

CLIENT REGISTRATION KIT

☐ INDIVIDUAL

☐ HUF

☐ FIRM

☐ OTHERS



ASHLAR SECURITIES PVT. LTD.

Member : NSE, BSE, MCX, NCDEX • DP : NSDL

Form No.

File No.

Client Code

Name

Date

KRA Ref. No.

Demat A/c No.

CKYC No.

Branch

AP



ASHLAR SECURITIES PVT. LTD.

EXCHANGE	SEGMENT	MEMBER ID	SEBI REGN. NO.
NSE	CM, F&O, CURRENCY	13718	INZ000203739
BSE	CM, F&O, CURRENCY	3302	INZ000203739
MCX	COMMODITY	56815	INZ000203739
NCDEX	COMMODITY	1299	INZ000203739

NSDL DP ID: IN303921 • SEBI REGN. No. IN-DP-236-2016

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.),
Phone : 0120-6633200

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032
E-mail : care@ashlarindia.com

Compliance Officer's Details (Equity)

Name : Ms. Priya Rathi
Phone No. : 0120-6633229
E-mail ID : compliance@ashlarindia.com

Compliance Officer's Details (Depository)

Name : Mr. Deepak Kumar
Phone No. : 0120-6633226
E-mail ID : compliance@ashlarindia.com

COO Details

Name : Mr. Deepak Khandelwal
Phone No. : 0120-6633204
E-mail ID : deepak@ashlarindia.com

Clearing Member :

GLOBE CAPITAL MARKET LIMITED

NSE (F&O, CDS), BSE (F&O, CDS), MCX & NCDEX

SEBI Regn. No.: INZ000177137

609, Ansal Bhawan, 16, Kasturba Gandhi Marg, New Delhi-110001 Tel.: 011-30412345

For any grievance/dispute please contact ASHLAR SECURITIES PVT. LTD. at the above address or email care@ashlarindia.com / investorcell@ashlarindia.com and Phone No. +91-120-6633200. In case not satisfied with the response, please contact the concerned exchange(s) at

Exchange Name

National Stock Exchange of India Ltd. (NSE)

Bombay Stock Exchange Ltd. (BSE)

Multi Commodity Exchange of India Ltd. (MCX)

National Commodity & Derivatives Exchange Ltd. (NCDEX)

National Depository Services (India) Ltd. (NSDL)

E-mail ID

ignse@nse.co.in

is@bseindia.com

grievance@mcxindia.com

askus@ncdex.com

relations@nsdl.co.in

Phone No.

022-26589190, 18002660058

022-22728097

022-67318888

022-66406084

1800222990

Filing of complaints on SCORES : (<https://scores.gov.in/scores/Welcome.html>)

Mandatory Details for filing complaints : (Name, PAN, Address, Mobile Number, Email ID)

For effective communication & Speedy redressal of the grievances.

ACKNOWLEDGEMENT TO ASHLAR SECURITIES PVT. LTD. FROM CLIENT

To,

Ashlar Securities Pvt. Ltd.

Date: _____

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

I/We intends to open a Trading account with M/s. Ashlar Securiteis Pvt. Ltd. who is Member of NSE, BSE, MCX, NCDEX and NSDL, undertakes as follows:

1. I/We have been duly made aware by Member that client has a preference to receive the below referred documents either in electronic form or in physical form:
 - A. Right and Obligations of Stock Brokers, Sub-Brokers and Clients
 - B. Internet and Wireless technology based trading facility provided by Stock Brokers to Client
 - C. Risk and Disclosure document for Capital Market, Derivative Segments & Commodity Market
 - D. Guidance note-Do's and Don't for trading on the Exchange(s) for Investors
 - E. Policies & Procedures
 - F. Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI & Depositories
 - G. Other disclosure/ documents as agreed by me/us specifically in voluntary segment.
2. I/We am/are further made aware by my/our Member that for receiving the above said documents in Electronic or Physical Form, I/We have to accord my/our consent.
3. Therefore, in reference to the above, I/We hereby voluntarily accord my/our consent to receive the aforesaid documents in:-
☐ Electronic Form ☐ Physical Form
4. If I/We opted for the same in Electronic mode, then Member can send said aforesaid documents at my registered email id.
5. I/We have been further made aware by my/our Member that the aforesaid documents has also been available at the Member's website i.e. www.ashlarindia.in
6. I/We am/are made aware that the non receipt of bounced mail notification by the Member shall amount to delivery of the aforesaid documents at my registered email id.
7. I/We hereby accord my/our consent to an arbitration agreement by virtue of which I/We shall refer all my/our claims, differences or disputes between us which might have arise out of my/our trading, deposits, margin money, etc. in relation to my/our dealings in contracts and transactions which have been made subject to the Bye-Laws, Rules and Regulations of the Exchange or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions and contracts have entered into, to the arbitration in accordance with the provisions of these Byelaws, Rules and Regulations of the Exchanges.

 1

Client Signature

Client Name: _____

----- (Tear Here) -----

RECEIPT OF PHYSICAL KIT

To,

Ashlar Securities Pvt. Ltd.

Date: _____

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

I/We hereby confirm that I/We have received a copy of following documents:

- A. Right and Obligations of Stock Brokers, Sub-Brokers and Clients
- B. Internet and Wireless technology based trading facility provided by Stock Brokers to Clients
- C. Risk and Disclosure document for Capital Market, Derivative Segments & Commodity Market
- D. Guidance note-Do's and Don't for trading on the Exchange(s) for Investors
- E. Policies & Procedures
- F. Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI & Depositories
- G. Other disclosure/ documents as agreed by me/us specifically in voluntary segment.

 2

Client Signature

Client Name: _____

----- (Tear Here) -----

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction / check list.	1-6
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list / Nomination.	7-12
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ commodity broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Given to the Client with Welcome Kit
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities/commodities market.	
4.	Guidance Note	Documents detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Rights and Obligations of BO and Depository Participant	Rights and Obligations of BO and Depository Participant as prescribed by SEBI & Depositories.	
6.	Policies and Procedures	Document describing significant policies and procedure of the stock broker.	13-16
7.	Policies and Procedures	Document describing significant policies and procedure of the commodity broker.	17-18
8.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock/commodity exchange(s)	19
9.	Disclosure Information for Pro-Trading	Disclosure Information for Proprietary Trading/Business (Pro-Trading)	19

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Declaration Letter	Self Declaration for Participants in Commodity Derivatives Market	20
2.	Electronic Contract Note Declaration	Consent for receiving ECN & E-Documents	21
3.	Letter of Authorization	Letter where in Client Authorized Stock Broker to maintain running account and to accept verbal orders etc.	22-23
4.	NSE-MFSS Facility	Mutual Fund Facility	24
5.	Authorisation for Value Added Services	Communication through SMS & email	25
6.	Undertaking to Act in Own Capacity	Letter giving clients confirmation to act in his own capacity	26
7.	For Registration and Verification of Mobile Number and E-mail Address	For Registration and Verification of Mobile No. and E-mail Address	27
8.	Request for Trading in Commodity Forward Contracts/ Commodity Derivatives of NCDEX/MCX	Request for Trading in Commodity Forward Contracts/ Commodity Derivatives of NCDEX/MCX	28
9.	Declaration of Family Members	Declaration of Family Members in case of same mobile number and email id used in multiple accounts.	28
10.	Declaration, Indemnity cum Undertaking for Name Discrepancy in PAN Card, Bank Proof & Address Proof	Letter to be given in case there is any mismatching in documents provided by the client.	29
11.	Banker's Verification	Letter where in Client Authorises Stock Broker to maintain running account.	30
12.	Adjustment in Different Exchanges / Accounts	Letter for transfer/set-off of balances lying in one exchange with other exchange	30
13.	Aadhaar Consent Letter	Aadhaar Consent Letter	31
14.	Declaration of HUF by Karta	Declaration of HUF by Karta	32
15.	Declaration by Sales Person/AP	Declaration by Sales Person/AP	33
16.	Demat Account Opening Form	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	34-42

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, 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 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/ 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 shall be acceptable, subject to the submission of proof of relationship alongwith the same.

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

E. List of people authorized to attest the documents:

- 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.

INSTRUCTIONS / CHECK LIST (for filling additional information related to trading account)

- Additional documents in case of trading in derivatives segments - illustrative list :

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

- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- Demat master or recent holding statement issued by DP bearing name of the client.
- 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 initialized by all the authorized signatories.
 - Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

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

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
 B) Tick (✓) wherever applicable.
 C) Please fill the form in English and in BLOCK letters.
 D) Please fill the date in DD-MM-YYYY format.
 E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
- F) Please read section wise detailed guidelines / instructions at the end.
 G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 H) List of two character ISO 3166 country codes is available at the end.
 I) KYC number of applicant is mandatory for update application.
 J) The 'OTP based E-KYC' check box is to be checked to accounts opened using OTP based E-KYC in non-face to face mode.



For office use only

(To be filled by financial institution)

Application Type*

☐ New☐ Update

KYC Number

(Mandatory for KYC update request)

Account Type*

☐ Normal☐ Minor☐ Aadhaar OTP based E-KYC (in non-face to face mode)☐ 1. PERSONAL DETAILS (Please refer instruction A at the end)

☐ Name* (Same as ID proof)

Maiden Name

Father / Spouse Name

Mother Name

Date of Birth* - -

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

PAN*

Citizenship* ☐ IN- Indian ☐ Others (ISO 3166 Country Code)

Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

Occupation Type* ☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector) ☐ O-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student) ☐ B-Business ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ X- Not Categorised ☐ Forex Dealer ☐ Others (Pl. Specify) _____

Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐

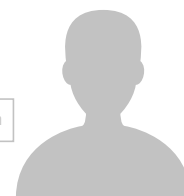
Annual Income ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac ☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore

Net Worth Amount Rs. Net Worth as on (Date)..... (Net worth should not be older than 1 year)

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

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

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

II. ☐ E- KYC AuthenticationIII. ☐ Offline verification of Aadhaar☐ PHOTO*

Sign across the Photograph

Signature / Thumb Impression

Address

Line 1*

Line 2

Line 3

District*

Pin / Post Code*

City / Town / Village*

State / U.T Code*

ISO 3166 Country Code*

☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)☐ Same as above mentioned address (in such cases address details as below need not to be provided)

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

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

[illegible][illegible][illegible]

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).

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby declare that the aforesaid mobile number or E-mail ID belongs to ☐ Me or ☐ My Family (Spouse, dependent children and dependent parents)
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Signature / Thumb Impression of Applicant

Date : DD - MM - YYYY Place :

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

[illegible]

[Employee Signature]

[illegible]

[Signature of Authorised Signatory]

[Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

A Clarification / Guidelines on filling 'Personal Details' section

- 1 Name: The name should be match the name as mentioned in the Proof of identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory : Mother's name, Spouse's name, Father's name.

B Clarification / Guidelines on filling 'Current Address Details' section

- 1 In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted PoI does not have current address or address as per PoI is invalid or not in force.
- 3 State / U.T. Code and Pin / Post Code will not be mandatory for Overseas address.
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III, and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address'

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
7	Regular Entity (RE) shall be redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
8	"Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rule, 2016.
9	'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
10	REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.

C Clarification / Guidelines on filling 'Contact Details' section

- 1 Please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999)
- 2 Do not add '0' in the beginning of Mobile number.

D Clarification / Guidelines on filling 'Related Person Details' section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age of opening of bank account only.
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

List of two - digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U. T.	Code	State / U. T.	Code	State / U. T.	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two - digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire ICôte d'Ivoire	CI	Korea, Democratic People's Republic	KP	Reunion Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Curacao ICuraçao	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao ICuraçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy ISaint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

Annexure A1

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

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



For office use only

Application Type*

☐ New ☐ Update ☐ Delete

(To be filled by financial institution) KYC Number

(Mandatory for KYC update request)

☐ 1. DETAILS OF RELATED PERSON (Please refer instruction D & E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Updation KYC Number of Related Person (if available*)

Related Person Type*

☐ Guardian of Minor☐ Assignee☐ Authorized Representative

Prefix

First Name

Middle Name

Last Name

 Name*

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

Maiden Name

Father / Spouse Name*

Mother Name*

Date of Birth*

 - -

Gender*

☐ M- Male☐ F- Female☐ T-Transgender

Marital Status*

☐ Married☐ Unmarried☐ Others

PAN*

 ☐ Form 60 furnished

Citizenship*

☐ IN- Indian☐ Others (ISO 3166 Country Code)

Residential Status*

☐ Resident Individual☐ Non Resident Indian☐ Foreign National☐ Person of Indian Origin

Occupation Type*

☐ S-Service (☐ Private Sector☐ Public Sector☐ Government Sector)☐ O-Others (☐ Professional☐ Self Employed☐ Retired☐ Housewife ☐ Student☐ B-Business ☐ Agriculturist☐ Retired☐ Housewife ☐ Student☐ X- Not Categorised☐ Forex Dealer☐ Others (Pl. Specify) _____Politically Exposed Person (PEP) ☐Related to Politically Exposed Person (RPEP) ☐

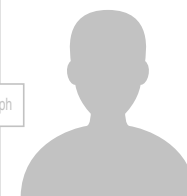
Annual Income

☐ Below Rs. 1 Lac☐ Rs. 1 Lac to 5 Lac☐ Rs. 5 Lac to 10 Lac☐ Rs. 10 Lac to 25 Lac☐ Rs. 25 Lac to 1 Crore

Networth Amount Rs. Net Worth as on (Date)..... (Net worth should not be older than 1 year)

☐ 2. PROOF OF IDENTITY AND ADDRESS*

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

☐ A- Passport Number ☐ B- Voter ID Card ☐ C- Driving Licence ☐ D- NREGA Job Card ☐ E- National Population Register Letter ☐ F- Proof of Possession of Aadhaar II. ☐ E- KYC Authentication III. ☐ Offline verification of Aadhaar ☐ PHOTO*

Sign across the Photograph

Signature / Thumb Impression

Address

Line 1*

Line 2

Line 3

District*

Pin / Post Code*

State / U.T Code*

ISO 3166 Country Code*

☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)
☐ Same as above mentioned address (in such cases address details as below need not to be provided)

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

☐ A- Passport Number ☐ B- Voter ID Card

- ☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of Possession of Aadhaar
 II. ☐ E- KYC Authentication
 III. ☐ Offline verification of Aadhaar
 IV. ☐ Deemed Proof of Address - Document type Code
 V. ☐ Self Declaration

Address

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

4. CONTACT DETAILS

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

5. REMARKS (If any)

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

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

ISO 3166 Country Code of Jurisdiction of Residence*

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

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

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 Ashlar Securities Pvt. 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 (AEOL).

7. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby declare that the aforesaid mobile number or E-mail ID belongs to ☐ Me or ☐ My Family (Spouse, dependent children and dependent parents)
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

4

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Date : -- Place :

8. ATTESTATION / FOR OFFICE USE ONLY

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

KYC VERIFICATION CARRIED OUT BY**INSTITUTION DETAILS**

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

Name **ASHLAR SECURITIES PVT. LTD.**
 Code

[Signature of Authorised Signatory]

[Employee Signature]

[Institution Stamp]

TRADING ACCOUNT RELATED DETAILS

TYPE OF TRADING A/C

☐ ONLINE ☐ OFFLINE ☐ BOTH

BANK ACCOUNT DETAILS

(Through which transactions will generally be routed)

Primary Bank Details (for DP and Trading) :

Bank Name : Account No. : Branch : Address : Pin Code : MICR Code of Branch : IFS Code : Account Type : ☐ Savings ☐ Current ☐ NRE/NRO ☐ OTHERS : (Please Specify)Pay-Out Option : ☐ Cheque ☐ Fund Transfer ☐ Bank Draft ☐ CMS ☐ NEFT ☐ RTGS ☐ As Per Group

Secondary Bank Details (for Trading, if any) :

Bank Name : Account No. : Branch : Address : Pin Code : MICR Code of Branch : IFS Code : Account Type : ☐ Savings ☐ Current ☐ NRE/NRO ☐ OTHERS : (Please Specify)Pay-Out Option : ☐ Cheque ☐ Fund Transfer ☐ Bank Draft ☐ CMS ☐ NEFT ☐ RTGS ☐ As Per Group

DEPOSITORY ACCOUNT DETAILS

(Through which transactions will generally be routed.)

Depository Name : ☐ CDSL ☐ NSDLName of Depository Participant : Beneficiary Name : DP ID : Beneficiary ID (BOID) :

TRADING PREFERENCE

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

Exchange	Market Segment/s		
NSE	<input type="checkbox"/> 5(a) CM	<input type="checkbox"/> 5(b) F&O	<input type="checkbox"/> 5(c) Currency
BSE	<input type="checkbox"/> 5(d) CM	<input type="checkbox"/> 5(e) F&O	<input type="checkbox"/> 5(f) Currency
MCX	<input type="checkbox"/> 5(g) Commodity		
NCDEX	<input type="checkbox"/> 5(h) Commodity		

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.

SALES TAX REGISTRATION DETAILS (AS APPLICABLE, STATEWISE)

Local Sales Tax State Regn. No.	<input type="text"/>	Validity Date	<input type="text"/>
Name of the State	<input type="text"/>		
Central Sales Tax Registration No.	<input type="text"/>	Validity Date	<input type="text"/>
Other Sales Tax State Regn. No.	<input type="text"/>	Validity Date	<input type="text"/>
Name of the State	<input type="text"/>		

GST REGISTRATION DETAILS (AS APPLICABLE, STATEWISE)

Local GST Registration No.	<input type="text"/>	Validity Date	<input type="text"/>
Name of the State	<input type="text"/>		
Other GST Registration No.	<input type="text"/>	Validity Date	<input type="text"/>
Name of the State	<input type="text"/>		

DEALING THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS**If client is dealing through the AP, provide the following details :**

Name of the AP	<input type="text"/>
AP SEBI Registration No.	<input type="text"/>
AP's Address	<input type="text"/>
AP's Phone/Fax No.	<input type="text"/>
AP's Website	<input type="text"/>

Whether dealing with any other stock broker / AP (In case dealing with multiple stock brokers / APs, please provide details of all)

Name of the stock broker	<input type="text"/>
Name of AP (If any)	<input type="text"/>
Client Code (UCC)	<input type="text"/>
Exchange	<input type="text"/>

Details of disputes / dues pending from / to such stock broker / AP

(Please Specify)

PAST ACTIONS**Details of any action / proceedings initiated / pending / taken by SEBI / Stock Exchange / any other authority against the applicant / constituent or its partners / promoters / whole time directors / authorised persons in charge of dealing in securities during last 3 years.**

(Please Specify)

ADDITIONAL DETAILS**SMS and E-mail alerts to investors by stock exchanges :**☐ Yes☐ No

Type of Facility

☐ SMS Alert☐ E-mail Alert☐ Both**Whether you wish to receive :**☐ Physical Contract Note☐ Electronic Contract Note (ECN)

E-mail (If Applicable) :

Whether you wish to avail of the facility of internet trading / wireless technology :☐ Yes☐ No

Trading Experience / Number of Years of Investment

☐ No Prior Investment Experience ☐ ____ Years in Equities ☐ ____ Years in Derivatives ☐ ____ Years in other Investment related fields

In case of Non-Individual, Name, Designation, PAN, UID, Signature, Residential Address and Photographs of persons authorised to deal in securities of behalf of the company / Firm/ others.

Please provide the details in **Annexure A** as per format attached

Any other information :

Annual Income : ☐ Nil ☐ < 5 Lac ☐ Rs. 5 - 25 Lac ☐ Rs. 25 - 50 Lac ☐ Rs. 50 - 1 Crore ☐ Above 1 Crore

Net Worth : Amount Rs..... as on (date)/...../.....
(Net worth should not be older than 1 year) (Compulsory for Non-Individuals)

Educational Details : ☐ High School ☐ Graduate ☐ Post-Graduate ☐ Doctorate ☐ Professional Degree
☐ Under High School ☐ Illiterate ☐ Other _____ (Please Specify)

Occupation : ☐ Private Sector ☐ Public Sector ☐ Business ☐ Government Service ☐ Professional
(please tick any one and give brief details) ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others _____ Pl.Specify

Nature of Business : ☐ Manufacturing ☐ Services ☐ Consultancy ☐ Others _____ Pl.Specify

Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

DETAIL OF INTRODUCER (OPTIONAL)

Introduced by : ☐ Existing Client ☐ Sub-Broker ☐ Remisier ☐ Authorised Person ☐ Others _____ (Please Specify)
Name of Introducer :
Sub-Broker Registration No. UCC : Employee Code :
PAN NO. :
Address :
City :
Pin : State : Country :
Phone :
Signature of the Introducer :

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/We may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Name of Applicant :

Signature :  6
Signature of Applicant / authorised Signatory(s) with rubber stamp of

Date :

Place :

NOMINATION FORM - TRADING ACCOUNT

To, (To be filled in by individual applying singly or jointly)

Ashlar Securities Private Limited

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

DATE	D	D	M	M	Y	Y	Y	Y	UCC								
------	---	---	---	---	---	---	---	---	-----	--	--	--	--	--	--	--	--

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

NOMINATION DETAILS




I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me/us in the said beneficiary owner account in the event of my / our death.

Nomination can be made upto three nominees in the account		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the nominee(s) Mr./Ms.)			
2.	Share of each Nominee Equally [If not equally, please specify percentage]	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				
3.	Relationship with the Applicant (if any)			
4.	Address of Nominee(s) City / Place State / Country PIN Code			
5.	Mobile/Telephone No. of Nominee(s)			
6.	Email ID of nominee(s)			
7.	Nominee Identification details - [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> AADHAAR <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor :

8.	Date of Birth {in case of minor nominee(s)}			
9.	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10.	Address of Guardian(s) City / Place State / Country PIN Code			
11.	Mobile/Telephone No. of Guardian			
12.	Email ID of nominee(s)			

13.	Relationship of Guardian with nominee			
14.	Guardian Identification details - [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> AADHAAR <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

	Name(s) of Holder(s)	Signature(s) of Holder
Sole/First Holder (Mr./Ms.)		 7
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

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

Signature of Witness for Nomination													
Name of the Witness	Address of Witness				Signature of Witness								
					Date	D	D	M	M	Y	Y	Y	Y

Notes:

- The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
- A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
- The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
- In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
- In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No. 4. In case 'All joint account holder' is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 4, and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected.
- Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
- Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
- The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate, partnership firm and Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
- On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
- Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
- On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the Form 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
- Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents as provided in Annexure D.
- Savings bank account details shall only be considered if the account is maintained with the same participant.
- DP ID and client ID shall be provided where demat details is required to be provided.
- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever is not applicable.



(12)

1. Refusal of orders for penny/illiquid stock

The stock broker may from time to time limit (quantity/ value)/refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies), the order being for securities which are not in the permitted list of the stock broker/exchange(s) /SEBI. Provided further that stock broker may require compulsory settlement/advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance/placement of order(s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone. The stock broker may require reconfirmation of orders, which are larger than that specified by the stock broker's risk management, and is also aware that the stock broker has the discretion to reject the execution of such orders based on its risk perception.

2. Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/limits (such as broker level/ market level limits in security specific/volume specific exposures etc.) , and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

The stock broker is required only to communicate/ advise the parameters for the calculation of the margin/security requirements as rate(s)/percentage(s) of the dealings, through anyone or more means or methods such as post speed

post/courier/registered post/registered A.D/facsimile/ telegram/cable/e-mail/ voice mails/telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees/agents of the stock broker; by publishing/displaying it on the website of the stock broker/making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch/office through which the client trades or if the circumstances, so require, by radio broadcast/television broadcast/newspapers advertisements etc; or any other suitable or applicable mode or manner. The client agrees that the postal department/the courier company /newspaper company and the e-mail/voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department/the courier company/the e-mail/voice mail service provider, etc. by the stock broker and the client agrees never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever and once parameters for margin/security requirements are so communicated, the client shall monitor his/her/its position (dealings/trades and valuation of security) on his/her/its own and provide the required/deficit margin/security forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the stock broker to the client and /or whether or not such communication is received by the client.

The client is not entitled to trade without adequate margin/security and that it shall be his/her/its responsibility to ascertain beforehand the margin /security requirements for his/ her /its orders/trades/ deals and to ensure that the required margin/security is made available to the stock broker in such form and manner as may be required by the stock broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the stock broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he /she/it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) &/or any claim /loss/ damage arising out of the non availability /shortage of margin /security required by the stock broker &/or exchange &/or SEBI.

The stock broker is entitled to vary the form (i.e., the replacement of the margin/security in one form with the margin/security in any other form, say, in the form of money instead of shares) &/or quantum &/or percentage of the margin &/or security required to be deposited/made available, from time to time.

The margin/security deposited by the client with the stock broker are not eligible for any interest.

The stock broker is entitled to include/appropriate any/all payout of funds &/or securities towards margin/security without requiring specific authorizations for each payout.

The stock broker is entitled to transfer funds &/ or securities from his account for one exchange &/or one segment of the exchange to his/her/its account for another exchange &/or another segment of the same exchange whenever applicable and found necessary by the stock broker.

The client also agrees and authorises the stock broker to treat/adjust his/ her/its margin/security lying in one exchange &/or one segment of the exchange/towards the margin/security/pay in requirements of another exchange &/or another segment of the exchange.

The stock broker is entitled to disable/freeze the account &/or trading facility/any other service. facility, if, in the opinion of the stock broker, the client has committed a crime/fraud or has acted in contradiction of this agreement or/is likely to evade/violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

3. Applicable brokerage rate

The stock broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under:

- a. For Cash Market Segment: The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale/purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.
- b. For Option contracts: Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. It is hereby clarified that brokerage charged on options contracts shall not exceed 2.5% of the premium amount or Rs 100/- (per lot) whichever is higher.

4. Imposition of penalty/delayed payment charges

The client agrees that any amounts which are overdue from the client towards trading or on account of any other reason to the stock broker will be charged with delayed payment charges at such rates not exceeding 2% p.m. as may be determined by the stock broker. The client agrees that the stock broker may impose fines/penalties for any orders/trades/deals/actions of the client which are contrary to this agreement/rules/regulations/bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client. The client agrees to pay to the stock broker brokerage,

commission, fees, all taxes, duties, levies imposed by any authority including but not limited to the stock exchanges (including any amount due on account of reassessment/backlogs etc.), transaction expenses, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account/transactions/ services that the client avails from the stock broker.

5. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues

The stock broker maintains centralized banking and securities handling processes and related banking and depository accounts at designated place. The client shall ensure timely availability of funds/securities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The stock broker shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/securities by the client in the designated account(s) of the stock broker for meeting the pay in obligation of either funds or securities. If the client gives orders/trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities/funds for pay in for any reason whatsoever including but not limited to any delays/shortages at the exchange or stock broker level/non release of margin by the stock broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions/square off/closing outs etc., shall be solely to the account of the client and the

client agrees not to hold the stock broker responsible for the same in any form or manner whatsoever.

In case the payment of the margin/security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc. at the absolute discretion of the stock broker.

Where the margin /security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin/security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned on the website, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the

client agrees to bear all the losses based on actual executed prices. In case open position (Le. short/long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

The stock broker is entitled to prescribe the date and time by which the margin/security is to be made available and the stock broker may refuse to accept any payments in any form after such deadline for margin/security expires.

Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/security or to meet the funds/margins/ securities pay in obligations for the orders/trades/deals of the client within the prescribed time and form, the stock broker shall have the right without any further notice or communication to the client to take any one or more of the following steps:

- i. To withhold any payout of funds/securities.
- ii. To withhold/disable the trading/dealing facility to the client.
- iii. To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the stock broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are pending delivery/receipt.
- iv. To liquidate/square off partially or fully the position of sale &/or purchase in anyone or more securities/contracts in such manner and at such rate which the stock broker may decide in its absolute discretion.
- v. To take any other steps which in the given circumstances, the stock broker may deem fit.

The client agrees that the loss(s) if any, on account of anyone or more steps as enumerated herein above being taken by the stock broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the stock broker.

6. Shortages in obligations arising out of internal netting of trades

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/ clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/ its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a. The securities delivered short are purchased from market on T+3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client.

- b. If securities cannot be purchased from market due to any reason whatsoever on T+3 day they can be covered from the market on any subsequent trading days. In case any reason whatsoever (any error or omission) any delay in covering of securities leads to higher losses, stock broker will not be liable for the same. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- c. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day
- d. The Short delivering client is debited by an amount equivalent to higher of 10% above the official closing price on the auction day OR the highest traded price from first trading day of the settlement till the auction day and the amount shall be credited to the short purchasing client.

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

We have margin based RMS System. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability/ shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/ close out without giving notice due to shortage of margin/non making of payment for their pay-in obligation/outstanding debts.

8. De-registering a client

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- i. If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
- ii. If there is any commencement of a legal process against the Client under any law in force;
- iii. On the death/lunacy or other disability of the Client;
- iv. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- v. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended/changed unilaterally by the broker, provided the change is informed to me/us with through anyone or more means or methods such as post/speed post/courier/registered post/registered AD/facsimile/telegram/cable/e-mail/voice mails/telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees/agents of the stock broker; by publishing/displaying it on the website of the stock broker/making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch/office through which the client trades or if the circumstances, so require, by radio broadcast/ television broadcast/newspapers advertisements etc; or any other suitable or applicable mode or manner. I/we agree that the postal department/the courier company /newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department/the courier company/the e-mail/voice mail service provider, etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute/ difference or claim between me/ us and stock broker before any court of law/judicial/adjudicating authority including arbitrator/ mediator etc.

- vi. If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
- vii. If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- viii. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- ix. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- x. If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
- xi. If the Client is in breach of any term, condition or covenant of this Agreement;
- xii. If any covenant or warranty of the Client is incorrect or untrue in any material respect; However notwithstanding any termination of the agreement, all transactions made under/pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Stock Broker.

9. Policy regarding treatment of inactive accounts:

When Trade is not done in an account for more than 12 months, Stock Broker reserves the right to temporary suspend the operations. The Management may allow operations in such account after making such verification as it deems fit. The balance of securities/funds will be transferred to client after due verification.

For and On Behalf of Constituent


 Client Signature

Name : _____

POLICIES AND PROCEDURES FOR COMMODITY MARKET

1. Refusal of orders for Commodity Derivatives :

The client is aware and agrees that the Commodity broker may refuse or restrict a client in placing the order in certain commodities depending on various conditions like volume / value / part of illiquid commodities although a client may have credit balance or sufficient margin in the trading account. However, Commodity broker under exceptional circumstances may execute client's order. The Commodity broker has the discretion to reject execution of such orders based on its risk perception.

2. Setting Up client's Exposure Limit :

The client is aware and agrees that the Commodity broker may set the Exposure limits on the basis of available base capital which may comprise of Ledger and collaterals (after suitable margin hair cut). The limits may be allowed on a multiplier basis to the available capital or actual VAR margin basis or a specified margin depending on the Market conditions. Client agrees that said limit parameters is a dynamic process that is allowed at the discretion of the Commodity broker based on the market conditions and their risk perception about the market. However on exceptional situations broker may use its own discretion in providing the limits and may change for a client or for all depending on market condition.

3. Applicable Brokerage Rate:-

- a) The Commodity broker is eligible to charge brokerage with respect to transactions effected by it in various segment as mentioned herein below -

Delivery based- The maximum brokerage rate for the time being shall be 2 % (plus expenses) in case of transactions resulting into delivery.

Non-delivery based - The maximum brokerage rate for the time being shall be 1 % in case of non-delivery transactions.

- b) The Commodity broker may charge different Brokerage for Deliverable and Intraday transactions.
- c) Brokerage shall be charged on the premium amount at which the options contract was bought or sold and not on the strike price of the option contract. Maximum permissible brokerage rate is 2.50% of premium amount or Rs. 250/- per lot, whichever is higher.
- d) The client is aware that any request for change in the brokerage rate has to send in writing to the Branch who in turn will forward the request to Head Office of the Commodity broker. Acceptance / rejection of such request is at the discretion of Commodity broker.
- e) Other Levies, charges, service tax etc. will be charged on Brokerage as per the Rules prescribed by the Government / Regulatory Agencies. All the above charges and levies debited to clients would be mentioned in the Contract Note send to client.

4. Imposition of Interest on Outstanding debit and margins :

The client is required to pay all amounts due to the Commodity broker on its due date. The amount due to broker shall include all type of Margin and Pay-in obligation or on account of any other reason.

In case the client does not pay the amount due on time, the Commodity broker shall charge delayed payment charges up to the rate of 2% per month on the daily outstanding value or at such rates as may be determined from time to time by the Commodity broker. In case of Commodity market, interest will be charged from the time it become due till the time obligation is cleared by the client. The objective of charging such a charge is to force a client to clear their dues on a timely basis.

The client agrees that the Commodity broker may impose fines/penalties for any orders / trades of the client which are contrary to this agreement / rules / regulations of the Exchange.

Further, under the instances where the Commodity broker has been penalized from any Authority on account of / as a consequence of orders /trades of the client, the same shall be borne by the client.

5. The right to sell client's commodity derivative position or close client's positions, without giving notice to the client, on account of non-payment of client's dues :

The Client shall provide timely funds/Securities /commodities for the purchase/sale of commodities to the Broker for meeting his obligation to the Exchange. In case of client falling short of providing fund/commodities the Commodity broker has the right to close the positions. The Commodity Broker has the right to sell client's securities or close clients position with or without giving prior notice to client on account of non-payment of dues to the extent of Ledger debit and/or to the extent of Margin obligation. The broker can liquidate the securities bought or collaterals given or any other Commodities given in any other form for clearing the clients obligation.

6. Shortages in Obligation Arising out Of Internal Netting of Trades :

The internal close out policy for handling internal shortages in Commodities is in line with the exchange policy for handling shortages at exchange level. Apart from this the seller will be additionally debited by 0.50% penalty. Thus, the buyer will get the credit of the shortage based on the calculation given by exchanges and the Seller will be debited by the same amount + 0.50% penalty.

7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client :

In case overall position in derivatives contracts has reached the Regulators prescribed Exchange limit / Market Wide Open Interest limit, then client may not be allowed to take further position, till such time Regulator prescribed limits comes down to create a new position.

Further, the Commodity broker may close the existing position of a client to the extent of Debit balances to release the Margin from the Exchange. In case if the Commodity broker has sufficient Margin cover on behalf of its client, it may still decide based on the market conditions and risk perception not to allow further position or may close the existing position of a client.

8. Temporary Suspension/Closure of Accounts :

The client may request the Commodity broker for temporary suspension/closure of his trading account by sending a written request to Branch. This request will be in turn sent by Branch to Head Office for further processing where after verification of the client details, the trading account of the client will be suspended.

The client would be required to clear all his dues / settlement of obligations before his account is temporarily suspended. The client may also be required to fulfill other conditions, on a case to case basis.

The Commodity broker can withhold the payouts of client and suspend/close his trading account due to any internal / regulatory action. Upon Suspension/closure of trading account an intimation will be sent to the client within 15 days of suspension.

9. Deregistering a client :

In addition to what the client has agreed in the agreement, the Commodity broker may terminate a client with immediate effect, but not limited to the following reasons - If the client is debarred by SEBI or any other regulatory authority

As a part of surveillance measure, if a client appears to be indulging in manipulative practices.

Under the circumstances when there is a reasonable ground to believe that the client is unable to clear its dues or has admitted its inability to pay its debt. If the client violates any of the terms of the agreement.

10. Treatment of Inactive Clients :

ASPL identifies such client codes / trading accounts that are in-operative for a minimum period of preceding 12 months.

Accordingly, such trading accounts are made inactive in the Trading System and an Email/letter/SMS or by way of any other mode the client is informed about the status of his trading account maintained with us. Further, if the client has any dues/ obligation to ASPL, then any Commodities/securities bought or collaterals given or any other securities/commodities. Given by the client in any other form for clearing his obligation; will be adjusted and the balance would be returned to the client.

For re-activation of such trading account, the client shall be required to make a request to reopen the account and submit all necessary information with regard to updation of his / their KYC requirement. ASPL upon verifying at its end may activate client's trading code in the Trading System and an email/letter/SMS or by way of any other mode the client is informed about the status of his trading account. Upon re-activation the stock broker may execute the order on behalf of its client. Also, after reactivation, transactions on the basis of certain parameters are confirmed over telephone with clients, if such transactions are executed after a gap of such period of 6 months.

11. Client acceptance of Policies and procedures mentioned here in above - I /we have fully understood and agree to sign the same. Above policies and procedures may be amended / changed unilaterally by the stock broker provided the same is intimated via email / writing or reflected in the client's login.

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Client Signature

TARIFF SHEET (BROKERAGE CHARGES)**CASH SEGMENT**

Brokerage Slab	Slab in %	Minimum per Share
Delivery Based		
Square off		

F & O SEGMENT

Brokerage Slab	Slab in %	Minimum per Lot
Futures		
Options		



CURRENCY DERIVATIVES SEGMENT

Brokerage Slab	Slab in %	Minimum Brokerage per Lot
Futures		
Options		

COMMODITY SEGMENT

BROKERAGE		FIXED%	MINIMUM
Commodity Market	Intraday		
	Delivery		
		FIXED%	PER LOT
	Option		

Note:

- Transaction charges, STT, Stamp Duty, GST, Clearing Member charges and all legal levies as may be applicable from time to time shall be charged separately in addition to the brokerage.
- If any cost (Courier, DP charges etc.) is incurred on the behalf of client, same shall be charged from the client account on actual basis. DP Charges Rs. 10/- per scrip (Exclusive of GST).
- In case of overdue debit balance in client's account, member reserves the right to debit delay payment charge upto 2% p.m. to the client account.
- In case Diet ID has been provided to the client a ID Charge @ _____ % of turnover or Rs _____ /- per month per segment shall be charged extra.  11
- Charges/ service standards are subject to revision at sole discretion of Ashlar Securities Pvt. Ltd.,
- Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- Call and Trade Charges to be applicable for Online clients at Rs. 20/- per trade. (Exclusive of GST).
- Additional Statement of Holding/Transaction/P&L/Net Position shall be charged @ Rs. 2/- per Page + Postage.
- Non periodic statement & other communications shall be charged @ Rs. 20/- per mail.
- Any Modification in client profile will be charged @ Rs. 20/- per modification.  12

Client Signature

DISCLOSURE REGARDING PROPRIETARY TRADING**SUBJECT : DISCLOSURE REGARDING PROPRIETARY TRADING**

Date : _____

As required under Circular No. SEBI / MRD / SE / Cir-42 / 2003 dated 19.11.2003 issued by the Securities and Exchange Board of India; I/We hereby disclose that in addition to client-based business, I/We am/are also doing proprietary trading.

☐ I/we acknowledge the above information.
For Ashlar Securities Pvt. Ltd. 13

Client Signature

Authorised Signatory**PMLA DECLARATION**

I/We _____ having the trading code no. _____ with Ashlar Securities Pvt. Ltd. confirm and declare that I/We have read and understood the contents and the provisions of the PMLA Act, 2002 and it was also explained by Ashlar Securities Pvt. Ltd. official. I/We further declare that I/we shall adhere to the rules and regulations and requirements mentioned in the PMLA Act, 2002.

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Client Signature

DECLARATION LETTER

To,

Ashlar Securities Pvt. Ltd.

Date : _____

Regd. Office : A-38, Sector-67, Noida-201301

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

Subject : Self Declaration for Participants in Commodity Derivatives Market

I a client with member **M/s. Ashlar Securities Pvt. Ltd.**
of NSE, BSE, MCX & NCDEX Exchange hereby give my declaration for my category as asked by SEBI vide its circular
 SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 dated January 4, 2019

- ☐ Farmers/FPOs
- ☐ Value chain participants (VCPs)
- ☐ Proprietary traders
- ☐ Domestic financial institutional investors
- ☐ Foreign participants
- ☐ Others

Client Name :

Unique Client Code :

PAN :

Address :

.....

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Client Signature

ELECTRONIC CONTRACT NOTE (ECN) DECLARATION (for NSE, BSE, MCX, NCDEX)

To,

Ashlar Securities Pvt. Ltd.

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

Date _____

Dear Sir,

I/We _____ a client with member **M/S. ASHLAR SECURITIES PVT. LTD.**
 of _____ Exchange undertakes as follows:

- I/We am/are aware that the member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself want the same in the electronic form.
- I/We am/are 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/We find that it is inconvenient for me/us to receive physical contract notes. Therefore, I/We am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ ordered by me/us.
- I/We have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operation.
- My/our email id is* _____.
This has been created by me/us and not by someone else.
- I/We am/are aware that this declaration form should be in English or in any other Indian language known to me/us.
- I/We am/are 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.
- I/We am/are aware that this authorisation can be revoked any time by giving a notice in writing.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me/us. I/We am/are 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)

Client Name: _____

Unique Client Code : _____

PAN: _____

Address : _____

 16 _____

Client Signature

Date : _____ Place: _____

Verification of the client signature done by,

Name of the designated officer of the Member _____

Signature _____

LETTER OF AUTHORISATION

To,
Ashlar Securities Private Limited
 Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)
 Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

Dated :

Sub : Letter of Authority - NSE/BSE/MCX/NCDEX (All Segment)

I/We am/are dealing in securities with you at NSE/BSE/MCX/NCDEX in Capital Market Segment, F&O Segment, Currency Derivatives Segment and Commodity Segment and in order to facilitate ease of operations and upfront requirement or margin for trade. I/ We authorize you as under :

1. Running Account:

- a. 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) of any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/We instruct you otherwise.
- b. I/We request you to settle my fund available in running A/c after making necessary retention as per frequency option given below:-
☐ Once in a 30 days
☐ Once in every 90 days
 except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
- c. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite funds towards my settlement/margin obligations and may also retain the fund expected to be required to meet future margin obligation calculated in the manner specified by the exchanges.
- d. I/We confirm you that I/We shall bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably 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.
- e. This Running account authorization would continue until it is revoked by me by giving a notice in writing.

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2. Pledge of securities with Stock Exchange / Clearing Corporation / Clearing House / Clearing Member against Margin Obligation :

As stipulated in the SEBI Circular No. SEBI/HO/MIRSD/DOP/CIR/P/20 dated February 25, 2020, the Stock brokers are allowed to maintain following demat accounts only namely;

- i. 'Pool account' (including 'Early Pay-in')
- ii. 'Client Unpaid Securities account' and
- iii. 'TM/CM Client Securities Margin Pledge account'.

Accordingly, the securities / collaterals to be given as margin shall be pledged to "TM/CM Client Securities Margin Pledge account" maintained by the Trading Member/Clearing Member and TM may pledge these securities / collaterals to Clearing Member (CM) / Clearing Corporation (CC) / Stock Exchange towards my / our margin obligations.

For this purpose I / We hereby agree and authorise:-

- a. The Trading Member / Clearing Member to pledge securities / collaterals provided against margin by me to the Clearing Member / Clearing Corporation / Stock Exchange.
- b. The Trading Member / Clearing member to exercise first priority lien on the securities / collaterals so pledged.

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- c. The Trading Member / Clearing Member / Clearing Corporation / Stock Exchange to invoke pledge without any prior reference to or permission and upon receipt of said securities, utilise same in the manner as deemed fit In case of my / our unpaid margin / settlement obligation.
- d. The Trading Member / Clearing Member to do all such act and things and sign all such documents and deeds as may be necessary for the purpose of pledging securities / collaterals with Clearing Member / Clearing Corporation / Stock Exchange.
- e. The Trading Member / Clearing Member to recover the all the cost paid and incurred in relation to and for pledging the securities with Clearing Member / Clearing Corporation / Stock Exchange.

It is hereby confirmed that all the existing securities / collaterals provided me / us are actually owned me / us and are free from any charge, lien or encumbrance. Further all the securities / collaterals to be provided in future would be the securities / collaterals owned by me / us at the time of creation of pledge and would likewise free and unencumbered.

3. Delivery of order/ trade confirmation/ cancellation:

- a. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
- b. I/We hereby authorize 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 and confirmation issued by you.

4. Electronic Mode of delivery:

- a. I/We request that you may send/ Dispatch me contract notes other documents through E-mail: on my designated E-mail address of..... I/We stress that I/we will not hold you responsible under any circumstances in the event of an E-mail which you send gets bounced due to any reason such as mail box being full, inactive account or due to any technical reason beyond your control.
- b. **Log Report :** I/We will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of E-mail to me and will not dispute the same.
- c. **Change in E-mail Id:** I/We will inform you any change in my E-mail, if any, in future, in physical mode by registered post or by hand delivery or through E-mail from my registered email address.

5. Fines & Penalties:

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All fines/penalties and charges levied upon you due to my acts / deeds or transactions may be recovered by you from my account.

6. Charges & Balance Maintenance:

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I/We have a Trading As well as depository relationship with Ashlar Securities Pvt. Ltd. Please debit the charges relevant with depository services from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my/our trading account / pay adequate advance fee for the said reason.

7. Set off of outstanding:

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I/We authorize you to set off outstanding in any of my / our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange and / or against the value of cash margin or collateral shares provided to you by me / us. I further authorise you to debit the financial charges @ 18% per annum of the outstanding debit balance, if any, in my account and not settled as per the exchange requirement.

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- 8. I/We am/are aware that I/We may not opt for any of the above authorisation by striking off the same. Further, I/We am /are aware that above authorisation is voluntary on my/our part and that I/We can revoke this authorisation at my point of time during the operation of my/our trading account with you by giving you a notice in writing.

* Strike off the clauses not relevant to you.

Thanking you,
Yours faithfully,

For and On Behalf of Constituent

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Client Signature

Name : _____

NSE - MFSS FACILITY CLIENT REGISTRATION FORM

To,

Ashlar Securities Private Limited

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

Date.....

Sir,

Sub : Mutual Fund Service System (MFSS) facility

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market Segment of National Stock Exchange of India Ltd. (Exchange).

I/We am/are interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange.

For the purpose of availing the MFSS facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated 24 November, 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Funds Schemes with respect to which I/we choose to subscribe/redeem. I/we further agree to abide by the terms conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the MFSS.

Thanking you,

Yours faithfully,

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Client Signature

Name of Client : _____

DETAILS OF TERMS & CONDITIONS FOR THE INVESTOR / CLIENT FOR USING NEW MFSS FACILITY**1. Pre-requisites for becoming Investor / Client for the New MFSS facility**

- 1.1. The client who is desirous of investing in units of mutual fund schemes through the New MFSS.
- 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New MFSS.
- 1.3. The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transacting through the Participant.
- 1.4. The Client has approached to the Participant with the application for availing the New MFSS facility.
- 1.5. The Client has submitted relevant KYC (Know Your Client) details to the Participants

2. Terms and Conditions

- 2.1. The client shall be bound by circulars issued by NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 2.2. The client shall notify the Participant in writing if there is any change in the information in the 'Client Registration Form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS or at any time thereafter.
- 2.3. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
- 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
- 2.6. The client shall ensure continuous compliance with the requirements of the NSEIL, SEBI and AMFI.
- 2.7. The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
- 2.8. The client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- 2.9. In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL or NSCCL.
- 2.10. In case of any dispute between the Participants and the investors arising out of the MFSS facility, NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

AUTHORISATION FOR VALUE ADDED SERVICES

To,

Ashlar Securities Private Limited

Date.....

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

Name _____

Login ID _____

Dear Sir/Madam,

I want to avail the below mentioned facilities through SMS over my Mobile No. 0

A) I/We wish to avail the SMS/Email alert facility offered by respective exchanges showing details of my daily transactions executed through Ashlar Securities Pvt. Ltd. (ASPL) on my e-mail id/mobile no. provided in KYC Form. **Yes** ☐ **No** ☐

(The above facility is provided by Exchanges and will be activated once the details are verified by Exchanges and confirmed by you)

B) I wish to subscribe for value added services on registered mobile number : **Yes** ☐ **No** ☐

I want to avail the below mentioned facilities through SMS over my above mobile no. & make an informed decision by availing the following facilities :

- Net position of your top five stocks
- Updates on your stock prices during market hours
- Updates on Ledger Balance on daily basis

C) 1. I wish to use online Trading Software **Yes** ☐ **No** ☐

2. I hereby authorize to send system generated password by SMS : **Yes** ☐ **No** ☐

- i. Please send my system-generated, internet account first time as well as subsequent, password on the above mobile numbers. Also, if I ever need to reset the Password later, the same should also be sent by SMS on the above given mobile number. As soon as I receive the system-generated Password, I shall login and change it for security reasons. I am aware that system-generated Password will automatically expire in 72 hours from the time of sending.
- ii. In the event that I do not receive the Password on SMS within 24 hours of opening of account or request for reset of Password, I shall contact the Customer Service Department of the ASPL immediately and request for re-setting of my Password.
- iii. I have been explained that I shall set my new Password as may be easy to remember for me, but should not be easy to decipher the anybody else and should be preferable alpha-numeric and not my or any family member's name/surname.
- iv. I am fully aware of the risk of electronic loss/theft and agree to be solely liable and responsible for the same as well as for any unauthorized use/misuse of the Password. I understand ASPL will not be responsible or liable in the manner whatsoever for the same.

Declaration :

- i. I also confirm that the above mobile number shall be updated in all your records and databases including trading and demat account.
- ii. I declare that the above is my personal mobile number and is always in my safe custody. I shall keep ASPL informed of any change in my mobile number immediately for updating the same in databases. I am aware that without intimation for change in mobile number, ASPL would not be able to send my Password over new mobile number and also would not be able to update in records and databases.
- iii. I am aware that in case of change in my mobile number anytime after opening of this account, it is mandatory for me to submit the photocopy of a latest/last two months Mobile bill for postpaid connection. If I have prepaid connection then I have to visit personally to the Branch/FANs alongwith my ID proofs (E.g.: Pan Card or Driving License) and get the documents verified by the branch officials.
- iv. I will be solely responsible for the security of the information provided on my aforesaid mobile number. Further, I agree and undertake to indemnify ASPL and its group companies, that they will not be held liable/responsible for any losses, claims, damages, cost and liabilities etc., caused to me due to misuse of this information or pursuant to any litigations, non-litigations cases, complaints, actions, etc. that may arise in future on account of my above authorization request.

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Client Signature

Name of Client : _____ Client Code : _____

UNDERTAKING TO ACT IN OWN CAPACITY

I/We do hereby solemnly affirm and declare as under :

1. That my/our registration with ASHLAR SECURITIES PVT. LTD. (ASPL) is in individual capacity and is for transacting on my/our own account. And that no one expect myself/ourself has/have and interest in the account with ASPL.
2. That I/We shall not be acting further as an intermediary / sub-broker in any manner whatsoever for the transactions executed in any segment of any security exchange(s) in my/our account with ASPL.
3. That I/We further state that if anybody on my/our behalf makes claim of any amounts / securities on account of the transactions in my/our account, the said act shall be null and void and shall be ineffective from all corners.
4. In case ASPL finds that I/We am/are as an un-registered Sub-broker, ASPL can immediately cancel my/our account with them and adjust all credit against my/our liabilities.
5. That I/We shall inform ASPL any of my/our registration in any capacity with any other member of the exchange(s) to transact on the same segment as at ASPL.
6. I/We shall not make any payment to ASPL drawn on the account of any third party whether related to me/us or not. All payments to my/our above A/c shall be from accounts that stand in my/our own name.
7. I/We shall not make any cash payment to ASPL nor shall I/We insist on any sales person/business associate to accept cash in lieu of cheque/demand draft. I/We understand that ASPL does not accept cash from clients and therefore any cash payment made by me/us to any staff shall be at my/our sole risk and I/We absolve ASPL of all liability and claim that may arise from any cash payment made by me/us.
8. I/We understand that cash and third party payment of any kind are prohibited under rules of Exchange if despite this I/We make any cash/third party payment in my/our trading A/c or to any sales person / business associate I/We shall render myself liable to criminal / civil action from ASPL. I/We shall also indemnify ASPL from all claims, loss, liability that incur on account of any cash/third party payment made by me/us in my/our trading account with ASPL.
9. I/We have been made understood by ASPL that it does not permit any of its employee to place any discretionary orders in the account of any client therefore I/We must not authorise any of ASPL's staff member to place any discretionary order under any circumstances in my / our trading account and that ASPL limits its liability in the event of I/we giving any such authorisation to any of the Employee of ASPL.
10. I/We hereby absolve ASPL from all liability claims that arise from bonafide mistake typing errors etc. that occur in ordinary and regular course of business I/We shall not initiate any legal action without first intimating in writing my grievance to the Corporate Office at Delhi.

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Client Signature

Client Name _____

Client Code _____

FOR REGISTRATION AND VERIFICATION OF MOBILE NUMBER AND E-MAIL ADDRESS

To,

Date _____

The Compliance Officer**Ashlar Securities Pvt. Ltd.**

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

Member Id's :

13718 (NSE)

3302 (BSE)

56815 (MCX)

1299 (NCDEX)

I/We am/are aware that NSE, BSE, MCX and NCDEX provide SMS/email alerts to the constituents (clients) of its member for trades executed on its platform. I/We hereby provide and confirm my/our mobile number and/or email address as stated below for the purpose of receipt of SMS/email alerts.

- I/We want to receive transaction alerts in SMS as well as email from Exchanges.
- I/We want to receive transaction alerts only in SMS from Exchanges.
- I/We want to receive transaction alerts only in Email from Exchanges.
- I/We do not want to receive any transaction alerts from Exchanges, specify reason

.....

The alerts should be sent on :

Mobile number (enter 10 digit mobile no.)

--	--	--	--	--	--	--	--	--	--

E-mail Id.....

I/We agree to the terms and conditions specified by the Exchange in its circular no. SEBI/4/2012/C/13 dated 02/02/2012 as modified from time to time. I/We am/are aware that the receipt of SMS/E-mail alerts on the above mobile number and/or email address can be stopped only on my/our written request.

 27

Client Signature

REQUEST FOR TRADING IN COMMODITY FORWARD CONTRACTS / COMMODITY DERIVATIVES ON NCDEX / MCX

To,

Ashlar Securities Pvt. Ltd.

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

Date _____

Dear Sir,

Subject : My / Our request for trading in commodity forward contracts / commodity derivatives on MCX / NCDEX as your client

I/We, the undersigned, have taken cognizance of relevant circulars issued by exchanges on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits as may be prescribed from time to time by MCX / NCDEX or Forward Markets Commission and such position limits will be calculated in accordance with the contents of above stated circular of MCX / NCDEX as modified from time to time.

I/We undertake to inform you and keep you informed if any of my/our partners/directors/karta/trustee or any of the partnership firms/companies/HUF's/Trusts in which I/We or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on MCX / NCDEX through you or through any other member(s) of MCX / NCDEX to enable you to restrict our position limit as prescribed by the above referred circular of MCX / NCDEX 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 clients on MCX / NCDEX only on the basis of our above assurances and undertaking.

I/We also confirm that my/our account in your company may be debited with the amount of penalty imposed by MCX / NCDEX for violating of norms of open position limits then ever any consequences arises.

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Client Signature

Client Name : _____

Client Code : _____

DECLARATION OF FAMILY MEMBERS

To,

(To be taken from all family members)

Ashlar Securities Pvt. Ltd.

Date _____

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

Subject: Declaration of Family Members

Dear Sir,

I/We, _____ having trading Account bearing client code _____ with you. I / We would like to inform you that my under mentioned family members are also maintaining trading accounts with you.

Sl.No.	Name of Members	Trading Code	Relation with Account Holder

I / We request you to kindly consider my / our designated Mobile No.: _____ as Common Mobile No. in case of all the above family members for all communication in respect of any of the above family accounts.

I / We further request you to consider my / our designated Email Id: _____ as Common Email Id in case of all the above family members for all communication in respect of any of the above family accounts.

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Client Signature

DECLARATION, INDEMNITY CUM UNDERTAKING FOR NAME DISCREPANCY IN PAN CARD, BANK PROOF & ADDRESS PROOF**Ashlar Securities Pvt. Ltd.**

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

Date _____

I/We _____ s/o, w/o, d/o _____

_____, refer to my/our Trading Account

_____ with Ashlar Securities Pvt. Ltd. (ASPL) do hereby affirm, declare and undertake that

1. That my/our name as it appears on my/our Pan Card is _____
2. That my/our name as it appears on the Income Tax website is _____
3. Additional ID Proof _____
4. That my/our name as it appears on the Address proof is _____
5. That my/our name as it appears on the Bank Proof is _____
6. That above mentioned names, on Trading account, Tax website, Address proof, PAN Card No. _____ and Bank account bearing no. _____ are mine alone.
7. That I/We hereby request ASPL to maintain my/our name in Demat and Trading account as per the name appearing on the website / PAN card.
8. That I/We promise and undertake to get my/our PAN card altered in accordance with my/our name as appearing on the Income tax within 45 days from the date of signing this undertaking. ASPL may, at its sole discretion, terminate my/our trading and demat account in the event of me/us not getting my/our name altered within 45 days of signing this undertaking.
9. That I/We further undertake to open a bank account in accordance with the name as appearing on the Income Tax website week from the date of signing this undertaking.
10. I/We further undertake that in case my/our name has been changed after approval from government authorities and notification gazette. I/We shall get the name change effected in PAN, Bank account etc. and furnish immediately to ASPL.
11. That I/We further declare that I/We am/are responsible and I/We shall indemnify & keep indemnified ASPL, its directors, officers, employees, agents from and against any and all losses, claims, liabilities, obligations, damages, deficiencies, judgements, action proceedings arising out or in relation to corporate benefits, IPO refund, Foreign Exchange Management Act (FEMA) transfer, dematerialization of securities, rematerialization of securities, dividends, interest etc., that may arise out Declaration-cum-undertaking and/or acting on this basis.

That the contents of this declaration, Indemnity-cum-undertaking have been explained to me/us in vernacular and I/We have understood before signing it. That this declaration, Indemnity-cum-undertaking given by me/us to ASPL is by my/our absolute free will and not by coercion, undue influence, pressure etc., and at present I/We am/are having sound health and mind.

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Client Signature

BANKER'S VERIFICATION

To,
Ashlar Securities Pvt. Ltd.

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

Date _____

Dear Sir,

This is to certify that the savings / current account no. _____ of
Mr. / Ms / M/s. _____ held
jointly with Mr./Ms/M/s. _____ with our branch, has
been active since _____.

We confirm that the signature of the client agrees with the specimen held in our records. This verification is without any responsibility on the part of the bank or the signing officer.

Signature of Client _____

signed in my / our presence and attested by me / us

Bank Name & Address	
Name & Signature of Authorised Signatory	
Stamp of the Bank Branch	

 31
Client Signature

ADJUSTMENT IN DIFFERENT EXCHANGES / ACCOUNTS

To,
The Manager Accounts,
Ashlar Securities Pvt. Ltd.

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

Date _____

Sub : Adjustment in different Exchanges / Accounts maintained with you

Dear Sir,

I/We executed/desire to execute an agreement with Ashlar Securities Pvt. Ltd. for trading on the National Stock Exchange of India Ltd. (NSE) and Bombay Stock Exchange Ltd. (BSE) and Multi Commodity Exchange of India Ltd. (MCX) and National Commodity & Derivatives Exchange Ltd. (NCDEX) and National Depository Services (India) Ltd. (NSDL) in Security Market. In this regard, I/We hereby request you to treat the agreement between us whether in NSE/BSE/NCDEX/MCX or NSDL, as coextensive and I/We hereby authorize you to transfer, make adjustments and/or to set off a part or whole of the securities / Commodities placed as margin and/or any surplus funds in any of my account/(s) maintained with you i.e. either in NSE/BSE/NCDEX/MCX or NSDL against the outstanding dues payable if any, by me/us in any of my/our account/(s) maintained with Ashlar Securities Pvt. Ltd. or vice versa, notwithstanding anything contrary contained in the agreement between us. Ashlar Securities Pvt. Ltd. shall have right of lien on the credit balance in any of my/our accounts. Any entries passed by you in accordance with this authorization shall be binding on me/us.

Thanking You,
Yours Faithfully,

 32
Client Signature

Name _____

Address : _____

Client Code : _____

AADHAAR CONSENT LETTER

To,

National Commodity & Derivatives Exchange Limited

1st Floor, Akruti Corporate Park, LBS Road,
Kanjur Marg (West), Mumbai-400078

Date : _____

Subject : Consent to use Aadhaar Card Copy

Ref.: Application for New Membership/KYC/AP Registration

Dear Sir,

I the undersigned _____, understand that I can submit either of the following document copy as an address proof for registration.

- a. Voter ID Card
- b. Driving License
- c. Passport
- d. Aadhaar Card
- e. Utility Bills

I willingly give my consent to NCDEX to accept copy of my Aadhaar card and proceed with the referred application.

Thanking you,

Yours Sincerely,

 33

Client Signature

Client Name : _____

DECLARATION OF HUF BY KARTA

(To be filled in case of HUF A/c only)

Please fill in for a HUF

As our HUF firm wishes to open Trading and/or Demat account with you in the said name _____ we beg to say that the first signatory to this letter, i.e., _____ is the Karta of the Joint Family and other signatories are the adult co-parceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said Karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to you from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the Karta, including the share of minor co-parceners.

In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said Act.

We hereby undertake to inform you of the death or birth of a co-parcener of any change occurring at any time in the membership of our joint family during the currency of the account.

S.No.	Name	Gender (M/F)	Relationship with Karta	Date of Birth								Signature
1				D	D	M	M	Y	Y	Y	Y	
2				D	D	M	M	Y	Y	Y	Y	
3				D	D	M	M	Y	Y	Y	Y	
4				D	D	M	M	Y	Y	Y	Y	
5				D	D	M	M	Y	Y	Y	Y	
6				D	D	M	M	Y	Y	Y	Y	

Name & Signature of Karta

For _____ (HUF)
Karta

* Please attach separate annexure, if the space provided is not sufficient.

* Please stamp and sign.

DECLARATION BY SALES PERSON/AUTHORISED PERSON (for the use of ASPL only)

Date :

To,

Ashlar Securities Private Limited

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

Dear Sir,

This is in reference to the trading account under consideration in the name of.....

R/o....., I declare that I have met the above captioned person personally & have verified copy of under mentioned KYC documents with original, which is enclosed with account opening form & I also confirm that client has signed at the designated places in this form in his/her own hand in my presence.

The following KYC documents are checked and verified from the original documents :

1.
2.
3.
4.
5.
6.
7.

Date of verification of documents :

The above statement is true and correct and made under my own free mind without having any coercion, misrepresentation or fraud.

Name of the person :

Signature :

Employee / Branch Code :

For office use :

Name of Officials :	
Remark :	

**DEMAT ACCOUNT
OPENING FORM
NSDL**



ASHLAR SECURITIES PVT. LTD.

(DEPOSITORY PARTICIPANT - NSDL) DP ID IN303921 • SEBI Regn. No. : IN-DP-236-2016

Regd. Office : A-38, Sector-67, Noida-201301, Ph.: 0120-6633200

Corp. Office : Plot No. 25/4, Ground Floor, Vishwas Nagar, Delhi-110032

E-mail : dp@ashlarindia.com Website : www.ashlarindia.in

PART II - ACCOUNT OPENING FORM (FOR INDIVIDUALS)

(To be filled by the Depository Participant)

Client ID										Date	D	D	M	M	Y	Y	Y	Y
-----------	--	--	--	--	--	--	--	--	--	------	---	---	---	---	---	---	---	---

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)

A. DETAILS OF ACCOUNT HOLDER(S)

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Occupation (Please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional	<input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Pl. Spcify)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional
Brief Details			

B. For 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 Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below :

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

C. TYPE OF ACCOUNT

<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> Margin	<input type="checkbox"/> Promoter
<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Others (Specify)_____

D. GROSS ANNUAL INCOME DETAILS

Income Range per annum (please tick any one)			
<input type="checkbox"/> Below Rs. 1 Lac	<input type="checkbox"/> Rs. 1 - 5 Lac.	<input type="checkbox"/> Rs. 5 - 10 Lac	
<input type="checkbox"/> Rs. 10 - 25 Lac	<input type="checkbox"/> More than Rs. 25 Lac		

E. In Case of NRIs/Foreign Nationals

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

F. BANK DETAILS

1.	Bank Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other (Pl. Specify) _____											
2.	Bank Account Number												
3.	Bank Name												
4.	Branch Address												
		City/Town/Village						Pin Code					
		State								Country			
5.	MICR Code												
6.	IFSC												

G. Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP)

H. STANDING INSTRUCTIONS

1.	I/We authorise you to receive credits automatically into my/our account	<input type="checkbox"/> Yes <input type="checkbox"/> No	
2.	Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes <input type="checkbox"/> No	
3.	Account to be operated through Demat Debit and Pledge Instruction (DDPI)	<input type="checkbox"/> Yes <input type="checkbox"/> No	
4.	Standing Instruction for Auto Pledge Confirmation	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I/We have read and understood the Securities and Exchange Board of India's guidelines on pledging of shares in dematerialised form as regulated by SEBI (Depositories and Participants) Regulations, 1996 and Depositories Act, 1996.			
5.	SMS Alert facility : [Mandatory if you are giving Power of Attorney (PoA/DDPI). Ensure that the mobile number is provided in the KYC Application Form]		
	Sr. No.	Holder	Yes
	1.	Sole / First Holder	<input type="checkbox"/>
	2.	Second Holder	<input type="checkbox"/>
	3.	Third Holder	<input type="checkbox"/>
6.	Mode of Receiving Statement of Account (Tick any one)	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form (Read Note 3 and ensure that email ID is provided in KYC Application Form)	
7.	I/We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No	
8.	For joint accounts, communication to be sent to (See Note 5)	<input type="checkbox"/> First Holder <input type="checkbox"/> All Joint Account holder	

I. GUARDIAN DETAILS (where sole holder is a minor) :

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]												
Guardian Name												
PAN												
Relationship of Guardian with Minor												

J. NOMINATION OPTION

☐ I/We wish to make a nomination
(Details are provided in Nomination Form
prescribed by SEBI)

☐ I/We wish to opt out of a nomination
(Declaration Form opting out of nomination
as prescribed by SEBI)




K. MODE OF OPERATIONS FOR JOINT ACCOUNTS

☐ 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 operations 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.

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 "Right and Obligations of the Beneficial Owner & Depository Participant".

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

ACKNOWLEDGEMENT**ASHLAR SECURITIES PVT. LTD.**

(DEPOSITORY PARTICIPANT - NSDL) DP ID IN303921 • SEBI Regn. No. : IN-DP-236-2016

Regd. Office : A-38, Sector-67, Noida-201301, Ph.: 0120-6633200

Corp. Office : Plot No. 25/4, Ground Floor, Vishwas Nagar, Delhi-110032

E-mail : dp@ashlarindia.com Website : www.ashlarindia.in

Received the application from M/s. _____ as the sole/first holder along with
_____ and _____ as the sole/first holder
respectively for opening a depository account. Please quote the DP ID and Client ID allotted to you in all your future correspondence.

Date :

Participant Stamp & Signature

NOMINATION FORM - DEMAT ACCOUNTS

(Annexure-A)

To,

Ashlar Securities Private Limited

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.)

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

(To be filled in by individual applying singly or jointly)



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

DP ID								Client ID							
-------	--	--	--	--	--	--	--	-----------	--	--	--	--	--	--	--

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

NOMINATION DETAILS

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me/us in the said beneficiary owner account in the event of my / our death.

Nomination can be made upto three nominees in the account		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the nominee(s) Mr./Ms.)			
2.	Share of each Nominee <div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">Equally</div> <div style="font-size: 0.8em;">[If not equally, please specify percentage]</div> </div>	%	%	%
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>				
3.	Relationship with the Applicant (if any)			
4.	Address of Nominee(s) City / Place State / Country <div style="border: 1px solid black; width: 100px; height: 15px; margin-top: 5px; float: right;">PIN Code</div>			
5.	Mobile/Telephone No. of Nominee(s)			
6.	Email ID of nominee(s)			
7.	Nominee Identification details - [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> AADHAAR <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor :

8.	Date of Birth {in case of minor nominee(s)}			
9.	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10.	Address of Guardian(s) City / Place State / Country <div style="border: 1px solid black; width: 100px; height: 15px; margin-top: 5px; float: right;">PIN Code</div>			
11.	Mobile/Telephone No. of Guardian			
12.	Email ID of nominee(s)			

Notes:

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions must be attested by witness or a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
4. The nomination and Declaration form may be signed using e-Sign facility or wet signature and in these cases, witness will not be required.
5. For receiving Statement of Account in electronic form:
 - I. Client must ensure the confidentiality of the password of the email account.
 - II. Client must promptly inform the Participant if the email address has changed.
 - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
6. In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
7. In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No. 4. In case 'All joint account holder' is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 4, and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected.
8. Strike off whichever is not applicable.
10. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
11. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
12. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
13. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
14. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
15. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate, partnership firm and Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
16. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
17. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
18. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the Form 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
19. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents as provided in Annexure D.
20. Savings bank account details shall only be considered if the account is maintained with the same participant.
21. DP ID and client ID shall be provided where demat details is required to be provided.

STANDING INSTRUCTION FOR AUTO PLEDGE CONFIRMATION

To,

Ashlar Securities Pvt. Ltd.

DP ID : IN303921

Date : _____

Regd. Off.: A-38, Sector-67, Noida-201301

With reference to my / our application for opening a depository account, I / We request you to enable my / our depository account having DP ID IN303921 & Client ID _____ with Flag "Standing Instruction for Auto Pledge Confirmation".

I / We have read and understood the Securities and Exchange Board of India's guidelines on pledging of shares in dematerialised form as regulated by SEBI (Depositories and Participants) Regulations, 1996 and Depositories Act, 1996.



.....
Sole/First Holder Signature



.....
Second Holder Signature



.....
Third Holder Signature

To,
Ashlar Securities Pvt. Ltd.

Regd. Off.: A-38, Sector-67,
Noida-201301

Date : _____

Dear Sirs,

Sub: Request to provide the Statements through e-mail and/or website.

Client ID. : _____ E-mail ID. _____

You are hereby requested to provide me/us transaction statement(s)/bills or any other document(s) required to be sent to me under my specific request or as per the statutory requirement(s) through e-mail and/or website. I/We am/are aware and understand the following:-

1. I/We am/are aware that I/we will not receive the transaction statements/bills etc in paper form.
2. I/We understand that website(s) would mean www.ashlarindia.com and or any of it's pages/links/applets or any other website that Ashlar Securities Pvt. Ltd. may inform from time to time.
3. I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the DP back office /email account.
4. I/We am/are aware that the transaction statement/bills etc. may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised.
5. I/We shall immediately inform Ashlar Securities Pvt. Ltd. about change in email address, if any.
6. I/we agree that till the time the change in email address is not updated in the records of Ashlar Securities Pvt. Ltd., the statements/bills etc. sent to the original email address shall deem to be a valid delivery and I/we shall keep Ashlar Securities Pvt. Ltd. and/or any of it's employees, directors, agents, associates indemnified against any loss suffered by them and also not hold them responsible for any loss suffered by me/us on this account.
7. I/We shall log off from website/DP back office/e-mail service, whenever I/we am/are not accessing or using the service. Any liability incurred to me/ us as a consequence of the not logging off the service shall be borne solely by me/us.
8. I/we agree that Ashlar Securities Pvt. Ltd. shall not take cognizance of out-of-office/out-of-station auto replies and I/we am/are deemed to have received above referred documents. Non-receipt of bounced mail notification by Ashlar Securities Pvt. Ltd. shall amount to delivery of the above-referred documents at the email id provided by me/us.
9. I/we agree that I/we shall immediately notify Ashlar Securities Pvt. Ltd. in writing with full details if I/we discover or suspect, unauthorized access through my/our DP back office password or Notice discrepancies that might be attributable to unauthorized access, Forget DP back office password or Discover a security flaw.
10. I/we understand that I/we am/are responsible for installing, operating and maintaining the communication equipment (including but not limited to personal computers and modems), software, tools, telephone or alternative service required at my/our end and connectivity required for using and accessing the website(s), back office , email account(s) , any above referred documents or any other related services at my/our own cost.
11. Ashlar Securities Pvt. Ltd. will not (and shall not be under any obligation to) assist me/us in operating, installing and / or maintaining any such communication equipment/infrastructure or obtaining any permits, clearances etc for establishing connectivity or linkages to the website(s) of the participant.
12. Ashlar Securities Pvt. Ltd.'s own records of the transactions/holdings/bills etc. mentioned through computer systems or otherwise shall be accepted as conclusive and binding on me/us for all purposes.
13. I/we understand and agree that the initial password sent by Ashlar Securities Pvt. Ltd. of DP back office should only be used for the first login. I/we agree to immediately reset my/our password(s) upon the first login. I/we understand and agree that if I/we do not change the password(s) after the first login, I/we shall keep the Ashlar Securities Pvt. Ltd. and/or any of it's employees, directors, agents, associates indemnified against any loss suffered by them and also not hold them responsible for any loss suffered by me/us on this account.
14. I/we understand and agree that the records of the Ashlar Securities Pvt. Ltd. with respect to delivery of above referred documents shall be conclusive evidence of any such documents delivered.
15. Ashlar Securities Pvt. Ltd. and I/we shall have the right to terminate such service provided a written notice is given at least 10 days in advance to the other party.
16. I/We shall approach Ashlar Securities Pvt. Ltd. within 24 hours from the delivery/display of the above data/documents etc. intimating any inability to access or download of the above data, document, data etc. failing which it shall be deemed to be the due delivery and acceptance of the data, document, data etc. sent to me/us via electronic mail/displayed by Ashlar Securities Pvt. Ltd./on the website of Ashlar Securities Pvt. Ltd. In all cases, Ashlar Securities Pvt. Ltd. reserves the right to determine the validity of my/our objection to the transaction.

Thanking You

Yours truly,

5 ✓

.....
Sole/First Holder Signature

5

.....
Second Holder Signature

5

.....
Third Holder Signature

TERMS AND CONDITIONS FOR RECEIVING SMS ALERTS FORM NSDL

SMS Alert facility for NSDL demat account holders

Introduction

NSDL has launched SMS Alert facility for demat account holders whereby investors can receive alerts for debits (transfers) to their demat accounts, credits for IPO and offer for sale allotment, sub-division and bonus. Alerts are also sent in case the instructions given by investors for debiting their demat accounts fail due to insufficient balance. Under this facility, investors can receive alerts, a day after such debits (transfers) take place or debit instruction failing as the case may be and on the same day when such credits take place. These alerts are sent to those account holders who have provided their mobile numbers to their Depository Participants (DPs). Alerts for debits are sent, if the debits (transfers) are up to five ISINs in a day. In case debits (transfers) are for more than five ISINs, alerts are sent with a message that debits for more than five ISINs have taken place and that the investor can check the details with the DP or on **IDEAS** website, if the investor is an **IDEAS** subscriber.

Benefits

1. Investors will get to know about debits and credits for IPO and offer for sale allotment, sub-division, bonus and failed debit instructions due to insufficient balance without having to call-up their DPs.
2. Investors need not wait for receiving Transaction Statements from DPs to know about such debits and credits.
3. In case of any discrepancy, the investor can approach its DP for clarification sooner.

Charges

No charge is levied by NSDL on DPs for providing this facility to investors.

Registration

This facility is available to investors who request for such a facility and provide their mobile numbers to the DPs. In case mobile numbers already given have changed, investors need to inform their DPs about the new numbers by way of written requests. Investors who have not yet provided their mobile numbers to their DPs can also avail this facility by intimating their mobile numbers to their DPs and submit a written request for this facility. This facility is not available to investors who have registered mobile numbers originating outside India. Thus, this facility will be available to the investors provided they have given their mobile numbers to their DPs and the DPs have captured the numbers in the computer system and have also enabled (ticked) the SMS flag in their system.

Contact

The investors may contact their respective DPs in case they do not receive SMS alert inspite of registering for this facility. Those investors who have provided their mobile numbers to their DPs but do not wish to avail this facility may also inform their DPs.

For further details / information investors may contact us at:

Investor Relationship Cell

National Securities Depository Limited

4th Floor, A Wing, Trade World, Kamala Mills Compound, Senapati Bapat Marg, Lower Parel, Mumbai 400 013.

Tel.: (022) 2499 4200 / 4090 4200 Fax: (022) 2497 6351

Email: relations@nsdl.co.in

Terms and Conditions

1.1 Definition

In these Terms and Conditions, the following terms shall have the following meanings:

"Alerts" or "Facility" means the customized messages with respect to specific events/transactions relating to an Investor's Account sent as Short Messaging Service ("SMS") over mobile phone to the Investor;

"Investor" means the person who holds an Account;

"Account" means the demat account of the Investor with NSDL maintained through its Depository Participant;

"ISIN" means an International Securities Identification Number assigned to a security;

"CSP" means the cellular service provider through whom the Investor or NSDL receives the mobile services.

1.2 Availability

1.2.1 NSDL at its sole discretion may discontinue the Facility at any time by providing a prior intimation through its website or any other medium of communication. NSDL may at its discretion extend the Facility to investors who register mobile phones originating outside India.

1.2.2 The Alerts would be generated by NSDL and will be sent to the investors on the mobile number provided by the investor and the delivery of the Alert would be entirely based on the service availability of the service provider and connectivity with other cellular circles of the CSPs or in circles forming part of the roaming GSM network agreement between such CSPs. The Alerts are dependent on various factors including connectivity and, therefore, NSDL cannot assure final and timely delivery of the Alerts.

1.2.3 The investor will be responsible for the security and confidentiality of his/her Mobile Phone and mobile phone number to be used for this Facility.

1.3 Process

1.3.1 This Facility provides Alerts to investors over mobile phones for the debits (transfers), credits for IPO and offer for sale allotment, sub-division and bonus that have taken place in their accounts. Alerts are also sent in case the instructions given by investors for debiting their demat accounts fail due to insufficient balance. Under this Facility, investors can receive Alerts, a day after such debits (transfers) take place or debit instruction failing as the case may be and on the same day when such credits take place. These Alerts will be sent to those investors who have requested for such a Facility and have provided their mobile numbers to their Depository Participants. Alerts will be sent for debits, if the debits (transfers) are up to five ISINs in a day. In case debits (transfers) are for more than five ISINs, Alerts will be sent with a message that debits for more than five ISINs have taken place and that the investor can check the details with the DP or on **IDEAS** website, if the investor is an **IDEAS** subscriber. Investors who have provided their mobile numbers to Depository Participants but do not wish to avail of this Facility may do so by informing their Depository Participants accordingly.

1.3.2 The investor is duty bound to acquaint himself/herself with the detailed process for using the Facility and interpreting the Alerts for which NSDL is not responsible for any error/omissions by the investor.

1.3.3 The investor acknowledges that the Alerts will be implemented in a phased manner and NSDL may at a later stage; as and when feasible, add more Alerts. NSDL may, at its discretion, from time to time change the features of any Alert. The investor will be solely responsible for keeping himself/herself updated of the available Alerts, which shall, on best-effort basis, be notified by NSDL through its website or any other medium of communication.

1.4 Receiving Alerts

1.4.1 The investor is solely responsible for intimating in writing to his/her Depository Participant any change in his/her mobile phone number and NSDL will not be liable for sending Alerts or other information over his/her mobile phone number recorded with NSDL.

1.4.2 The investor acknowledges that to receive Alerts, his/her mobile phone must be in an 'on' mode. If his/her mobile is kept 'off' for a specified period from the time of delivery of an Alert message by NSDL, that particular message may not be received by the investor.

1.4.3 The investor acknowledges that the Facility is dependent on the infrastructure, connectivity and services provided by the CSPs within India. The investor accepts that timeliness, accuracy and readability of Alerts sent by NSDL will depend on factors affecting the CSPs and other service providers. NSDL shall not be liable for non-delivery or delayed delivery of Alerts, error, loss or distortion in transmission of Alerts to the investor.

1.4.4 NSDL will endeavor to provide the Facility on a best effort basis and the investor shall not hold NSDL responsible/liable for non-availability of the Facility or non performance by any CSPs or other service providers or any loss or damage caused to the investor as a result of use of the Facility (including relying on the Alerts for his/her investment or business or any other purposes) for causes which are attributable to and are beyond the control of NSDL. NSDL shall not be held liable in any manner to the investor in connection with the use of the Facility.

1.4.5 The investor accepts that each Alert may contain certain account information relating to the investor. The investor authorizes NSDL to send any other account related information, though not specifically requested, if NSDL deems that the same is relevant.

1.5 Withdrawal or Termination

1.5.1 NSDL may, in its discretion, withdraw temporarily or terminate the Facility, either wholly or in part, at any time. NSDL may suspend temporarily the Facility at any time during which any maintenance work or repair is required to be carried out or in case of any emergency or for security reasons, which require the temporary suspension of the Facility.

1.5.2 Notwithstanding the terms laid down in clause 1.5.1 above, either the investor or NSDL may, for any reason whatsoever, terminate this Facility at any time. In case the investor wishes to terminate this Facility, he/she will have to intimate his/her Depository Participant accordingly.

1.6 Fees

1.6.1 At present, NSDL is levying no charge for this Facility on the Depository Participants. The investor shall be liable for payment of airtime or other charges, which may be levied by the CSPs in connection with the receiving of the Alerts, as per the terms and conditions between the CSPs and investors, and NSDL is in no way concerned with the same.

1.7 Disclaimer

1.7.1 This Facility is only an Alert mechanism for the investors and is not in lieu of the Transaction Statements required to be provided by the Depository Participant to its clients.

1.7.2 NSDL shall not be concerned with any dispute that may arise between the investor and his/her CSP and makes no representation or gives no warranty with respect to the quality of the service provided by the CSP or guarantee for timely delivery or accuracy of the contents of each Alert.

1.7.3 The investor shall verify the transactions and the balances in his/her Account from his/her Depository Participant and not rely solely on Alerts for any purpose.

1.7.4 NSDL will not be liable for any delay or inability of NSDL to send the Alert or for loss of any information in the Alerts in transmission.

1.8 Liability

1.8.1 NSDL shall not be liable for any losses, claims and damages arising from negligence, fraud, collusion or violation of the terms herein on the part of the investor and/or a third party.



Sole/First Holder Signature



Second Holder Signature



Third Holder Signature



ASHLAR SECURITIES PVT. LTD.

(DEPOSITORY PARTICIPANT - NSDL) DP ID IN303921 • SEBI Regn. No. : IN-DP-236-2016

Regd. Office : A-38, Sector-67, Noida-201301, Ph.: 0120-6633200

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032 • E-mail : dp@ashlarindia.com

SCHEDULE OF SERVICE CHARGES FOR DP SERVICES w.e.f. 01-10-2017

SCHEDULE - A

SCHEME	Scheme-A (Rs. 2000 in advance out of which Rs. 1000 is refundable/adjusted on closure of A/c and/or change of scheme after one year from the date of a/c opening)	Scheme-B	Scheme-C Rs. 999/- for Life Time Rs. 750/- for conversion of existing account for life time maintenance free	BSDA (Basic Services Demat Account)		
1. Account Opening Charges	Nil	Nil	Nil	Nil		
2. Account Maintenance Charges	For Individual : Nil For Non-Individual : Rs. 500/- p.a.	For Individual : Rs. 300/- p.a. For Non-Individual : Rs. 800/- p.a.	For Individual : Nil For Non-Individual : Rs. 500/- p.a.	In case value of holding is less than Rs. 50,000/- NIL	In case value of holding is more than Rs. 50,000/- but less than Rs. 2,00,000/- Rs. 100/-	In case value of holding is more than Rs. 2,00,000/- As applicable in Scheme A, B or C as opted by the Client
3. Dematerialisation Charges	Rs. 20/- Per DRF plus Rs. 3/- per Certificate	Rs. 20/- Per DRF plus Rs. 3/- per Certificate	Rs. 20/- Per DRF plus Rs. 3/- per Certificate	Rs. 20/- Per DRF plus Rs. 3/- per Certificate		
4. Rematerialisation Charges	Rs. 20/- per every 100 securities or part thereof subject to maximum fee of Rs.5,00,000; or a flat fee of Rs. 20/- per certificate which ever is higher is payable	Rs. 20/- per every 100 securities or part thereof subject to maximum fee of Rs.5,00,000; or a flat fee of Rs. 20/- per certificate which ever is higher is payable	Rs. 20/- per every 100 securities or part thereof subject to maximum fee of Rs.5,00,000; or a flat fee of Rs. 20/- per certificate which ever is higher is payable	Rs. 20/- per every 100 securities or part thereof subject to maximum fee of Rs.5,00,000; or a flat fee of Rs. 20/- per certificate which ever is higher is payable		
5. Custody	Nil	Nil	Nil	Nil		
6. Transaction Charges (per Transaction) Receipt / Purchase Delivery / Sale	Nil Rs. 12/-	All Charges Payable upfront Nil Rs. 15/-	All Charges Payable upfront Nil Rs. 15/-	All Charges Payable upfront Nil Rs. 30/-		
7. Pledge Charges (per Transaction) Creation Invocation / Closure	Rs. 50/- Rs. 25/-	Rs. 50/- Rs. 25/-	Rs. 50/- Rs. 25/-	Rs. 50/- Rs. 25/-		
8. Margin Pledge / Un-pledge Margin Re-pledge	Rs. 15/- Rs. 3/-	Rs. 15/- Rs. 3/-	Rs. 15/- Rs. 3/-	Rs. 15/- Rs. 3/-		
9. Lending / borrowing Charges Borrowing Lending Repay	Rs. 50/- Rs. 50/- Rs. 25/-	Rs. 50/- Rs. 50/- Rs. 25/-	Rs. 50/- Rs. 50/- Rs. 25/-	Rs. 50/- Rs. 50/- Rs. 25/-		
10. Surrender request (SRF)	Rs. 100/- per request	Rs. 100/- per request	Rs. 100/- per request	Rs. 100/- per request		

Normal Account with Scheme A ☐ BSDA (after subsequent conversion with Scheme A) ☐

Normal Account with Scheme B ☐ BSDA (after subsequent conversion with Scheme B) ☐

Normal Account with Scheme C ☐ BSDA (after subsequent conversion with Scheme C) ☐

*GST applicable as per Government Rule.

In addition to the above the following out of pocket expenses shall also be charged.

1. Instruction Booklet : Rs. 10/-; 20/- Containing 10, 20 Leaves.
2. Failed Instruction Intimation : Rs. 20/- per intimation per instruction.
3. Additional Statement of Holding/Transaction : Rs. 2/- per Page + Postage.
4. Non periodic statement & other communications shall be charged @ Rs. 20/- per mail.
5. Charges are subject to revision at Depository Participant's sole discretion by giving 30 days notice and shall be informed by circulars sent by ordinary post/press advertisement/Electronic Communication/courier/personal messenger/Website (Website means www.ashlarindia.com and/ or its pages and links and/or any other website(s)/links/pages/applets Participant may inform from time to time)
6. In case of demat rejection postages shall be charged @ Rs. 30/- for dispatch to the client for removal of objection.
7. Taxes and other government levies extra as applicable from time to time.
8. Any Modification in client master will be charged @ Rs. 20/- per modification.
9. All the charges are payable on monthly basis under scheme A and under all other schemes all charges are payable upfront.
10. Service charges for DP services for trading clients of Ashlar Securities Pvt. Ltd. and Ashlar Commodities Pvt. Ltd. will be debited to their trading accounts.
11. Ashlar Securities Pvt. Ltd. may suspend/freeze the depository services of the account holder on non payment of outstanding bill till the time outstanding DP service Charges is received.

"As per SEBI Circular No. CIR/MRD/DP/22/2012 dated 27th August 2012, all clients who are willing to hold only one demat account as first holder and DP holding valuation will be maintained below Rs. 2 Lac. is eligible to opt for BSDA (Basic Service Demat Account) subject to terms and conditions mentioned by SEBI." To opt BSDA scheme please sign a separate scheme sheet which can be obtained from our office.

☐ I/We do not wish to avail BSDA facility in my/our Demat Account ☐ I/We wish to avail BSDA facility in my/our Demat Account



Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

CHECK LIST FOR CLIENT REGISTRATION FORM

FORM RECEIVING DATE : ACCOUNT OPENING DATE : TM DP	BRANCH CODE : RL/TL SUB BRANCH CODE :	CLIENT CODE TM : DP :
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I.	CHECKING DETAILS	YES	REMARKS
a)	Name as it appears on the ID & Address Proof (in capital letter)		
b)	Signature of Client on all pages and wherever necessary (Witness wherever required) <input type="checkbox"/>		
c)	Signature Checked and Verified.		
d)	Photograph (duly signed) <input type="checkbox"/>		
e)	A copy of PAN Card (Self Attested) <input type="checkbox"/>		
f)	Address Proof (Self Attested) <input type="checkbox"/>		
g)	Bank Proof containing Client Name (Self Attested) <input type="checkbox"/>		
h)	Demat Account Proof (Self Attested) <input type="checkbox"/>		
i)	Stamp Paper : <input type="checkbox"/>		
j)	Exchange given : <input type="checkbox"/> NSE CM <input type="checkbox"/> NSE F&O <input type="checkbox"/> NSE Currency <input type="checkbox"/> BSE CM <input type="checkbox"/> BSE F&O <input type="checkbox"/> MCX Commodity <input type="checkbox"/> NCDEX Commodity		
2.	Telephonic confirmation of Particulars done by _____ Date _____ Time _____ On Phone No. _____		
3.	Details Punched in Computer by _____		
4.	Cross Checking done by _____		
5.	<div style="display: flex; justify-content: space-between;"> <div> UCC UPLOADED : <input type="checkbox"/> NSE <input type="checkbox"/> BSE <input type="checkbox"/> MCX <input type="checkbox"/> NCDEX </div> <div> <input type="checkbox"/> ENTERED IN FORM DATA </div> </div>		
6.	BACK OFFICE WEB LOGIN User Name ID _____ Password _____		
7.	DP WEB LOGIN User Name ID _____ Password _____		
8.	Form sent to Surveillance by _____ Date : _____ Time : _____		
9.	Client ID Mapping done by _____ Branch ID _____ User ID: _____ Dealer ID : _____		
10.	INTERNET TRADING <input type="checkbox"/> Odin Diet <input type="checkbox"/> I-Net User ID _____ Password _____		
11.	Client Account Status Report issued by _____		
12.	Form Returned to Compliance by _____ Date : _____ Time : _____		
13.	Kit Dispatched on _____ (Date) _____ Pod No. _____		



ASHLAR SECURITIES PVT. LTD.

Member : NSE / BSE / MCX / NCDEX

SEBI Regn. No. : INZ000203739

(DP : NSDL • DP ID : IN303921 • IN-DP-236-2016)

Regd. Office : A-38, Sector-67, Noida-201301 (U.P.), **Ph.:** 0120-6633200

Corp. Office : 25/4, Gali No. 17, Vishwas Nagar, Delhi-110032

E-mail : care@ashlarindia.com **Website :** www.ashlarindia.in

