turnover	Minimum
Equity Delivery		_____ Per Share	Equity Jobbing/ Intraday		_____ Per Share
Equity Options		Rs _____ Per Lot	Equity Futures		_____ Per Share
Currency Options		Rs _____ Per Lot	Currency Futures		_____ Per Share
Commodity Options		Rs. _____ Per Lot	Commodity Futures		_____ Per Share
Commodity Delivery					

Sign here in case of  
cutting / overwriting



#### NOTE:

1. Transaction charges as per Exchange will be charged extra.
2. STT, GST, stamp and other statutory charges will be levied separately as applicable.
3. Delayed payment charges, cheque bounce charge, auction settlement charges as may be applicable will be levied.
4. Customers will get Electronic Contract Notes if opted for it. Physical contract notes provided on request at extra cost of Rs. 25/- plus courier charges at actuals.
5. Charges/service standards are subject to revision at sole discretion of Drishti Shares & Investments Pvt. Ltd after giving at least 15 days' notice to client
6. Charges quoted above are for the services listed. Any service not quoted above will be charged separately after intimating the client.
7. As part of processing, a minimum of Rs. 25/- will be charged in total brokerage booked on a particular date.
8. DDPI charges are Rs. 100 plus GST.
9. Monthly charges for online trading connectivity will be extra.
10. Clearing charges @ Rs. 50/- per crore of total turnover (including notional turnover) in derivatives segments will be charged extra.
11. Charges for KRA/CKYC/Agreement/Account Opening would be Rs. 100 plus GST.

I/We, \_\_\_\_\_  
have read the above given information and agree to pay the same

### 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, tariff sheet and all voluntary/non-mandatory documents.
3. I/We further confirm having read and understood the contents of the Rights and Obligations', Policies & Procedures document(s) and 'Risk Disclosure Document', 'Do's and Don'ts' & MITC. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/we have read, understood, agreed and received a duly executed copy of the:- • Account Opening Form, Trading Account Related Details and Tariff Sheet • Other disclosure/documents as agreed by me/us specifically in voluntary segment. • Terms & Conditions as mutually agreed by me/us • FATCA & CRS Terms & Conditions • Option Consent Letter • Other disclosure/documents as agreed by me/us specifically in voluntary segment. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website.
4. I also give my consent to download my KYC Records from the Central KYC Registry (CKYCR) /KYC Registration Agency (KRA), only for the purpose of verification of my Identity and address from the data base of CKYCR Registry/ KRA. I understand that my KYC Record includes my KYC Records/Personal information such as my name, address, date of birth, PAN number etc.


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

Date: 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Signatures <sup>(09)</sup>   
Sole/First Holder Signature

<sup>(5)</sup>   
Second Holder Signature

<sup>(5)</sup>   
Third Holder Signature

Sole / First Holder's Name : \_\_\_\_\_ Second Holder's Name \_\_\_\_\_ Third Holder's Name \_\_\_\_\_

# RATE SHEET

Form No. \_\_\_\_\_

## SCHEDULE-A

### CHARGES FOR THE DEPOSITORY SERVICES

I/We agree to pay the charges as per following charge structure for our Demat account with DSI

Client ID: \_\_\_\_\_ Effective: \_\_\_\_\_/\_\_\_\_\_/20\_\_\_\_

Scheme	BSDA	NON BSDA	
		Individual	Non-Individual
Annual Maintenance Charges	Nil*	Rs. 500 per annum or one time charge of Rs. 6000	Rs. 1000 per annum
Dematerialization Charges	Rs.200 per certificate or 0.05% of the transaction value whichever is higher plus courier charges and depository charges at actual		
Debit Transaction charges	0.02% per debit instruction subject to minimum of Rs. 25 plus depository charges at actuals For physical slips Rs. 200 per scrip (per ISIN) plus depository charges and taxes at actuals.		
Market/Off-Market Inter-depository			
Same day pay in execution	Rs. 50 per transaction plus depository charges at actuals		
SLB Charges	For security borrowing : Rs. 25 plus depository charges		
	For security lending : Rs. 25 plus depository charges at actuals		
Pledge Charges Creation/Closure and confirmation for both	0.02% of the transaction value subject to a minimum of Rs.50 plus depository charges at actuals		
Pledge Charges for Invocation	0.02% of the transaction value subject to a minimum of Rs.50 plus depository charges at actuals		
Margin Pledge creation / closure / invocation/repledge	Rs. 25 per instance per instruction plus depository charges at actuals		
Rematerialization Charges	Rs. 200 per certificate or 0.05% of the transaction value whichever is higher plus courier charges and depository charges at actual		
Repurchase/Redemption Charges	Flat Rs. 25 per transaction plus depository charges at actuals		
Failed/rejected Transactions	Rs. 35 per transaction plus courier and depository charges at actuals		
Demat Rejection Charges	Rs. 35 per rejection plus courier and depository charges at actuals		
Adhoc/Non periodic statement requests	Rs.100/- (Rs.500 for foreign address) per request upto 10 pages. Every additional 5 pages or a portion thereof will be charged at Rs.50 plus courier and depository charges at actuals		
Email statement	Periodic Bills/transaction statements and other communications will be sent by email only. Terms and conditions for the same to be mandatorily executed. Requests for physical statements will be charged as mentioned above.		
DIS Issuance	Rs. 100 (for 10 slips) plus courier charges at actual		
Modification/addition/deletion of information	Rs.50 per instance plus courier charges and depository charges at actual		
NDU Charges	Rs. 50 per request or 0.05% on transaction value plus depository charges at actuals whichever is higher payable by the borrower for NDU requests accepted by the lender		
Cheque Bounce Charges	Cheque bounce charges will be applied based on charges determined by our bankers		
Fee detail	NSDL charges a settlement fee of Rs. 4 per debit instruction. Statutory charges will be applied at cost. *BSDA:-If the Security value is upto Rs. 4 lakhs then fee is Nil, A fee of Rs. 100 will be charged if its more than Rs. 4 Lakhs but up to Rs. 10 Lakhs. If the security value exceeding Rs. 10 Lakhs, your BSDA will be upgraded to a regular demat account and standard charges will apply.		

Signatures <sup>(09)</sup>  \_\_\_\_\_  
Sole/First Holder Signature

<sup>(5)</sup>  \_\_\_\_\_  
Second Holder Signature

<sup>(5)</sup>  \_\_\_\_\_  
Third Holder Signature

## Declaration for Basic Services Demat Account (BSDA)

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

To,  
**Drishti Shares & Investments (P) Ltd.**  
 Regd. Office: 40/62, G.F., C.R. Park, New Delhi-110019  
 Ph.:011-41000091-98, Fax:011-46551634

With reference to my / our application for opening a depository account, I/ We request you to open my / our depository account as per the following details:

	Name	PAN									
<b>Sole/First Holder</b>											
<b>Second Holder</b>											
<b>Third Holder</b>											

I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA. I/We are aware that if I/we are eligible to open a depository account as a BSDA, the account shall be opened as a BSDA.

I/We also understand that in case, I/We at any point of time do not meet the eligibility criteria as a BSDA holder, my / our demat account is liable to be converted to regular account.

I/We also state that if at any time choose to opt out of BSDA i.e. avail the facility of regular account the same will be communicated to the Participant from Sole / First Holder registered email ID.

Signatures <sup>(11)</sup>  \_\_\_\_\_ <sup>(7)</sup>  \_\_\_\_\_ <sup>(7)</sup>  \_\_\_\_\_  
 Sole/First Holder Signature Second Holder Signature Third Holder Signature

Sole / First Holder's Name : \_\_\_\_\_ Second Holder's Name \_\_\_\_\_ Third Holder's Name \_\_\_\_\_

## Note

An individual shall be eligible for BSDA subject to the following conditions:

- The individual has or proposes to have only one demat account where he/she is the sole or first holder.
- The individual shall have only one BSDA in his/her name across all depositories.
- Value of securities held in the demat account shall not exceed 10 Lakhs for debt and other than debt securities combined at any point of time.

The charge structure shall be as indicated below: Value of Holdings in the Demat Account (Debt as well as other than debt securities combined)	Annual Maintenance Charges
Up to 4 lakhs	NIL
More than 4 lakhs but up to 10 lakhs	100
More than 10 lakhs Not a BSDA	Regular AMC

## VOLUNTARY DOCUMENTS

### GENERAL AUTHORITY

To,  
**Drishti Shares & Investments (P) Ltd.**  
Regd. Office: 40/62, G.F., C.R. Park, New Delhi-110019  
Ph.:011-41000091-98, Fax:011-46551634

#### A. VERBAL ORDER ACCEPTANCE AUTHORISATION

I/we am dealing with you as client at NSE/BSE/MCX in Capital, Derivative, Currency Derivative & Commodity Segment. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/ dealing on my/ our behalf as per instruction given below.

I/We agree and acknowledge that it is advised by you that I/We should give instruction for order placement/ modification and cancellation in writing and to avoid disputes, I/We must give instruction in exactly the format in duplicate (carbon copy/ photocopy only) and take signatures of at least two authorized officers at the branch along with company stamp on the carbon copy/ photocopy of the instructions in acknowledgment of receipt of my our instructions.

However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid the it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my/our authorized representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line/mobile phone) and execute the same. I/ We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) by shifting the burden of proof by asking you to prove the placement/modification and cancellation of orders through telephone recording or otherwise.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

#### B. FIT AND PROPER PERSON DECLARATION

**As per Regulation 19(1) of Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) Regulations, 2012 (SECC Regulations) which states that no person shall, directly or indirectly, acquire or hold equity shares of a recognised Stock Exchange or recognised Clearing Corporation unless he is a fit and proper person in terms of Regulation 19 and 20 of the said SECC Regulations. Regulations 19 and Regulations 20 as prescribed by SEBI (herein referred as "Board") are reproduced below:**

##### A. Eligibility for acquiring or holding shares.

- (1) No person shall, directly or indirectly, acquire or hold equity shares of a recognised stock exchange or recognised clearing corporation unless he is a fit and proper person.
- (2) Any person who, directly or indirectly, either individually or together with persons acting in concert, acquire equity shares such that his shareholding exceeds two per cent of the paid up equity share capital of a recognised stock exchange or recognised clearing corporation shall seek approval of the Board within fifteen days of the acquisition.
- (3) A person eligible to acquire or hold more than five per cent of the paid up equity share capital under sub regulation (2) of regulation 17 and sub-regulation (2) of regulation 18 may acquire or hold more than five percent of the paid up equity share capital of a recognized stock exchange or a recognised clearing corporation only if he has obtained prior approval of the Board.
- (4) Any person holding more than two per cent. of the paid up equity share capital of the recognised stock exchange or the clearing corporation on the date of commencement of these regulations, shall ensure compliance with this regulation within a period of ninety days from the date of such commencement.
- (5) If approval under sub-regulation (2) or (3) is not granted by the Board to any person, such person shall forthwith divest his excess shareholding.
- (6) Any person holding more than two per cent. of the paid up equity share capital in a recognised stock exchange or a recognised clearing corporation, as the case may be, shall file a declaration within fifteen days from the end of every financial year to the recognised stock exchange or recognised clearing corporation, as the case may be, that he complies with the fit and proper criteria provided in these regulations.

##### B. Fit and proper criteria.

- (1) For the purposes of these regulations, a person shall be deemed to be a fit and proper person if—
  - (a) such person has a general reputation and record of fairness and integrity, including but not limited to—
    - (i) financial integrity;
    - (ii) good reputation and character; and



- (iii) honesty;
- (b) such person has not incurred any of the following disqualifications—
  - (i) the person, or any of its whole time directors or managing partners, has been convicted by a court for any offence involving moral turpitude or any economic offence or any offence against the securities laws;
  - (ii) an order for winding up has been passed against the person;
  - (iii) the person, or any of its whole time directors or managing partners, has been declared insolvent and has not been discharged;
  - (iv) an order, restraining, prohibiting or debarring the person, or any of its whole time directors or managing partners, from dealing in securities or from accessing the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the expiry of the period specified in the order has not elapsed;
  - (v) any other order against the person, or any of its whole time directors or managing partners, which has a bearing on the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the order has not elapsed;
  - (vi) the person has been found to be of unsound mind by a court of competent jurisdiction and the finding is in force; and
  - (vii) the person is financially not sound.
- (2) If any question arises as to whether a person is a fit and proper person, the Board's decision on such question shall be final.  
I/we hereby declare that, I/we am/are fit & Proper person as per the above rules & Regulations of the SEBI.

### **C. GENERAL AUTHORITY**

Sub: Letter of Authority

I/we dealing with you as client at NSE/BSE/MCX in Capital, Derivative, Currency Derivative & Commodity Segment and in order to facilitate ease of operations, I/We authorise you as under :

1. I/We authorise you to set off outstanding in any of my/our accounts against credits available or arising in any other segments maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchange and/or against the value of cash margin or collateral shares provided to you by me/us.
2. I/We hereby authorise you not to provide me/us Order Confirmation/ Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
3. I/We request you to retain credit balance in any of my/our account and to use the unused funds towards my/our margin/future obligation at any or all the Exchanges unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charges from time to time, for keeping the shares/commodities in your client demat beneficiary account on my behalf. I/We also authorise you to debit the financial charges @2% p.m., for the debit balances or delay payment charges for shortage in margin/debit balances, if any, in my /our account and not settled as per the exchange requirements.
4. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephonic unless instructed otherwise in writing. I/We am/are getting required details from contracts notes issued by you.
5. I/We request that you/exchange/other regulatory authority may send/dispatch to me/us contract notes/e-mail alert/other documents through e-mail on my/our designated e-mail address mentioned by me/us in KYC. I/We will completely rely on the log reports of you dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute on the same. I/We note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at my/our e-mail ID.
6. I/We will inform you the change of my/our demographic detail and other detail like Bank, DP etc.
7. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vsat, lease line, ISDN, Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, pay in payout of funds & securities, commodities online & offline banking etc. these are susceptible to interruptions, delay, mistake and dislocations; and your services may at any time be unavailable without further notice and I/we understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading half, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control any may result in delay in processing or not processing of any orders either in part or in full. I understand that you are not making any representation or warranty that your service will be available to the Client at all times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, nonavailability or malfunctioning of your System or Service for any reason whatsoever.

8. I/We confirm that I/We never sublet the trading terminal on any term of connectivity from my place to any other place without your prior approval.
9. I/We am/are agreeable for inter-settlement transfer of securities/commodities towards settlement.
10. I/we am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
11. All fines/penalties and charges levied upon you due to my/our acts / deeds or transaction may be recovered by you from my/our account.
12. I/we have a Trading as well as depository relationship with Drishti Shares & Investments (P) Ltd. Please debit the charges relevant with depository services to my/our trading account. I/we also agree to maintain the adequate balance in my/our trading account/ pay adequate advance fee for the said reason.
13. I/we authorise you to send me/our the physical Contract notes/Margin statement/Ledger/Other documents through postal/courier and to charge administrative/postal/other charges if the contract notes sent to me get bounced more than 5 times.
14. For the purpose of providing quality and transparent services to its clients, the Drishti Shares & Investments (P) Ltd. may record your conversation while interacting with you."

#### **D. LETTER OF AUTHORISATION TO PLEDGE THE SECURITIES WITH CLEARING MEMBER/ CLEARING CORPORATION**

I/We are dealing through you as a client registered in NSE/BSE/MCX in Capital Market/ Future & Options/ Currency Derivatives/ Commodity Segments. I/we have pledged/provided you the securities (including shares and commodities both) as margin. I/we hereby confirm and declare that:

- (i) The Securities/Commodities are in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise
- (ii) The Securities will be subject to the creation of pledge in favour of or for the benefit of Trading Member and further that the Securities over which pledge may be created in future would be in existence and owned by me/us at the time of creation of such pledge and that the Said Securities to be given in future as security to Trading Member would likewise be unencumbered, absolute and disposable property of me/us.
- (iii) I/we authorise you to do all such acts and things, sign such documents and pay and incur any such costs, debts and expenses as may be necessary from time to time.
- (iv) I/ we agree that the securities shall be subject to the first priority and lien in favour of Trading Member to secure, my/ our obligations and that the rights or interests of me/ us with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Trading Member in respect of the Said Securities
- (v) You may invoke the pledge without any reference to or permission of me/ us and upon receipt of the Said Securities/Commodities, Trading Member may utilize the proceeds in meeting my/our obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against me/us.
- (vi) I/we shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities.

#### **E. INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT**

1. Stock broker is eligible for providing Internet based trading (IBT) and securities/commodities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities/commodities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall

be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities/commodities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker

6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

#### **F. MOST IMPORTANT TERMS & CONDITIONS (MITC) for non-custodial settled trading accounts)**

**(As per Circular Ref No: NSE/INSP/60147 Dated: Jan. 05, 2024, Annexure-A)**

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.

## G. RUNNING ACCOUNT AUTHORISATION

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. I/We request you to settle my fund once in ☐ calendar quarter ☐ calendar month or such other period as allowed by SEBI/Stock Exchange time to time.
3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds/Mutual Fund Units towards such obligations and may also retain the funds as calculated in the manner specified by the exchanges.
4. I/We confirm you that I/we will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 30 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.

The running account authorization provided by me/us shall continue and remain valid until it is revoked by me/us anytime in writing.

For General Authority Point No. A to G

Sign here : (12) 

Date: .....

Place : .....

## FATCA & CRS DECLARATION (FOR INDIVIDUAL)

Do you have any non-indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency? ☐ Yes ☐ No

Sole/First Holder/Guardian <input type="checkbox"/> Yes <input type="checkbox"/> No	Second Holder <input type="checkbox"/> Yes <input type="checkbox"/> No	Third Holder <input type="checkbox"/> Yes <input type="checkbox"/> No
Country of Birth	Country of Birth	Country of Birth
Country of Citizenship/ Nationality	Country of Citizenship/ Nationality	Country of Citizenship/ Nationality
Are you a US Specified Person? <input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id	Are you a US Specified Person? <input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id	Are you a US Specified Person? <input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id
Country of Tax Residency* (Other then India) Taxpayer Identification No.	Country of Tax Residency* (Other then India) Taxpayer Identification No.	Country of Tax Residency* (Other then India) Taxpayer Identification No.
1.	1.	1.
2.	2.	2.
Address	Address	Address

**\*Please indicate all countries in which you are a resident for tax purpose and associated Taxpayer identification number.**

## FATCA - CRS Terms and Conditions

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Drishti Shares & Investments (P) Ltd. for any modification to this information promptly. I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Signatures

(13) 

Sole/First Holder Signature

(8) 

Second Holder Signature

(8) 

Third Holder Signature

**\*For detail terms & conditions please see Client Copy**

## FATCA & CRS DECLARATION (FOR NON-INDIVIDUAL)

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India ☐ Yes ☐ No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number%	Identification Type (TIN or Other , please specify) %
1.			
2.			
3.			

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

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

### PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1.	We are a, Financial institution <input type="checkbox"/> (Refer 1 of Part C) or Direct reporting NFE <input type="checkbox"/> (Refer 3(vii) of Part C) (please tick as appropriate)	<b>GIIN</b> <input style="width: 400px;" type="text"/> Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity _____ _____
	<b>GIIN not available</b> (please tick as applicable)	<input type="checkbox"/> <b>Applied for</b> <input type="checkbox"/> Not obtained – Non-participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input style="width: 50px;" type="text"/> (Refer 1 A of Part C)

### PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1.	Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	Yes <input type="checkbox"/> (If yes, please specify any one Stock Exchange on which the stock is regularly traded) Name of Stock Exchange _____
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one Stock Exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of Stock Exchange _____
3.	Is the Entity an active NFE (Refer 2c of Part C)	Yes <input type="checkbox"/> Nature of Business _____ Please specify the sub-category of Active NFE <input style="width: 50px;" type="text"/> (Mention code – refer 2c of Part C)
4.	Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes <input type="checkbox"/> Nature of Business _____



**UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)****Category** (Please tick applicable category):☐ Unlisted Company☐ Partnership Firm☐ Limited Liability Partnership Company☐ Unincorporated association / body of individuals☐ Public Charitable Trust☐ Religious Trust☐ Private Trust☐ Others (please specify \_\_\_\_\_)

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UB01	UB02	UB03
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address			
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID %			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%)			




\* To include US, where controlling person is a US citizen or green card holder

# If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

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

\$ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

**DECLARATION :** I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Drishti Shares & Investments (P) Ltd. for any modification to this information promptly. I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

<b>Name, Designation &amp; Signature</b>	(14) 	(9) 	(9) 
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**\*For detail terms & conditions in client copy**

## LETTER OF AUTHORITY TO TRADE

To,  
**Drishti Shares & Investments (P) Ltd.**  
Regd. Office: 40/62, G.F., C.R. Park, New Delhi-110019  
Ph.:011-41000091-98, Fax:011-46551634  
**Sub: Authority to trade on my / our behalf.**

Dear Sir/Madam,

I hereby authorise Mr/Ms. \_\_\_\_\_ S/d of \_\_\_\_\_  
having PAN \_\_\_\_\_, UID No \_\_\_\_\_ & Mobile No \_\_\_\_\_ is my  
husband/wife/son/daughter/parents/other (Please Specify) \_\_\_\_\_ to trade on my behalf in my  
trading a/c No \_\_\_\_\_ and to perform all or any of the following acts, deeds and  
things for and on my /our behalf and in my/our interest.

I/we confirm that the aforementioned Authorised Person is well aware of risks associated with trading.

1. To operate the Account on my/our behalf.
2. To issue necessary instructions to you, for purchase, sale or transfer of shares and commodities from or to the Accounts as per Representative own judgment, and to sign necessary documents, wherever required effectuating such instructions of purchase, sale or transfer of securities and commodities from or to the Account.
3. To make or cause to make payments to Drishti Shares & Investments (P) Ltd. whenever necessary, and in accordance with my/our obligations in accordance with the terms and conditions of various agreements executed between me/us and DSI.
4. To duly honour all my/our contractual obligations under various agreements executed between me/us and DSI. including but not limited to the "Member Constituent Agreement" and/or any other undertaking, commitment issued by my/us in favour of DSI.
5. To accept and give valid discharges for acceptance and submission of contract notes, bills, ledger statements, transaction statements and all correspondence on my behalf and report any discrepancy therein to DSI.
6. To receive & accept necessary telephonic calls pertaining to margin &/or trade confirmation or any other call including verification call from DSI. at designated mobile no. & undertake to update this contact detail in writing with DSI. in the event of any such change, taking place at any time in future.
7. To sincerely abide by the Statutes, Rules, Regulations and Guidelines prescribed for the purpose and in relation to the operation of the Account.
8. I/we hereby agree and undertake that all such acts, deeds and things done by the Representative shall be deemed to be binding upon me/us as the same has been done by me/us only and I/we shall hereby ratify all and such acts, deeds, or things done by Representative in any manner whatsoever in discharge of the duties conferred upon him/her under the present instrument.
9. I/we hereby agree and undertake to indemnify and keep DSI. including its directors, officers and employees indemnified against any loss, claims, liabilities, obligations, damages, deficiencies, actions, suits, or proceedings aroused / accrued or caused to the DSI. for any wrong act, deed or thing done by the Representative in any manner whatsoever in exercise of the powers conferred upon him.
10. I/we further undertake and agree not to challenge any act, deed or things done by said Representative in any manner.
11. I/we hereby agree and acknowledge that this letter of Authority shall be effective and operational until DSI. received and acknowledged revocation letter at its registered office.

Sign here : (15) 

Authorised Person Signature \_\_\_\_\_

## Consent for sharing Aadhaar Details with SEBI/KRA Agencies.

To,

**Drishti Shares & Investments (P) Ltd.**

Regd. Office: 40/62, G.F., C.R. Park, New Delhi-110019




Ph.:011-41000091-98, Fax:011-46551634

I/We understand that Drishti Shares & Investments (P) Ltd. is in the business of providing trading services for buying/selling of securities to its clients.

I/We am/are desirous for opening of Trading and Demat account with Drishti and hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/We may be held liable for it.

I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA agencies only for the specific purpose validating/ maintaining/ sharing my KYC record and as audit evidence. I will have an option to request for deleting of my Aadhaar record.

I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile number/email address. I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Dig locker XML file, along with pass code and as applicable, with SEBI, KRA, CKYC and other Institutions/ agencies/ Intermediaries with whom I have a business relationship for KYC purposes only.

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	(16) 	(10) 	(10) 

## DECLARATION OF UNDERLYING EXPOSURE FOR CURRENCY DERIVATIVES TRADED WITH DRISHTI SHARES & INVESTMENTS (P) LTD.

To,

**Drishti Shares & Investments (P) Ltd.**

Regd. Office: 40/62, G.F., C.R. Park, New Delhi-110019

Ph.:011-41000091-98, Fax:011-46551634

Dear Sir,

I/We hereby acknowledges and accepts the following terms and conditions pertaining to my/our dealings in exchange traded currency derivatives with Drishti Shares & Investments (P) Ltd.

1. I/We hereby confirm adherence to clause 3.4 (i) (a) of the circular number RBI/2023-2024/108 A. P. (DIR Series) Circular No. 13 issued by the Reserve Bank of India (RBI) on January 5, 2024. Furthermore, I/We verify possessing underlying exposure to the currency derivative contracts via Drishti Shares & Investments (P) Ltd. and confirm that they are as per the aforementioned RBI directive.
2. I/We hereby pledge to adhere to position size within a limit of one hundred million United States Dollars (USD 100,000,000) as mandated by exchanges/RBI. In the event that position surpasses this designated threshold, I/We agree to handle the surplus position through an Authorized Dealer or Custodian, as deemed suitable.
3. I/We hereby commit to provide sufficient evidence of the underlying exposure related to my/our currency derivative contracts upon request from Drishti Shares & Investments (P) Ltd., the relevant exchanges, or the RBI.
4. I/We hereby reimburse Drishti Shares & Investments (P) Ltd. and releases it from any liabilities, losses, damages, or costs that may arise if I/We fails to produce the required evidence of underlying exposure as stipulated in point 4 above. This reimbursement covers any legal actions, claims, demands, or expenses incurred by Drishti Shares & Investments (P) Ltd. due to the non- compliance by me/us with these conditions.

I/We have read and agree to these conditions by signing below, and also commits to abide by the provisions delineated herein. Further, I/we have received a copy of relevant RBI guideline in this regard.

Signatures	(17) 	(11) 	(11) 
	Sole/First Holder Signature	Second Holder Signature	Third Holder Signature

**DECLARATION BY KARTA & ALL THE CO-PARCENERS (for HUF only)**

To,

**Drishti Shares & Investments (P) Ltd.**

Regd. Office: 40/62, G.F., C.R. Park, New Delhi-110019

Ph.:011-41000091-98, Fax:011-46551634

Dear Sir/Madam,

1. Whereas the Hindu Undivided Family of is carrying on business in the firm name and style of at as given in PAN card of HUF or we intent to deal have or desire to have Securities Trading Account with Drishti Shares & Investments (P) Ltd. (hereinafter referred as Member). We undersigned, hereby confirm and declare that we are the present adult coparceners of the said joint family. Name of Karta & Coparceners are given in below table.
2. We confirm that affairs of HUF firm are carried on mainly by the Karta on behalf and in the interest and for the benefits of all the coparceners. We hereby authorize the Karta on behalf of the HUF to deal with the member and the said trading member is hereby authorized to honor all instructions oral or written, given by him on behalf of the HUF. He is authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through the member on behalf of the HUF.
3. He is also authorize to sign execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every coparceners of the said joint family, including the share of the minor coparceners, if any.
4. We undertake to advise the member in writing of any change that may occur in the Karta ship or in the constitution of the said joint family or of the said HUF firm and until receipt of such notice by the member who shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however continue to be liable jointly and severally to the member for all dues obligations f the said HUF firm in the Member's book on the date of the receipt of such notice by the member and until all such dues and obligations shall have been liquidated and discharged.
5. The names and dates of the birth of all the present minor & major coparceners of the said joint family are given below. We also undertake to inform you in writing as and when each of the said members attains the majority and is authorized to act on behalf of, and bind the said HUF firm
6. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

**List of Members / Coparcener**

S. No.	Name of Coparcener/Member	Relationship with Karta	Gender	Whether Coparcener/Member (please specify)	Date of Birth	Signature
1.		SELF		KARTA		
2.				Coparcener/Member		
3.				Coparcener/Member		
4.				Coparcener/Member		
5.				Coparcener/Member		
6.				Coparcener/Member		

**Signature of Karta with Rubber Stamp**

## STATEMENT OF ACCOUNT RECEIVING IN ELECTRONIC MODE & ECN

### A. STATEMENT OF ACCOUNT RECEIVING IN ELECTRONIC MODE

To,

**Drishti Shares & Investments (P) Ltd.**

Regd. Office: 40/62, G.F., C.R. Park, New Delhi-110019




Ph.:011-41000091-98, Fax:011-46551634

I/We had entered into DP BO agreement with you. I/We confirm having opted to receive the statement of accounts pertaining to our BO account in electronic mode in lieu of physical copy of the statement of account.

I/We confirm that the dispatch of statement of account to me/us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me/us with statement of my/our BO account. But, I/we reserve my/our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode on the given Email Id as per KYC, if such a demand is made in writing on you.

I/We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/service of my/our statement of account on me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledged delivery.

Yours faithfully,

<b>Signatures</b>	(18) 	(12) 	(12) 
	_____ First Holder Signature	_____ Second Holder Signature	_____ Third Holder Signature

Name/s of the Beneficial owner/s Signature/s (all joint holders)

### B. ELECTRONIC CONTRACT NOTE (ECN) DECLARATION (VOLUNTARY)

To,

**Drishti Shares & Investments (P) Ltd.**

Regd. Office: 40/62, G.F., C.R. Park, New Delhi-110019

Ph.:011-41000091-98, Fax:011-46551634

Dear Sir,


I/We a client with Member M/s. Drishti Shares & Investments (P) Ltd. of NSE, BSE, MCX, Exchange undertake as follows:

- I/We am/our aware that the Member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself/ourself want the same in the electronic form.
- I/We am aware that the Member has to provide electronic contract note for my/our convenience on my/our request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/our.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My/our email id is as given on KYC. This has been created by me and not by someone else.
- I/we am aware that this declaration form should be in English or in any other language known to me.
- I/we am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am/our aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

\*(The email id must be written in Own handwriting of the client.)

Signature of the Client

(19) 



**COMMODITY OPEN INTEREST & PCD****DECLARATION BY THE CLIENT TO ABIDE THE NET OPEN INTEREST POSITION AS PERMISSIBLE IN ANY COMMODITY**

Dear Sir,

**Subject : My / Our request for trading in commodity forward contracts / commodity derivatives on All Exchanges as your client**

I/We, the undersigned, have taken cognizance of circular no. MCX/S&I/300/2017 dated August 23, 2017 issued by the Multi Commodity Exchange of India Ltd. (MCX), and SEBI Circular No. SEBI / HO/CDMRD/DMP/CIR/P/2016 dated September 27, 2016 or any other circulars issued by SEBI/Exchange from time to time on stated matter 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 undertake that I/we do not trade through any Trading Member other than Drishti Shares & Investments (P) Ltd.

OR

I/We hereby declare that I/we are also trading in Commodities through \_\_\_\_\_ (name of the Trading Member) having Member ID \_\_\_\_\_ in ☐ MCX

Client ID \_\_\_\_\_ and through \_\_\_\_\_ name of the Trading Member having Member ID \_\_\_\_\_ in ☐ MCX under the Client ID \_\_\_\_\_.

I/We hereby declare and undertake that I/we will not exceed the position limits prescribed from time to time by MCX or SEBI and such position limits will be calculated in accordance with the contents of above stated circulars of all exchanges as modified from time to time.

I/We undertake to inform you or keep you informed if any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/Trusts in which I or any of above such person is a partner/director/karta/trustee, take or holds any position in any commodity forward contract/commodity derivative on MCX through you or through any other member(s) of MCX, to enable you to restrict our position limit as prescribed by the above referred circular of MCX as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your client on MCX only on the basis of our above assurance and undertaking.

I/We further undertake to bear any liability/penalty/charges levied by MCX for the non compliance of the aforesaid circulars or as modified from time to time.

Yours faithfully

Sign here : (20) 

**PCD (Participants Category disclosure)**

To, <b>Drishti Shares &amp; Investments (P) Ltd.</b> Regd. Office: 40/62, G.F., C.R. Park, New Delhi-110019 Sub: Participants Category disclosure (circular SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 (04-01-19)) I/We hereby confirm that among the given categories, I/We pertain to category I have ticked and authorize you to update the same in your records and for onward submission with Exchange.		
Catagories	All Commodities	Specific Commodities (mention the names of commodities)
<b>FPOs/ Farmers</b>	<input type="checkbox"/> ← Tick for All	
<b>VCPs (Arbitrageurs, Importer, Exporter, Hedger, Phy. Mtk Trader, etc.)</b>	<input type="checkbox"/> ← Tick for All	
<b>Domestic Financial Institutional Investors (Banks, Insurance Com, Mutual Fund, etc.)</b>	<input type="checkbox"/> ← Tick for All	
<b>Foreign Participants (NRI, EFE, etc.)</b>	<input type="checkbox"/> ← Tick for All	
<b>Proprietary Traders</b>	<input type="checkbox"/> ← Tick for All	
<b>Others</b>	<input type="checkbox"/> ← Tick for All	
	<b>Clients Signature : With Date</b>	<b>Sign here : (21) </b>

# OPTION FORM FOR ISSUANCE OF DIS BOOKLET ALONG WITH ACCOUNT OPENING

Client ID	D	D	M	M	Y	Y	Y	Y
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DP ID									Client ID							
First Holder Name																
Second Holder Name																
Third Holder Name																

To,  
**Drishti Shares & Investments (P) Ltd.**  
 Regd. Office: 40/62, G.F., C.R. Park, New Delhi-110019  
 Ph.:011-41000091-98, Fax:011-46551634  
 Dear Sir/Madam,  
 I/We hereby state that:




## ☐ OPTION 1:

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my/our account though I/we have issued a Power of Attorney (POA) / Demat Debit and Pledge Instruction (DDPI) / registered for eDIS / executed PMS agreement in favour of/with \_\_\_\_\_  
 (name of the POA/DDPI/Clearing Member/PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder -Clearing Member/by PMS manager/for executing delivery instructions through eDIS.

## ☐ OPTION 2:

I/We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I/We have issued a Power of Attorney (POA) / Demat Debit and Pledge Instruction (DDPI) / registered for eDIS / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney /Clearing Member/PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder/ Demat Debit and Pledge Instruction - Clearing Member/by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my/our request at any later date.

**Yours faithfully**

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	(22) 	(13) 	(13) 

# INSTURCTION CUM TICK LIST

## A. 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 Company need to be provided by the client from time to time.

## B. Demat Proof: Demat master or recent holding statement issued by DP bearing name of the client.

### C. In-person Verification:

For Individuals:

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

For Non Individuals: Form need to be initialed by all the authorized Signatories.

### D. General Instructions

- All documents submitted as proof must be self attested by the client.
- Thumb impression must be attested by a magistrate or a notary public or a special executive magistrate under his/her official seal.
- Photocopies of photograph will not be accepted. Photograph submitted should be passport size, front facing and with a plain background. Client sign should be across in such a manner where part of the signature is on the photo and other part of the form.
- Short signature//initial is not allowed on the KYC
- Photo copy of all document inclusive of PAN, address proof and identity proof must be clearly visible so that every written text and photo can be matched with KYC
- Signature should match with PAN/ Copy of cancelled cheque leaf/Bank verification letter
- If correspondence and permanent address is different then both the address proofs are required
- Annual Income / Net worth are mandatory
- Every cutting, overwriting & fluid will be accepted only if duly attested and stamped by client
- If any proof of entity is in other than Hindi or English then translation in Hindi or English is require with notaries stamp
- If the address proof is utility bills or bank statement, if should be not more than 2 months old.
- All communications shall be sent at the correspondence address/ mobile number/ e-mail id of the client. Please fill the email and mobile number on the kyc carefully and accurately.

- PAN of HUF and Karta both to be obtained; Address and Bank proof to be in name of HUF; Declaration to be signed by Karta and all coparceners and also provide the pan card copy of at least two coparceners.
- Only Balance sheet and net worth is considered as financial proof for Corporate.
- NRI cannot deal in Currency Derivative Segment
- Trading A/c cannot be opened in joint names.
- KYC will be signed by the client only and power of attorney holders are not allowed to sign the KYC
- If email Id & mobile no is same in more than one code then family declaration required.

### E. Proof for Bank Account

- Bank account statement/Passbook copy should not be more than 3 months old
- Bank Statement should clearly mention the name and address of the client.
- The bank statement should duly attested (Sign & Stamp) by the authorized official of the bank mentioning the bank and designation of the bank authorized official.
- Bank Verification letter should be in prescribed format on the letter head of the Bank duly signed and authorised by the Bank official mentioning his/her Name, Designation, Signature & Employee Code.
- Cancelled Cheque should have name of the account holder and account number printed on the same.

### F. Corporate

- Form 18 and Form 32 valid with challan copy.
- Form 18 used for address proof of the company.

3. Form 32 used for change in director's detail of the company.
  4. All incorporation certificates should be self attested and all incorporation certificates must be attached with the Memorandum.
  5. Detail of Director should match with memorandum and if there is any change then then Form 32 with the challan copy is required
  6. The following mandatory points must be incorporated in board resolutions.
    - Date of Resolution
    - Resolution date not latter to KYC date
    - Name of Broker as Drishti Shares & Investments (P) Ltd.
    - Segment like Equity, Currency, Future, Option, Cash Etc.
    - Name of the exchanges in which client wants to trade
    - Authorized person name in BR.
  7. Authorized person can perform signature on BR until he/she is/are only the director in the company.
  8. If Letter of authority to trade given on behalf of any other person than authorized in BR then company must provide the separate BR, Person ID and address proof.
  9. Share holding Pattern - Less than 2% share holders may provide under Other Category but 100 % share holding pattern require.
  10. Share holding total must be equal to share capital
  11. In case of name change incorporation certificate and PAN card of new name required
  12. Date of Incorporation on KYC Form should match with date of incorporation from memorandum and PAN card date
  13. Net-worth amount and date of net-worth is mandatory
  14. In company share holding any other company is a share holder with equal to or more than 10% holding then we require that company share holding also if this will again happen in holding company then again we require share holding and it will continue.
  15. All the incorporation certificate should be attached with the memorandum if any updation incorporation certificate attached with the memorandum instead of first incorporation certificate then we require first incorporation certificate also.
  16. If company fills two addresses then both address proof are required
  17. At least two director detail is must
    - **In Case of Name change in the company**
      - New PAN
      - In corporation certificate
      - KRA
    - **In case of change in the director**
      - KRA
      - List of Director
  - Form 32 with challan copy
    - PAN, Address of Director
  - **In case of change in the Authorized Signatory(ies)**
    - KRA
    - List of Director
    - Form 32 with challan copy
    - PAN, Address of Auth. Signatory(ies)
    - Board Resolution
    - List of Authorise signatory(ies) with specimen signatory(ies)
  - **In case of change in the Share holding Pattern**
    - KRA
    - List of Director
    - Form 32 with challan copy
    - PAN, Address of Auth. Signatory(ies)
    - Board Resolution
    - List of Authorise signatory(ies) with specimen signatory(ies)
    - Share Holding Pattern required (Follow the cross holding)
  18. All director address proof and PAN card copy required for NCDEX Exchange.
  19. KRA annexure must for all directors and authorized signatory. If any company not provide the KRA annexure of the authorized signatory then it will not the reason to hold the KRA but as per our internal policy we have to collect all the document of the Authorized Signatory.
  20. Send the KYC to compliance team before opening of trading account but in case of emergency we send the account opening form after the code opened.
    - **In Case of Name change in the company**
      - New PAN
      - In corporation certificate
    - **In case of change in the director**
      - List of Director
- G. Partnership Firm**  
All formalities and checking criteria are same as like corporate, few difference are as follows
1. Authority Letter instead of Board Resolution
  2. Partnership Deed instead of Memorandum
  3. All Partner signature is mandatory in authority letter
  4. In LLP registration certificate is must
- H. Limited Liability Partnership (LLP):**
- (a) Copy of the balance sheets for the last 2 financial years (to be submitted every year).
  - (b) Certificate of registration.
  - (c) Copy of partnership deed.
  - (d) Authorised signatories list with specimen signatures and photograph.
  - (e) Photograph, POI, POA, PAN of Partners.
  - (f) Resolution/ Authority Letter for investment in securities market

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- 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.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- 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.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor or photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- 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:

- PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
- 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.)

- Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- 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.
- 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.
- 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.
- 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.)

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCI, 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:

- 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).
- 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. NRI (If Non Resident)/Foreign National, self certified copy of statutory approval obtained must be attached

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

Types of entity	Documentary requirements
<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>Authorized 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>Authorized 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). 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>

Please Submit the KYC Documents on A4 Size Paper Only.



**Drishti Shares & Investments (p) Ltd.**

Member: Nse|bse|mcx|sebi Reg-inz000068833

Regd Office-40/62,ground Floor, Chittranjan Park, New Delhi-110019

Ph-011-41000091-98, Fax-011-46551364

Email: drishtishares@gmail.com, Visit Us: www.drishtishares.com

**VOLUNTARY FREEZING/BLOCKING OF TRADING ACCOUNTS BY CLIENTS**

As per SEBI guidelines, a facility for our clients to voluntarily freeze/block their online trading account access. In case they want to block access to a website, they can reach out to us via a dedicated email address, phone number. The dedicated email address is **Stoptrade@drishtishares.com** and the phone number is 9654535872. For more details, kindly read the SEBI and Exchange Circular ref. No. SEBI/HO/MIRSD/POD- 1/P/CIR/2024/4 dated January 12, 2024.

**Timelines for Freezing/Blocking the Online Access:**

Scenario	Timelines for Issuing Acknowledgement and Freezing/Blocking
Request received during trading hours and within 15 minutes before the start of trading	Within 15 minutes
Request received after trading hours and 15 minutes before the start of the next trading session	Before the start of the next trading session

**Note:** By opting to block/freeze the account, you are only blocking online access to your trading account. There will be no restrictions on the risk management system.

**Client Signature**

.....

To,  
Drishti Shares & Investments Pvt. Ltd.  
Pocket-40,Building No.62, Ground Floor, Chittaranjan Park  
New Delhi - 110019

**Annexure-A****Demat Debit and Pledge Instruction**

S.No.	Purpose	Signature of Client *
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	
4	Tendering shares in open offers through Stock Exchange platforms	

\* the same may be signed physically against each purpose of DDPI. The same may also be eSigned. In case of eSign, client shall be given an option for choosing the specific purpose(s) of DDPI.

**1. VISION**

To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

**2. MISSION**

- i) To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
- ii) To establish and maintain a relationship of trust and ethics with the investors.
- iii) To observe highest standard of compliances and transparency.
- iv) To always keep 'protection of investors' interest' as goal while providing service.
- v) To ensure confidentiality of information shared by investors unless such information is required to be provided in furtherance of discharging legal obligations or investors have provided specific consent to share such information.

**3. Services provided to Investors by stockbrokers include**

- I. Execution of trades on behalf of investors.
- II. Issuance of Contract Notes.
- III. Issuance of intimations regarding margin due payments.
- IV. Facilitate execution of early pay-in obligation instructions.
- V. Periodic Settlement of client's funds.
- VI. Issuance of retention statement of funds at the time of settlement.
- VII. Risk management systems to mitigate operational and market risk.
- VIII. Facilitate client profile changes in the system as instructed by the client.
- IX. Information sharing with the client w.r.t. relevant Market Infrastructure Institutions (MII) circulars.
- X. Provide a copy of Rights & Obligations document to the client.
- XI. Communicating Most Important terms and Conditions (MITC) to the client.
- XII. Redressal of Investor's grievances.

**4. Rights of Investors**

- I. Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself (including website providing mandatory information).
- II. Receive complete information about the risks, obligations, and costs of any investment before investing.
- III. Receive a copy of all completed account forms and rights & obligation document.
- IV. Receive a copy of 'Most Important Terms & Conditions' (MITC).
- V. Receive account statements that are accurate and understandable.
- VI. Understand the terms and conditions of transactions you undertake.
- VII. Access your funds in a prescribed manner and receive information about any restrictions or limitations on access.
- VIII. Receive complete information about maintenance or service charges, transaction or redemption fees, and penalties in form of tariff sheet.
- IX. Discuss your grievances with compliance officer / compliance team /dedicated grievance redressal team of the firm and receive prompt attention to and fair consideration of your concerns.
- X. Close your zero balance accounts online with minimal documentation
- XI. Get the copies of all policies (including Most Important Terms and Conditions) of the broker related to dealings of your account
- XII. Not be discriminated against in terms of services offered to equivalent clients
- XIII. Get only those advertisement materials from the broker which adhere to Code of Advertisement norms in place
- XIV. In case of broker defaults, be compensated from the Exchange Investor Protection Fund as per the norms in place

- XV. Trade in derivatives after submission of relevant financial documents to the broker subject to brokers' adequate due diligence.
- XVI. Get warnings on the trading systems while placing orders in securities where surveillance measures are in place
- XVII. Get access to products and services in a suitable manner even if differently abled
- XVIII. Get access to educational materials of the MILs and brokers
- XIX. Get access to all the exchanges of a particular segment you wish to deal with unless opted out specifically as per Broker norms
- XX. Deal with one or more stockbrokers of your choice without any compulsion of minimum business
- XXI. Have access to the escalation matrix for communication with the broker
- XXII. Not be bound by any clause prescribed by the Brokers which are contravening the Regulatory provisions.

## 5. Various activities of Stock Brokers with timelines

S.No.	Activities	Expected Timelines
1.	KYC entered into KRA System and CKYCR	3 working days of account opening
2.	Client Onboarding	Immediate, but not later than one week
3.	Order execution	Immediate on receipt of order, but not later than the same day
4.	Allocation of Unique Client Code	Before trading
5.	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the trading member
6.	Issuance of contract notes	24 hours of execution of trades
7.	Collection of upfront margin from client	Before initiation of trade
8.	Issuance of intimations regarding other margin due payments	At the end of the T day
9.	Settlement of client funds	First Friday/Saturday of the month /quarter as per Exchange pre-announced schedule
10.	'Statement of Accounts' for Funds, Securities and Commodities	Monthly basis
11.	Issuance of retention statement of funds/ commodities	5 days from the date of settlement
12.	Issuance of Annual Global Statement	30 days from the end of the financial year
13.	Investor grievances redressal	21 calendar days from the receipt of the complaint

## 6. DOs and DON'Ts for Investors

Dos	DON'Ts
<ol style="list-style-type: none"> <li>1. Read all documents and conditions being agreed before signing the account opening form.</li> <li>2. Receive a copy of KYC, copy of account opening documents and Unique Client Code.</li> <li>3. Read the product / operational framework / timelines related to various Trading and Clearing &amp; Settlement processes.</li> <li>4. Receive all information about brokerage, fees and other charges levied.</li> <li>5. Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions.</li> </ol>	<ol style="list-style-type: none"> <li>1. Do not deal with unregistered stock broker.</li> <li>2. Do not forget to strike off blanks in your account opening and KYC.</li> <li>3. Do not submit an incomplete account opening and KYC form.</li> <li>4. Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system.</li> <li>5. Do not transfer funds, for the purposes of trading to anyone other than a stock</li> </ol>

Dos	DON'Ts
<p>6. If executed, receive a copy of Demat Debit and Pledge Instruction (DDPI) However, DDPI is not a mandatory requirement as per SEBI / Stock Exchanges. Before granting DDPI, carefully examine the scope and implications of powers being granted.</p> <p>7. Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT/CTT etc. as applicable, separately, within 24 hours of execution of trades.</p> <p>8. Receive funds and securities/commodities on time, as prescribed by SEBI or exchange from time to time.</p> <p>9. Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges.</p> <p>10. Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stock broker as per the option given by the client (Monthly or Quarterly).</p> <p>11. In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines.</p> <p>12. Retain documents for trading activity as it helps in resolving disputes, if they arise.</p>	<p>broker. No payment should be made in name of employee of stock broker.</p> <p>6. Do not ignore any emails / SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed.</p> <p>7. Do not opt for digital contracts, if not familiar with computers.</p> <p>8. Do not share trading password.</p> <p>9. Do not fall prey to fixed /guaranteed returns schemes.</p> <p>10. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits.</p> <p>11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments</p>

Additionally, Investors may refer to Dos and Don'ts issued by MIs on their respective websites from time to time.

## 7. Grievance Redressal Mechanism

The process of investor grievance redressal is as follows:

Investor complaint/Grievances	<p>Investor can lodge complaint/grievance against stock broker in the following ways:</p> <p><u>Mode of filing the complaint with stock broker</u></p> <p>Investor can approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 21 days of the receipt of the grievance</p> <p><u>Mode of filing the complaint with stock exchanges</u></p> <p>i. SCORES 2.0 (a web based centralized grievance redressal system of SEBI) (<a href="https://scores.sebi.gov.in">https://scores.sebi.gov.in</a>)</p> <p>Two level review for complaint/grievance against stock broker:</p> <ul style="list-style-type: none"> <li>First review done by Designated body/Exchange</li> <li>Second review done by SEBI</li> </ul> <p>ii. Emails to designated email IDs of Exchange</p>
Online Dispute Resolution (ODR) platform for online and Conciliation Arbitration	<p>If the Investor is not satisfied with the resolution provided by the Market Participants, then the Investor has the option to file the complaint/grievance on SMARTODR platform for its resolution through online conciliation or arbitration.</p>

	Steps to be followed in ODR for Review, Conciliation and Arbitration	<ol style="list-style-type: none"> <li>1. Investor to approach Market Participant for redressal of complaint</li> <li>2. If investor is not satisfied with response of Market Participant, he/she has either of the following 2 options: <ol style="list-style-type: none"> <li>i. May escalate the complaint on SEBI SCORES portal.</li> <li>ii. May also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration.</li> </ol> </li> <li>3. Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavor to resolve the matter between the Market Participant and investor within 21 days.</li> <li>4. If the matter could not be amicably resolved, then the matter shall be referred for conciliation.</li> <li>5. During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator with consent of the parties to dispute.</li> <li>6. If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration.</li> <li>7. The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days with consent of the parties to dispute.</li> </ol>
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## **8. Handling of Investor's claims / complaints in case of default of a Trading Member / Clearing Member (TM/CM)**

### **Default of TM/CM**

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.
- Standard Operating Procedure (SOP) for handling of Claims of Investors in the Cases of Default by Brokers
- Claim processing policy against Defaulter/Expelled members
- List of Defaulter/Expelled members and public notice issued



**DRISHTI SHARES & INVESTMENTS (P) LTD.**



**EQUITY | DERIVATIVE (F&O) | CURRENCY | COMMODITY | DEPOSITORY PARTICIPANT | MARGIN TRADING FACILITY**



## **DRISHTI SHARES & INVESTMENTS (P) LTD.**

**Member: NSE, BSE, MCX, NSDL | SEBI REG. NO. INZ 000068833, IN-DP-359-2018**

**BSE CLG NO. - 6278 | NSE MEM. CODE 90032**

**MCX MEM. CODE 55835 | NSDL DP ID IN304238**

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