



Account Opening Kit: Non-Individuals

Client Name _____

Trading A/c Code _____

DEMAT A/c ID _____

Account Opening Date _____

USE BLACK PEN ONLY

INSTRUCTIONS / NOTES

1. All communication shall be sent at the address of the Sole/First Holder only.
2. Thumb impressions and signatures other than English or Hindi or any 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.
3. Signatures should be preferably in Black Ink.
4. Details of the Names, Address, Telephone Number(s) etc., of the Magistrate / Notary / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. Instructions related to nomination, are as below :
 - I. The nomination can be made only by individuals holding beneficiary owner/trading account on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the Demat account is held jointly, all joint holders must sign the nomination form.
 - II. 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.
 - III. The Nominee(s) can 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.
 - IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account.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.
 - V. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
 - VI. The cancellation of nomination can be made by individuals 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, karta of Hindu Undivided Family, holder of Power of Attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all holders must sign the cancellation form.
 - VII. 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).
 - VIII. 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.
 - IX. 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.
 - X. 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.
 - XI. Savings bank account details shall only be considered if the account is maintained with the same participant.
 - XII. DP ID and Client ID shall be provided where Demat details is required to be provided.
7. Strike off whichever is not applicable
8. Clarifications with respect to Bank Proof to be submitted
 - i Photocopy or cancelled cheque having the pre-printed name of the account holder where the cheque book is issued, (or)
 - ii Photocopy of the Bank Statement for last two quarters having name and address of the client with Bank Logo or attested through respective bank.
 - iii Photocopy of the Passbook having name and address of the client, (or)
 - iv Letter from the Bank.In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present/ mentioned on the document.
9. Provide a copy of either Demat Master or a recent holding statement issued by DP bearing name of the Client
10. **For Individuals:**
 - a. 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.
 - b. Registered Authorised Person / Sub-broker are also authorised to perform 'In-person Verification'.
 - c. In case of non-resident clients, employees of 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.
11. **For Non Individuals:**
 - a. Account Opening Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.
12. **Additional documents in case of trading in Derivatives Segments - illustrative list:**

Copy of ITR Acknowledgment	In case of Salary Income - Salary Slip, Copy of Form 16
Copy of Latest Annual Accounts	Net Worth Certificate
Copy of Latest Demat Account Holding Statement	Copy of Bank Statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents.

Stock Broker/ Trading Member/ Clearing Member	MUNI BROKING HOUSE LIMITED CIN - U66120WB2023PLC260758
SEBI Registration No.	INZ000316338
Registered Office	The Legacy, Unit 41A/43, 25A Shakespeare Sarani, Kolkata - 700017
Contact Details	Phone: +91 33 3501 5555 Mobile: +91 90735 31666 E-mail: info@munibroking.com Website: www.munibroking.com

Member of	Member ID
National Stock Exchange of India Ltd. (NSE)	90353
BSE Ltd. (BSE)	6885
Multi Commodity Exchange of India Ltd. (MCX)	57350

Depository Participant of	DP ID
National Securities Depository Ltd. (NSDL)	IN304764

Depository	Registration No.
National Securities Depository Ltd. (NSDL)	IN-DP-775-2024

Managing Director	Mr. SHUBHAM THARD Tel: +91 33 3501 5555 Email: shubhamt@munibroking.com
Compliance Officer (Trading)	Mr. SHAILESH KUMAR GUPTA Tel. : +91 33 3501 5555 E-mail ID : shaileshg@munibroking.com
Compliance Officer (DP)	Ms. BHAWNA AGRAWAL Tel. : +91 33 3501 5555 E-mail ID : bhawnaa@munibroking.com

Note :- Kindly note that, in addition to client trading, MBHL is also into Proprietary/Own Trading.

For any grievance/dispute please contact Muni Broking House Limited (MBHL) at the above address or mail at:- **complaints@munibroking.com (for Trading) and dp@munibroking.com (for DP)** and call us at **+91 33 3501 5555**

In case you are not satisfied with the response, please contact the concerned Exchange(s)/Depository(ies):

Exchange / Depository Contacts	Contact Information
	National Stock Exchange of India Limited (NSE) , Phone : 022-26598190 • Email : ignse@nse.co.in
	BSE Limited (BSE) , Phone : 022-22728097 • Email : is@bseindia.com
	Multi Commodity Exchange of India Ltd. (MCX) , Phone: 022-67318888, 66494000 • E-mail: grievance@mcxindia.com
	Central Depository Services India Limited (CDSL) , Toll Free no. : 1800-200-5533 • Email : complaints@cdslindia.com
	National Securities Depository Limited (NSDL) , Phone : 022-24994200 • Email : relations@nsdl.co.in

You may also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575/18002667575

FILING OF COMPLAINTS ON SCORES –

Easy & quick: In order to make the complaint redressal mechanism through SCORES more efficient, the aggrieved Investor can file their respective complaint as per the credentials mentioned below:-

- Register on SCORES portal :** Get yourself registered,
- Mandatory details for filing complaints on SCORES:** Name, PAN, Address, Mobile Number, Email ID
- Benefits:** Effective communication & Speedy redressal of the grievances.

Please refer SCORES website link <https://scores.gov.in/scores/Welcome.html> and the FAQs available thereon.

This KIT is valid for opening Trading and Demat Account with Muni Broking House Limited
Clients desirous of opening both or any can utilise the relevant segments of this KIT.

The Trading Code for different desired Segments of the respective Exchanges and Demat account number will be provided on successful generation of the same.

NOTE - USE BLACK INK ONLY

DOCUMENTS CHECKLIST

INDIVIDUALS

1. Photograph
2. PAN
3. Aadhar
4. Proof of Permanent Address
5. Correspondence Address
6. Bank Proof with MICR Code (cancelled Cheque)
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. Cheque for DP AMC (as per the scheme opted)

NRI

1. Photograph
2. PAN
3. Aadhar (if available)
4. Proof of Foreign Address
5. Proof of Local Address
6. Additional Documents
 - a. Passport with visa copy/PIO Card/OCI Card
 - b. PIS Declaration Copy
 - c. In case of Merchant Navy NRIs, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate)
7. Bank Proof with MICR Code (Cancelled Cheque)
8. Demat Proof (required if opening only a trading account)
9. Income Proof (for trading in derivatives segments)
10. Cheque for DP AMC (as per the scheme opted)

HUF

1. Photograph of Karta
2. PAN -
 - a. HUF
 - b. Karta
3. Proof of Address -
 - a. HUF
 - b. Karta
4. Aadhar of Karta*
5. Deed of Declaration of HUF/List of coparceners
6. Bank Proof with MICR Code of the HUF (cancelled Cheque)
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. Cheque for DP AMC (as per the scheme opted)
10. UBO Declaration

CORPORATE

1. Photograph
 - a. Whole time directors/two directors in charge of day to day operations
 - b. Individual promoters holding control – either directly or indirectly
2. Proof of Address
 - a. Whole time directors/two directors in charge of day to day operations
 - b. Individual promoters holding control – either directly or indirectly
 - c. Applicant

3. PAN –
 - a. of Company
 - b. Whole time directors/two directors in charge of day to day operations
 - c. Individual promoters holding control – either directly or indirectly
4. Aadhar of person holding attorney to transact on company's behalf*
5. DIN Number
 - a. Whole time directors/two directors in charge of day to day operations
6. Bank Proof with MICR Code (cancelled Cheque) with Bank Statement
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. Balance Sheet and Profit & Loss account with net-worth information for last two years or for applicable period.
10. Share Holding Pattern (as of last quarter or more recent)
11. Memorandum and Articles of Association and certificate of incorporation
12. Board Resolution
13. Form 32 / DIR 12 with Challan
14. List of Directors
15. Authorized signatories List
16. UBO Declaration
17. Cheque for DP AMC (as per the scheme opted)

PARTNERSHIP FIRM

1. Photograph of all the Partners
2. PAN -
 - a. Partnership Firm
 - b. All the Partners
3. Proof of Address -
 - a. Partnership Firm
 - b. All the Partners
4. Aadhaar of person holding attorney to transact on Firm's behalf*
5. Balance Sheet and Profit & Loss account for last two years or for applicable period.
6. Copy of Partnership Deed
7. Certificate of Registration (for registered Partnership Firms only)
8. Authorized Signatories list with specimen signatures
9. Bank Proof with MICR Code (cancelled Cheque)
10. Demat Proof (required if opening only a trading account)
11. Income Proof (for trading in derivatives segments)
12. UBO Declaration
13. Cheque for DP AMC (as per the scheme opted)
14. Declaration as per format

LIMITED LIABILITY PARTNERSHIP (LLP)

1. Photograph of all the Partners
2. PAN -
 - a. LLP
 - b. All the Partners
3. Proof of Address -
 - a. LLP
 - b. All the Partners

4. Aadhaar of person holding attorney to transact on firm's behalf*
5. Balance Sheet and Profit & Loss account for last two years or for applicable period
6. Net-worth certificate (certified by a CA)
7. Copy of Partnership Deed
8. Certificate of Registration
9. Authorized Signatories list with specimen signatures (as per our format)
10. Bank Proof with MICR Code (cancelled Cheque)
11. Demat Proof (required if opening only a trading account)
12. Income Proof (for trading in derivatives segments)
13. UBO Declaration
14. Cheque for DP AMC (as per the scheme opted)
15. Declaration as per format

TRUST

1. Photograph of all the signatories
2. PAN -
 - a. Trust
 - b. All the signatories
3. Proof of Address
 - a. Trust
 - b. All the signatories
4. Aadhaar of person holding attorney to transact on Trust's behalf*
4. Balance Sheet and Profit & Loss account for last two years of for applicable period.
5. Copy of Trust Deed
6. Certificate of Registration (for registered trusts only)
7. List of Trustees certified by Managing Trustees/CA
8. Bank Proof with MICR Code (cancelled Cheque)
9. Demat Proof (required if opening only a trading account)
10. Income Proof (for trading in derivatives segments)
11. UBO Declaration
12. Cheque for DP AMC (as per the scheme opted)

FOREIGN INSTITUTIONAL INVESTORS (FIIS)

1. Photograph of all the signatories
2. PAN
 - a. Bank/Institutional Investors
 - b. All the Signatories
3. Proof of Address
4. Copy of the SEBI registration certificate
5. Authorized Signatories list with specimen signatures
6. Bank Proof with MICR Code (cancelled Cheque)
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. UBO Declaration
10. Cheque for DP AMC (as per the scheme opted)

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

Sl.	Name of the Document	Brief Significance of the Document	Pg. No.
1.	Account Opening Form	A. KYC form - Document captures the basic information about the entity and an instruction/checklist.	1-8
		B. Document captures the additional information about the entity relevant to trading and Demat account	9-14
2.	MITC	Document with the Most Important Terms And Conditions For Non-Custodial Settled Trading Accounts	15
3.	Policies & Procedures	Document describing significant policies and procedures of member with respect to dealing with clients (Equity & Commodity)	16-18
4.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for Trading on the Stock Exchanges and using Demat Account Services	19-20
5.	Client Commodity wise Categorization	Document towards commodity wise categorisation as a participant (Mandatory for Commodity Clients)	21
6.	Acknowledgement & Declaration	Client acknowledgment and declaration that he has read and received a copy of all the rules & regulations, rights & obligations, RDD, Executed Copy of KYC Form, etc.	22-23
7.	Rights & Obligations	Document stating the Rights & Obligations of Member, Authorised Person and Client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)	Client Copy
8.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the Equity & Commodity market.	
9.	Guidance Note (Do's and Don'ts for investor)	Document detailing do's and don'ts for trading on Exchanges, for the education of the investors.	
10.	Rights & Obligation of Beneficial Owner & Depository Participant	Document detailing rights and obligations of beneficial owner and depository participant	

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

11.	Demat Debit & Pledge Instruction' (DDPI)	Document seeking authorization by client to the stock broker, to access the demat account of the client for specified purposes only.	24-25
12.	Issue of DIS Booklet	Option Form for Issue of DIS Booklet	26
13.	FATCA/CRS	Declaration pertaining to foreign tax liability for Non-Individuals	27-29
14.	UBO / Controlling Persons Declaration	Declaration Form of Ultimate Beneficial Ownership [UBO] / Controlling Persons.	30
15.	Mobile & Margin Deposit Declaration	Common Email ID/Mobile Number & Deposit of Securities towards Margin	31
16.	ECN Mandate	Declaration for receiving various statements in electronic format	32
17.	Authorisations & Open Interest Declaration	Contains various authorization for smooth operation & adherence of compliance & Declaration on Open Interest Position	33-34
18.	Authority Letter for Running a/c & BSDA	Authorisation to maintain a running account for funds & BSDA Declaration	35
19.	Do's & Don'ts	Do's & Don'ts which are relevent for the operations of trading and demat account	36
20.	Questionnaire	Contains the Common Questions towards Risk Profiling of Clients	37
21.	Internet & Offline Trading	Authorisation for Internet Trading and Online-Offline Trading	38
22.	PMLA	Prevention of Money-Laundering statement for Client Education.	39
23.	CKYC Consent	Permission to download the clients' CKYCs from CKYCR	40

NOTE - USE BLACK INK ONLY

Please Submit the KYC Documents on A4 Size Paper Only

A. IMPORTANT POINTS:

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

B. PROOF OF IDENTITY (POI): - List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph. #
3. Identity card 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.)

F. IN CASE OF NON-INDIVIDUALS, ADDITIONAL DOCUMENTS TO BE OBTAINED FROM NON-INDIVIDUALS, OVER & ABOVE THE POI & POA, AS MENTIONED BELOW:

<p>CORPORATE</p> <ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years or for the relevant applicable period (to be submitted every year). Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. Copies of the Memorandum and Articles of Association and certificate of incorporation. Copy of the Board Resolution for investment in securities market. Authorised signatories list with specimen signatures <p>PARTNERSHIP FIRM</p> <ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years or as applicable (to be submitted every year). Certificate of registration (for registered partnership firms only). Copy of partnership deed. Authorised signatories list with specimen signatures. Photograph, POI, POA, PAN of Partners. <p>TRUST</p> <ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years or as applicable (to be submitted every year). Certificate of registration (for registered trust only). Copy of Trust deed. List of trustees certified by managing trustees/CA. Photograph, POI, POA, PAN of Trustees. 	<p>HUF</p> <ul style="list-style-type: none"> PAN of HUF. Deed of declaration of HUF/ List of coparceners. Bank pass-book/bank statement in the name of HUF. Photograph, POI, POA, PAN of Karta. <p>UNINCORPORATED ASSOCIATION OR A BODY OF INDIVIDUAL</p> <ul style="list-style-type: none"> Proof of Existence / Constitution document Resolution of the managing body & Power of Attorney granted to transact business on its behalf. Authorised signatories list with specimen signatures. <p>BANK / INSTITUTIONAL INVESTORS</p> <ul style="list-style-type: none"> Copy of the constitution / registration or annual report / balance sheet for last 2 Financial years Authorised signatories list specimen signatures <p>FOREIGN INSTITUTIONAL INVESTORS (FII)</p> <ul style="list-style-type: none"> Copy of SEBI registration certificate Authorised signatories list with specimen signatures <p>ARMY/GOVERNMENT BODIES</p> <ul style="list-style-type: none"> Self-certification on letterhead. Authorized signatories list with specimen signatures. <p>REGISTERED SOCIETY</p> <ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act. List of Managing Committee members. Committee resolution for persons authorised to act as authorised signatories with specimen signatures. True copy of Society Rules and Bye Laws certified by the Chairman / Secretary.
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Not applicable for CKYC

Important Instructions:

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

For office use only Application Type* New Update
 (To be filled by financial institution) KYC Number (Mandatory for KYC update request)

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

Name*

Entity Constitution Type* Others (Specify) (Please refer instruction B at the end)

Date of Incorporation / Formation* -- Date of Commencement of business --

Place of Incorporation / Formation* Country of Incorporation / Formation* TIN or Equivalent Issuing Country

PAN* Form 60 furnished

TIN / GST Registration Number

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

Officially valid document(s) in respect of person authorised to transact

Certificate of Incorporation / Formation Registration Certificate Regn Certificate No.

Memorandum and Articles of Association Partnership Deed Trust Deed

Resolution of Board / Managing Committee Power of Attorney granted to its manager, officers or employees to transact on its behalf

Activity Proof - 1 (For Sole Proprietorship Only) Activity Proof - 2 (For Sole Proprietorship Only)

3. Address* (Please refer instruction C at the end)

3.1 Registered Office Address / Place of Business*

Proof of Address* Certificate of Incorporation / Formation Registration Certificate Other Document

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin/Post Code* State/U.T. Code* ISO 3166 Country Code*

3.2 Local Address in India (if different from Above)*

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin/Post Code* State/U.T. Code* ISO 3166 Country Code*

4. Contact Details (All communications will be sent to Mobile number / Email-ID provided* may be used) (Please refer instruction D at the end)

Tel (Off.) - FAX -

Mobile - Email ID

Mobile - Email ID

5. NUMBER OF RELATED PERSONS (Please refer instruction E at the end)

6. REMARKS (If any)

7. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that may be held liable for it
- I/we hereby consent to receiving information from Central KYC / KRA Registry through SMS/Email on the above registered number/ email address.

[Signature / Thumb Impression]



F1

Signature / Thumb Impression of Authorised Person(s)

Date : --

Place :

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies Equivalent e-document

KYC DOCUMENT VERIFIED CARRIED OUT BY

Identity Verification Done Date --

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check List / Guidelines for filling Legal Entity / Other than Individuals KYC Application Form

A Clarification / Guidelines for filling Entity Details section

1 Entity Constitution Type

- | | | |
|--|---|---|
| A - Sole Proprietorship | H - Trust | O - Artificial Jurisdictional Person |
| B - Partnership Firm | I - Liquidator | P - International Organisation or Agency /Foreign Embassy or Consular Office etc. |
| C - HUF | J - Limited Liability Partnership | Q - Not Categorized |
| D - Private Limited Company | K - Artificial Liability Partnership | R - Others |
| E - Public Limited Company | L - Public Sector Banks | S - Foreign Portfolio Investors |
| F - Society | M - Central/State Government Department or Agency | |
| G - Association of Persons (AOP) / Body of Individuals (BOI) | N - Section 8 Companies (Companies Act, 2013) | |

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available.

B Clarification / Guidelines for filling 'Proof of Identity[PoI]' section

- Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines for filling 'Proof of Address [PoA]' section

- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines for filling 'Contact Details' section

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

E Clarification / Guidelines for filling 'Related Person Details' section

- Personal Details
 - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Proof of Address [PoA]
 - PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
 - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
 - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
 - 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.
- If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F Provision for capturing signature of multiple authorised persons is to be made by the RE.

Important Instructions:

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

For office use only Application Type* New Update Delete
 (To be filled by financial institution) KYC Number _____ (Mandatory for KYC update and delete request)

1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

Addition of Related Person Deletion of Related Person Update Related Person Details

KYC Number of Related Person (if available*) _____ If KYC number is available only 'Related Person Type' & 'Name' is mandatory

Related Person Type* Director Promoter Karta Trustee Partner Court Appointment Official Proprietor
 Beneficiary Authorised Signatory Beneficiary Owner Assignee Guardian
 Authorised Representative Other (Please Specify) _____

DIN (Director Identification Number) _____ (Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

Name* (Same as ID proof) Prefix First Name Middle Name Last Name

Maiden Name _____

Father / Spouse Name _____

Mother Name _____

Date of Birth* DD - MM - YYYY

Gender* M- Male F- Female T-Transgender

Nationality* IN- Indian Others (IS) 3166 Country Code ()

PAN* _____ Form 60 furnished

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E 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 (any one 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 Aadhar _____

II. E-KYC Authentication _____

III. Offline verification of Aadhar _____

Address

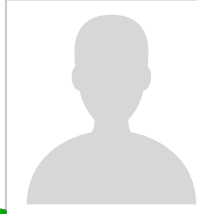
Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village* _____

District* _____ Pin/Post Code* _____ State/U.T. Code* _____ ISO 3166 Country Code* _____

PHOTO*



F2 Signature / Thumb Impression

1.3 CURRENT ADDRESS DETAILS (Please refer instruction E at the end)

Same as above mentioned address (in such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one 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 Aadhar _____

II E-KYC Authentication _____

III Offline verification of Aadhar _____

IV Deemed PoA

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*

1.4 Contact Details (All communications will be sent to Mobile number / Email-ID (Please refer instruction D at the end))

Tel (Off) - Tel (Res) - Mobile -

Email ID

2. 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 am aware of other modes of KYC which are available and I have chosen Aadhar based method voluntarily. My Aadhaar record can be used by KRA only for the specific purpose of validating/ maintaining/sharing my KYC record and as an audit evidence. I will have an option to request for deletion of my Aadhaar record.
- I am/We are also aware that for Aadhaar OVD based KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked. Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have business relationship for KYC purposes only.
- I hereby consent to receiving information from Central KYC/KRA Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Date : --

Place :



F3

Signature / Thumb Impression of Applicant

3. 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 DOCUMENT VERIFIED BY Client interviewed by

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

IN PERSON VERIFICATION (IPV) CARRIED OUT BY

Date

Name

Code

Designation

Name of the Organisation

[Signature]

INSTITUTION DETAILS

Name Muni Broking House Limited.

Code IN7982

[Institution Stamp]

Important Instructions:

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

For office use only Application Type* New Update Delete
 (To be filled by financial institution) KYC Number _____ (Mandatory for KYC update and delete request)

1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

Addition of Related Person Deletion of Related Person Update Related Person Details

KYC Number of Related Person (if available*) _____ If KYC number is available only 'Related Person Type' & 'Name' is mandatory

Related Person Type* Director Promoter Karta Trustee Partner Court Appointment Official Proprietor
 Beneficiary Authorised Signatory Beneficiary Owner Assignee Guardian
 Authorised Representative Other (Please Specify) _____

DIN (Director Identification Number) _____ (Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

Name* (Same as ID proof) Prefix First Name Middle Name Last Name

Maiden Name _____

Father / Spouse Name _____

Mother Name _____

Date of Birth* DD - MM - YYYY

Gender* M- Male F- Female T-Transgender

Nationality* IN- Indian Others (IS) 3166 Country Code ()

PAN* _____ Form 60 furnished

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E 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 (any one 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 Aadhar _____

II. E-KYC Authentication _____

III. Offline verification of Aadhar _____

PHOTO*

Address

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village* _____

District* _____ Pin/Post Code* _____ State/U.T. Code* _____ ISO 3166 Country Code* _____



1.3 CURRENT ADDRESS DETAILS (Please refer instruction E at the end)

Same as above mentioned address (in such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one 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 Aadhar _____

II E-KYC Authentication _____

III Offline verification of Aadhar _____

IV Deemed PoA

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*

1.4 Contact Details (All communications will be sent to Mobile number / Email-ID (Please refer instruction D at the end))

Tel (Off) - Tel (Res) - Mobile -

Email ID

2. 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 am aware of other modes of KYC which are available and I have chosen Aadhar based method voluntarily. My Aadhaar record can be used by KRA only for the specific purpose of validating/ maintaining/sharing my KYC record and as an audit evidence. I will have an option to request for deletion of my Aadhaar record.
- I am/We are also aware that for Aadhaar OVD based KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked. Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have business relationship for KYC purposes only.
- I hereby consent to receiving information from Central KYC/KRA Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Date : --

Place :



Signature / Thumb Impression of Applicant

3. 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 DOCUMENT VERIFIED BY Client interviewed by

Date --

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

IN PERSON VERIFICATION (IPV) CARRIED OUT BY

Date --

Name

Code

Designation

Name of the Organisation

[Signature]

INSTITUTION DETAILS

Name Muni Broking House Limited.

Code IN7982

[Institution Stamp]

Address

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin/Post Code* State/U.T. Code* ISO 3166 Country Code*

1.4 Contact Details (All communications will be sent to Mobile number / Email-ID (Please refer instruction D at the end))

Tel (Off) - Tel (Res) - Mobile -

Email ID

2. 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 am aware of other modes of KYC which are available and I have chosen Aadhar based method voluntarily. My Aadhaar record can be used by KRA only for the specific purpose of validating/ maintaining/sharing my KYC record and as an audit evidence. I will have an option to request for deletion of my Aadhaar record.
- I am/We are also aware that for Aadhaar OVD based KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked. Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have business relationship for KYC purposes only.
- I hereby consent to receiving information from Central KYC/KRA Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Date : -- Place :



Signature / Thumb Impression of Applicant

3. 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 DOCUMENT VERIFIED BY Client interviewed by

Date --

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

IN PERSON VERIFICATION (IPV) CARRIED OUT BY

Date --

Name

Code

Designation

Name of the Organisation

[Signature]

INSTITUTION DETAILS

Name Muni Broking House Limited.

Code IN7982

[Institution Stamp]

Please fill this form in ENGLISH and in BLOCK LETTERS. (Use black ink)

A. IDENTITY DETAILS

1	Name of the Applicant																			
2	Date of incorporation	D	D	M	M	Y	Y	Y	Y	Place of incorporation										
3	a. Business Commencement date	D	D	M	M	Y	Y	Y	Y	b. Regn. No. (eg. CIN)										
4	PAN, copy attached	<input type="checkbox"/>																		
5	Status (Please tick any one)	<input type="checkbox"/> Pvt. Ltd. Co.	<input type="checkbox"/> Public Ltd. Co.	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Partnership	<input type="checkbox"/> Charities	<input type="checkbox"/> Bank	<input type="checkbox"/> Society	<input type="checkbox"/> Trust	<input type="checkbox"/> Defense Establishment	<input type="checkbox"/> Others	<input type="checkbox"/> FII	<input type="checkbox"/> HUF	<input type="checkbox"/> AOP	<input type="checkbox"/> Non Govt. Organisation	<input type="checkbox"/> BOI	<input type="checkbox"/> LLP	<input type="checkbox"/> FI	<input type="checkbox"/> Government Body	<i>(Please specify)</i>

B. ADDRESS DETAILS

1	Correspondence Address										
		City/Town/Village						PIN Code			
		State						Country			
2	Specify proof of correspondence address submitted										
3	Contact Details	Telephone (office)				Telephone (Res)					
		Fax No.				Mobile No.					
		Email ID									
4	Registered Address (if different from above.)										
		City/Town/Village						PIN Code			
		State						Country			
5	Specify proof of registered address submitted										

C. DECLARATION

We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, we are aware we may be held liable for it and the same will render our account liable for termination and suitable action.



Place						Signature of Applicant	Date	D	D	M	M	Y	Y	Y	Y
-------	--	--	--	--	--	------------------------	------	---	---	---	---	---	---	---	---

Muni Broking House Limited

FOR OFFICE USE ONLY

	Documents verified with Originals by	Client interviewed by	In-Person Verification done by																					
Staff Name/ AP																								
Designation/ Reg. Code																								
Signature																								
Date	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y
<input type="checkbox"/> (Original verified) Self Certified Documents copies received		<input type="checkbox"/> (Self Attested) True copies of documents received																						
Sign/Seal/Stamp of the intermediary																								



DETAILS OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLETIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC)
Form should be filled in English and in Block Letters (Use Black ink only)

Name of Applicant						PAN														
S.N.	Particulars						Photograph		Signature with Stamp											
1	Name						Affix recent passport size Photograph and Sign across it F5													
	Residential Address																			
	Designation																			
	PAN														Dt. of Birth					
	DIN/UID				Contact No.															
	Aadhar No.				PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No															
2	Name						Affix recent passport size Photograph and Sign across it S3													
	Residential Address																			
	Designation																			
	PAN														Dt. of Birth					
	DIN/UID				Contact No.															
	Aadhar No.				PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No															
3	Name						Affix recent passport size Photograph and Sign across it T3													
	Residential Address																			
	Designation																			
	PAN														Dt. of Birth					
	DIN/UID				Contact No.															
	Aadhar No.				PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No															
4	Name						Affix recent passport size Photograph and Sign across it													
	Residential Address																			
	Designation																			
	PAN														Dt. of Birth					
	DIN/UID				Contact No.															
	Aadhar No.				PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No															
5	Name						Affix recent passport size Photograph and Sign across it													
	Residential Address																			
	Designation																			
	PAN														Dt. of Birth					
	DIN/UID				Contact No.															
	Aadhar No.				PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No															
F6		S4				T4														
First Signatory		Second Signatory				Third Signatory														
Place		Name and signature with Stamp of the Authorised Signatory(ies)				Date		D	D	M	M	Y	Y							

Muni Broking House Limited

Clearing Member Details (to be filled up by Clearing Members only) - Non-Individual DEMAT Account

1	Name of Stock Exchange		2	Name of Clg. Corpn./Clg. House	
3	Clearing Member ID		4	SEBI Regn. No.	
5	Trade Name				
6	CM-BP ID (to be filled up by DP)		7	TM ID (to be filled up by DP)	

OTHER DETAILS

1st Holder	1	Gross Annual Income (Income Range per Annum, Plz tick)	<input type="checkbox"/> Below ₹ 1 Lac	<input type="checkbox"/> ₹ 1-5 Lac	<input type="checkbox"/> ₹ 5-10 Lac	<input type="checkbox"/> ₹ 10-25 Lac	<input type="checkbox"/> Above ₹ 25 Lac	
	2	Net worth (Not older than 1 year)	Amount (₹)			As on (Date)	D D M M Y Y Y Y	
	3	Occupation (Pls. tick any one give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector <input type="checkbox"/> Housewife	<input type="checkbox"/> Govt. Service <input type="checkbox"/> Student	<input type="checkbox"/> Business <input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Professional <input type="checkbox"/> Others (plz. specify)	<input type="checkbox"/> Agriculturist
	4	Please tick, if applicable	Politically Exposed Person (PEP)	<input type="checkbox"/>	Related to politically exposed person (RPEP)	<input type="checkbox"/>		
2nd Holder	1	Gross Annual Income (Income Range per Annum, Plz tick)	<input type="checkbox"/> Below ₹ 1 Lac	<input type="checkbox"/> ₹ 1-5 Lac	<input type="checkbox"/> ₹ 5-10 Lac	<input type="checkbox"/> ₹ 10-25 Lac	<input type="checkbox"/> Above ₹ 25 Lac	
	2	Net worth (Not older than 1 year)	Amount (₹)			As on (Date)	D D M M Y Y Y Y	
	3	Occupation (Pls. tick any one give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector <input type="checkbox"/> Housewife	<input type="checkbox"/> Govt. Service <input type="checkbox"/> Student	<input type="checkbox"/> Business <input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Professional <input type="checkbox"/> Others (plz. specify)	<input type="checkbox"/> Agriculturist
	4	Please tick, if applicable	Politically Exposed Person (PEP)	<input type="checkbox"/>	Related to politically exposed person (RPEP)	<input type="checkbox"/>		
3rd Holder	1	Gross Annual Income (Income Range per Annum, Plz tick)	<input type="checkbox"/> Below ₹ 1 Lac	<input type="checkbox"/> ₹ 1-5 Lac	<input type="checkbox"/> ₹ 5-10 Lac	<input type="checkbox"/> ₹ 10-25 Lac	<input type="checkbox"/> Above ₹ 25 Lac	
	2	Net worth (Not older than 1 year)	Amount (₹)			As on (Date)	D D M M Y Y Y Y	
	3	Occupation (Pls. tick any one give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector <input type="checkbox"/> Housewife	<input type="checkbox"/> Govt. Service <input type="checkbox"/> Student	<input type="checkbox"/> Business <input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Professional <input type="checkbox"/> Others (plz. specify)	<input type="checkbox"/> Agriculturist
	4	Please tick, if applicable	Politically Exposed Person (PEP)	<input type="checkbox"/>	Related to politically exposed person (RPEP)	<input type="checkbox"/>		
Any Other Information								

BANK DETAILS (Mandatory)

FOR BOTH

	Primary	Secondary, if any
Bank Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others, <small>in case of NRI, NRE/NRO (Plz specify)</small>	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others, <small>in case of NRI, NRE/NRO (Plz specify)</small>
Bank Account No.		
Bank Name		
Branch Address		
MICR Code		
IFSC Code		
Proof Provided	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No




PAST ACTIONS

Details of any actions/proceedings initiated / pending/taken by SEBI/Exchange/any other authority against the applicant/constituent or its Partners / Promoter s/Wholtime Directors / Authorised Persons in-charge of dealing in securities/ commodities during the last 3 years **(In case of any details, please provide a separate sheet)**

TRADING PREFERENCE FOR UCC.....

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

FOR TRADING ACCOUNT

EXCHANGE	NSE & BSE		MCX
ALL SEGMENTS	CASH / MUTUAL FUND	F & O	COMMODITY DERIVATIVES
	 F7	 F8	 F9

In case you do not wish to trade in any segments/ Mutual Funds, please mention here

- I/We are interested to trade into commodity options and hereby accord my/our consent to trading in commodity options.
 - I/We have gone through the additional risk disclosure document and have appraised myself/ourselves with the risk of trading in commodity options.
 - This consent is valid till I/we revoke the same. I/We understand that I/we have right to withdraw the same at any point of time.
- # If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

DP DETAILS

Sr.#	Particulars	Primary DP Details	Secondary DP Details
1	DP	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL
2	DP Name		
3	DP ID	Provide Proof	Provide Proof
4	Beneficiary Name		
5	BO/Client ID		

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

<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the Holder
<p>* If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s) only specified operation such as transfer of securities including Inter-Depository Transfer, Pledge/Hypothecation/Margin Pledge/Margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and/or securities and /or specific number of securities will be permitted.</p>	

WHETHER DEALING WITH ANY OTHER STOCK BROKER / AP OF OTHER BROKERS (IN CASE DEALING WITH MULTIPLE STOCK BROKER / AP OF OTHER BROKER, PROVIDE DETAILS OF ALL)

Stock Broker's Name			
AP's Name, if any			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/AP of other Brokers			

ADDITIONAL DETAILS

FOR BOTH DEMAT AND TRADING ACCOUNT	Whether you wish to receive physical contract notes/Documents or electronic contract notes (ECN)/Documents, please select		<input type="checkbox"/> Physical	<input type="checkbox"/> Electronic
	If Electronic, please specify your E-mail ID			
	Whether you wish to avail of the facility of Internet Trading / wireless technology, please tick		<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Number of years of Investment / Trading Experience			
	In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorised to deal in securities on behalf of company / firm / others : Fill in Annexure A			

INTRODUCER DETAILS

Introducer's Name	First Name	Middle Name	Surname
Introducer's Address			
Introducer's Status	<input type="checkbox"/> Remisier <input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Other (pls. specify)_____		
Signature			Phone No.

CLIENT CATEGORISATION

Please Select () on the below appropriate category depending upon your proposed nature of your activity against each product type.

Commercial - <input type="checkbox"/>	Non-Commercial - <input type="checkbox"/>
Product type - <input type="checkbox"/>	Product type - <input type="checkbox"/>
Bullion - <input type="checkbox"/>	Bullion - <input type="checkbox"/>
Base Metals - <input type="checkbox"/>	Base Metals - <input type="checkbox"/>
Energy - <input type="checkbox"/>	Energy - <input type="checkbox"/>
Agri-Commodities - <input type="checkbox"/>	Agri-Commodities - <input type="checkbox"/>

1. COMMERCIAL: Commercial Client includes Value Chain / Physical market participant / exporter / importer / having direct / indirect Exposure to the underlying Commodity
2. NON-COMMERCIAL: Non Commercial Client includes Trader / Arbitrageur

Name	
------	--

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

F10 

Client Signature : _____

REFUSAL OF ORDERS FOR PENNY STOCK: A stock that trades at a relatively low market price with low market capitalisation, these stock are generally considered to be highly speculative and risky because of their lack of liquidity, large bid-ask spreads, small capitalisation and limited disclosures. We do not restrict client for trading in the penny stock, if the same is permissible by the exchange and our risk management and surveillance (RMS) policy. In this regard we ensure that the brokerage charged on the transaction involving penny stock shall not exceed the prescribed maximum limit as per exchange norms. We also ensure that same shall not be construed as an arrangement in any form so as to inflate, depress or cause fluctuation in the price/ volume of the penny stock so as to hurt the true sentiments of the market.

SETTING UP OF CLIENTS EXPOSURE LIMIT: MBHL will normally give exposure at a predetermined multiple for the net credit balance lying in the client's ledger (across all segment) or on the unencumbered securities after taking into account the same to be sufficient to meet the upfront margin requirement in terms of the margin collection mechanism as specified by the Regulator and Exchanges from time to time. Exposure on securities is given after appropriate haircut as per exchange. MBHL may from time to time impose and vary limits on the orders that the client can place through its trading system (including exposure limits, turnover limits, limits as to the number, value in respect of which orders can be placed etc.). The client is aware and agrees that MBHL may need to vary or reduce the limits or impose new limits urgently on the basis of its risk perception and other factors considered relevant by it including but not limited to limits on account of exchange / SEBI directions etc.

APPLICABLE BROKERAGE RATE: The rate of brokerage varies from clients to clients. For those clients having frequency in transaction, generally the brokerage is on the lower front rather than for those who trade infrequently. The broker is entitled to charge brokerage within the limits imposed by exchange. However brokerage and other charges as agreed by the Client is indicated and duly signed by the client under brokerage slab. If there is any upward revision of brokerage, the same will be intimated with 15 days prior notice to the client. For any downward movement, the same would be done on immediate basis post intimation to Client.

INTEREST ON DELAYED PAYMENT: The clients will be liable to pay delayed payment charges not exceeding 2% per month for not making payment of their pay-in obligation on time as per the exchange requirement or net ledger debit balance as applicable.

IMPOSITION OF PENALTY: In case, where the broker has to pay any fine/penalty or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the order/trades/deals/actions of the client, the same shall be borne in actual by the client through the issuance of debit note as per the applicable norms specified by SEBI & Exchanges.

THE RIGHT TO SELL CLIENT'S SECURITIES OR CLOSE CLIENTS POSITIONS, WITHOUT GIVING NOTICE TO THE CLIENT, ON ACCOUNT OF NON PAYMENT OF CLIENT'S DUES: MBHL shall be entitled to liquidate client's securities, both unpaid securities as well as collaterals towards margins or close out client's open pledged position, without giving notice to the client for non-payment of margins or other amounts including the pay-in obligation, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations. Any and all losses and financial charges on account of such liquidations/closing out shall be charged to and borne by the client.

In case the payment of the margin/security is made by the client through a bank instrument, MBHL shall have absolute discretion to give the benefit/credit for the same only on the realization of clear proceeds in MBHL bank account. Where the margin/security is made available by way of securities or any other property, MBHL is empowered to decline its acceptance as margin/security and/or accept it at such reduced value as MBHL may deem fit by applying haircuts or by valuing it by marking it to market. MBHL has the sole discretion to decide referred stipulated margin percentage depending upon the market conditions.

In event of death or insolvency of the client, MBHL may close out all outstanding positions of the client, adjusting the loss incurred on such closures with the margin deposited by the client and claim further shortfalls, if any, against the estate of the client. The successors or heirs of the client shall be entitled to any surpluses which may result there from.

The above action is at the sole discretion of MBHL and may vary from client to client. It shall not be under any obligation to undertake the exercise compulsorily. MBHL shall therefore not be under any obligation to compensate or provide reasons of any omission or delay on its part to sell client's securities or close open positions of the client.

SHORTAGE IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES: If there are shortages due to internal netting of client's position, the same would be squared off using the highest price among the following options: - (provided that the same shall not exceed the highest price prevailing in the Exchange from the first day of the relevant trading period till the day of closing out or 20% above the official closing price on the auction day, whichever is higher).

1. A calculated rate based on the scrip's closing rate on auction date:
 - a) If the script is up to ₹ 100.99/- → add 7.5%
 - b) Between ₹ 101 and ₹ 500.99/- → add 5%
 - c) ₹ 501/- and above → add 2.5%
2. Buying / Selling Average Rate
3. Market Auction Rate

MBHL shall not be obliged to deliver any commodities or pay any money to the client unless and until the same has been received by it 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 commodities delivered short are purchase from the market and the purchase consideration (including all statutory charges and levies) along with a penalty is debited to the short delivery seller client.

CONDITIONS UNDER WHICH A CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITION:

- Client unable to meet his pay-in obligation as per exchange requirement irrespective of the value of collaterals available.
- Long pending debit balance in the client's account.
- Margin shortfall not compensated by the client.
- Dishonor of Cheque.
- Client dealing in "illiquid" stock as declared by MBHL.
- Transactions which may appear to be suspicious in nature.
- Where Client's margin is evaporated in excess of required limit (as decided by MBHL time to time) in any of the
- Exchanges or where broker wise/ client wise exposure exceeds in any securities/ exchanges.
- Where based on the happening of an event, MBHL has a risk perception that further trading in the contracts/ securities may not be in the interest of the clients and /or the market.

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 in such form and manner as may be required by MBHL. 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 broker & / or exchange & /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 MBHL is not eligible for any interest.

CLOSURE OF CLIENTS ACCOUNT: MBHL may carry out periodic review of the client accounts and may suspend the accounts from trading (i.e. prohibiting any market transactions, only allowing client shares/ledger balance settlement to take place) under any of the following circumstances:

- Where the Client who do not trade for a single day for 12 months from all Exchanges shall be declared "inactive account" and will be temporarily suspended.
- Where the Client has not cleared his dues after repeated reminders.
- Where Physical statements or contract notes, etc. are received back undelivered and the client is not responding to update the correct address.
- Where the Client is reported or known to have expired.
- Where client lodges a complaint either directly with MBHL or through the Exchange relating to alleged unauthorized Trades being executed in his account.
- Where the account is under investigation by any regulatory body.
- As per direction of the Exchanges, SEBI or any other regulatory body.
- On written request received from the client and the same can be activated on the written request of the client only.

The Client account can be closed on the written request of the client provided the client account is settled. If the client wants to reopen the account then the client has to again complete the KYC requirement.

DE-REGISTRATION OF THE CLIENT: Notwithstanding anything to the contrary stated in the agreement, MBHL shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- If the action of the client are prima facie illegal/improper or such to manipulate the price of any securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- On the death/lunacy or other disability of the Client.
- If the client being a partnership firm/any other organization, has any steps taken by the Client and/or its partners for dissolution or liquidation.
- If the client suffers any adverse material change in his/her/ its financial position or defaults in any other agreement with the Stock Broker.
- If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security.
- If the Client is in breach of any term, condition or covenant of this Agreement.
- Any suspicious information found by MBHL in sites like CIBIL, world check, etc. or if there is any commencement of a legal process against the client under any law in force.
- If the client forms a part of the list of debarred entities published by SEBI and/or any action is taken by NSE/BSE/SEBI on the client.
- MBHL reserves the right to deregister a client after giving 30 days' notice to the client without specifying any reason whatsoever. MBHL may freeze the assets of the client where it deems prudent and shall have the right to close out the existing positions, sell all the collaterals to recover its dues, if any, before deregistering the client.

Inactive client account will be considered as inactive if the client does not trade for a period of twelve months. Calculation will be done at the beginning of every month and a written request has to be made by the client for reactivation of their account.

POLICY ON VOLUNTARY FREEZING /BLOCKING OF THE ONLINE TRADING ACCOUNT: The clients can issue email at stoptrade@munibroking.com. Such emails could be issued anytime during the market hours. Requisite action for freezing the trading account will be done only upon receipt of email from the designated email id registered with MBHL.

The client can call on 033-3501 5555 during the market, to place request for freezing their trading accounts. The calls to be received from the dedicated mobile/ landline no. of the respective client. To ensure proper authentication, the agent will verify the client's identity and may be requested for additional information. Once verified, MBHL will freeze the trading account.

Acknowledgement will be issued upon receipt of above request. Simultaneously, the trading account will be frozen and all the pending orders will be cancelled for the said client. The timelines for freezing/ blocking of the online access of the clients' trading account is as under:

- Within 15 minutes upon receipt of request during the trading hours and within 15 minutes before the start of trading.
- Before the start of next trading session upon receipt of request received after the trading hours and 15 minutes before the start of trading.

Post freezing/blocking of the clients trading account MBHL shall send a communication on the registered mobile number and email id of the client. Details of open positions (if any) will be communicated to the client along with contract expiry information within one hour through separate email.

Muni Broking House Limited shall re-enable the online access of trading account following the procedure for freezing as outlined above after carrying out necessary due diligence at their end. In case of any adverse observation, the decision of MBHL shall be final and binding taken in the interest of respective client.

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 in this document under any circumstances whatsoever. These Policies and Procedures may be amended/changed by giving 15 days' notice by the broker, provided the change is informed to me/us through any one or more means/methods. I/we agree never to challenge the same on any grounds including delayed receipt/non-receipt or any other reason 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 MBHL before any court of law/ judicial/adjudicating authority including arbitrator/mediator, etc.

A. BROKERAGE

	%	Min. Rupees	Per Lot
1. Capital Market Segment			
Intra Day Brokerage			Not Applicable
Delivery Brokerage			Not Applicable
2. Futures & Options Segment			
Brokerage in Futures			Not Applicable
Brokerage in Options	Not Applicable	Not Applicable	
3. Physical Delivery			
4. Commodity Segment			
Brokerage in Futures			Not Applicable
Brokerage in Options	Not Applicable	Not Applicable	
5. Different Slab (If any)			

B. OTHER CHARGES

Securities Transaction Tax(STT), Commodities Transaction Tax(CTT), Stamp duty, SEBI Charges, Transaction charges, Goods and Services Tax (GST), IPFT and other charges if any shall be levied as per the stipulation of relevant authorities and hence, subject to change from time to time. A minimum brokerage of INR 1 paise per segment per contract will be charged wherever the Brokerage mentioned is 0.

MBHL reserves the right to levy additional charges including but not limited to the following:

Particulars	Amount
Duplicate Contract Notes (CN) issued	Rs. 20/- per sheet of the CN*
Bounced cheque/ Stop payment of cheque	Rs. 1350/- per instance/instrument*

MBHL reserves the right to change the brokerage as well as other tariff from time to time under intimation to client. Brokerage is also charged on expired, exercised and assigned Future and Options Contract. Brokerage will not exceed the rates specified by SEBI and the Exchanges. All Statutory and Regulatory charges will be levied as per exchange, SEBI and Depository Circulars published from time to time.

*These charges are subject to revision at the sole discretion of MBHL and shall be informed by ordinary post/email/quarterly account statements/Call/SMS/notification on the back office interface.

F14

Signature of the Client

Date:

D	D	M	M	Y	Y	Y	Y
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Charges for Depository Services

FOR DEMAT ACCOUNT

PARTICULARS	RATE (in Rs.)
	Regular Scheme
AMC (Quarterly)	Rs. 250/- for individual Rs. 500/- for other than individual
Sell (Debit) Transaction - Payin to MBHL	Rs. 25/-
Sell (Debit) Transaction - Other than MBHL	Rs. 25/- or 0.03% (whichever is higher)
Sell (Debit) Transaction - Off Market Trades	Rs. 25/-
Margin Pledge	Rs. 25/- per Transaction
Pledge Request (other than Margin Pledge)	Pledge Creation Rs. 35/- per transaction Pledge Closure Rs. Nil per transaction Pledge Invocation Rs. 20/- per transaction
Dematerialisation	a) Rs. 90/- per Certificate + Rs. 100/- Courier Charges b) Rs. 90/- for per Demat Rejection + Rs. 100/- Courier Charges
Rematerialisation	Rs. 90/- for every hundred Securities or part there of or a flat fee of Rs. 90/- per Certificates whichever is higher + Rs. 100/- Courier
Cheque Dishonour Charges	Rs. 1350/-
Re-issuance of DIS Booklet Charges	a) With Requisition Rs. 100/- per booklet b) Without Requisition Rs. 200/- per booklet
Modification Charges	
Client Master details changes	Rs. 25/- per Modification

Basic Service Demat Account (BSDA)

Stock Valuation in Rs. (including debt and other than debt securities combined)	AMC (Rs.)	Transaction Charges (Rs.)
Upto Rs. 4 lakhs	Nil	As per Regular Scheme
More than Rs. 4 lakhs but up to Rs. 10 lakhs	Rs. 100	
More than Rs. 10 lakhs	As per Regular Scheme	

NOTES: *For Corporate Accounts Additional Rs. 500/- P.A will be charged towards depository AMC In all scheme. All the charges mentioned above are inclusive of the charges levied by NSDL.*

- 1) GST (Goods & Services Tax), Stamp duty, Statutory Charges, Notary charges and other charges if any shall be levied as per the stipulation of the concerned authorities.
- 2) The first year AMC will be charged on pro rata basis from the month of account opening till 31 March. Subsequently, it will be charged annually from the month of April for next financial year. All other charges will be billed on a monthly basis for any transaction during the month.
- 3) Charges may also be collected upfront, by the authorities at the point of acceptance of delivery instruction.
- 4) Delayed Payment Charges will be levied @24% p.a. if payment for the billing month is not received by the end of next month. In case of delay in the payment of charges, the account may be frozen for all operations until such time all dues are cleared.
- 5) In case of account is closed during the year, AMC for the unrealized quarter/Balance of quarter will be refunded to the client.
- 6) "All market Instructions for transfer must be received latest by 4.00 P.M working day prior to the Pay in Day as per SEBI Guidelines. All off market instructions for transfer must be received at least 24hours before the execution date. Late instructions would be accepted at the account holder's sole risk and responsibility*"
- 7) Charges are subject to revision at the Company's sole discretion and/or as per the revisions in the Depositories Charges. Any service not quoted will be charged separately.
- 8) Value of transaction will be In accordance with rate provided by the Depositories.
- 9) Stamp Duty on off Market transactions where consideration is Involved will be levied as applicable from time to time.
- 10) NSDL charges a settlement fee at the rate of ₹ 4.00 per debit instruction in a Client's account to the Participant of the Client.



F15

Signature of Sole / 1st Holder



S5

Signature of 2nd Holder



T5

Signature of 3rd Holder

To
Muni Broking House Limited
 The Legacy, Unit 41A/43, 25A Shakespeare Sarani, Kolkata - 700017

I/We do hereby declare that my/our Commodity-wise categorisation as a participant is as follows:

Sr. No.	Symbol Description	*Farmer / EPOS	*Value Chain Participants (VCPs)	*Proprietary Trades	*Domestic Financial Institutional Investors	*Foreign Participants	*Others
1	AGRIDEX						
2	ALMOND						
3	ALUMINIUM						
4	BAJRA						
5	BARLEY						
6	BRASS						
7	CARDAMOM						
8	CASTOR SEED						
9	CHANA						
10	COPPER						
11	CORIANDER/DHANIYA						
12	COTTON						
13	COTTONSEEDOILCAKEAKOLA						
14	CPO - CRUDE PALM OIL						
15	CRUDE OIL						
16	GOLD						
17	GUARGUM						
18	GUARSEED						
19	GUAREX						
20	GUMSYOIL						
21	GUR						
22	HIPROSOYBEANMEAL						
23	JEERA						
24	KAPAS						
25	LEAD						
26	MAIZE						
27	MCXBULLDEX						
28	MCXMETLDEX						
29	MENTHA OIL						
30	MOONG						
31	NATURAL GAS						
32	NICKEL						
33	PADDY BASMATI						
34	PEPPER						
35	RAPE MUSTARD SEEDS						
36	RBDPMOLEIN						
37	RUBBER						
38	SESAMESEED						
39	SILVER						
40	SOY OIL						
41	SOYABEAN						
42	SOYDEX						
43	STEEL						
44	SUFIBLT						
45	SUGARM						
46	TURMERIC						
47	WHEATKOTA						
48	ZINC						
49	ENERGY INDEX FUTURES						

I/We also give any consent to upload the information to the respective commodity exchanges.

(1) Farmers/FPOs: It includes participants such as farmers, farmers' cooperatives, Farmers Producers Organisations (FPOs) and such entities of like nature. **(2) Value chain participants (VCPs):** It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs. **(3) Proprietary traders:** It includes the members of stock exchanges trading in their proprietary account. **(4) Domestic financial institutional investors:** It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives. **(5) Foreign participants:** It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets. **(6) Others:** All other participants which cannot be classified in the above categories.

ACKNOWLEDGEMENT TO MUNI BROKING HOUSE LIMITED FROM CLIENT

To,
Muni Broking House Limited,
The Legacy, Unit 41A/43,
25A Shakespeare Sarani, Kolkata - 700017

I / We hereby confirm that I / We have gone through all the relevant clauses at the time of execution of KYC and has sought the relevant clarification wherever required from the officials of MBHL.

Moreover please arrange to provide the following documents in Electronic via E-mail Physical

Sl. No.	Brief Description of the Document
1.	Right and Obligations of Stock Brokers, Authorised Person and Clients.
2.	Risk and Disclosure document (Equity & Commodities Derivatives includes option trading in commodities).
3.	Internet and Wireless technology based trading facility provided by Stock Brokers to Client.
4.	Guidance note - Do's and Don'ts for trading on the Exchange(s) for Investors.
5.	Rights and Obligations of Beneficiary Owner and Depository Participant as prescribed by SEBI & Depository
6.	Duly Executed Copy of KYC
7.	Muni Broking Tariff Sheet
8.	Policies and Procedures Document
9.	Running Account Authorization & Mobile Declaration
10.	Most Important Terms & Conditions

For: _____ Client Code : _____


F17


S6





T6

Note: The standard documents (Client Copy) are also available in vernacular language on our Website: www.munibroking.com and can be downloaded at any point of time for reference.

DECLARATION

1. I / We have received and read the 'Rights and Obligations' document and 'Terms & Conditions' and agree to abide by and to be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP/MBHL any change(s) in the details / particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.
2. 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 of non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".
3. I/We confirm having read/been explained and understood the contents of the document on 'Policy and Procedures', Voluntary Document and Tariff Sheet of the Stock Broker.
4. I/We further confirm having received, read and understood the contents of the "Rights and Obligations" and "Risk Disclosure Documents." I/We 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 along with DO's and DON'Ts has been displayed for information on stock broker's designated website.

For NSDL	SPEED-e	For SPEED-e registration, please visit at https://eservices.nsd.com .	
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	Sole Applicant / First Signatory / Guardian (in case sole holder is Minor)	Second Applicant / Signatory	Third Applicant / Signatory
Signature(s) of Holder(s) / Signatory(ies)	 F18	 S7	 T7
Place		Date	

Notes:

1. In case of additional signatures, separate annexures should be attached to the application form.
2. 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.
3. 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.
4. Strike off whichever is not applicable.

We undertake that we have made the client aware of 'Policy and Procedures', 'Tariff Sheet' and all the 'Non-Mandatory' documents. We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. We have provided him/it a copy of all the KYC documents. We undertake that any change in the 'Policy and Procedures', 'Tariff Sheet' and all the 'Non-Mandatory' documents would be duly intimated to the clients. We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on our website, if any, for the information of the clients.

Place _____

Date _____

Signature of Authorised Signatory with Seal / Stamp of Muni Broking House Limited



Demat Debit and Pledge Instruction (DDPI) Authorization

Date:

To,













Muni Broking House Limited,

The Legacy, Unit 41A/43, 25A Shakespeare Sarani, Kolkata - 700017.

Dear Sir/Madam,

Sub: Demat Debit and Pledge Instruction (DDPI) Authorisation

I/We, (UCC _____) hereby explicitly agree, authorize and give consent to authorize Muni Broking House Limited (MBHL), to access Beneficial Owner (BO) Account _____ as per following purposes:

S. No.	Purpose	Signature of Client*
1.	Transfer of securities held in the beneficial owner accounts of mine / us (clients) towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me / us (clients) on the Stock Exchange through Muni Broking House Limited.	<p>1st Holder  F19</p> <p>2nd Holder  S8</p> <p>3rd Holder  T8</p>
2.	Pledging / re-pledging of securities in favour of Muni Broking House Limited / Clearing Member (CM) / Clearing Corporations (CC) for the purpose of meeting margin requirements of the clients in connection with the trades executed by me/us (the clients) on the Stock Exchange.	<p>1st Holder  F20</p> <p>2nd Holder  S9</p> <p>3rd Holder  T9</p>
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	<p>1st Holder  F21</p> <p>2nd Holder  S10</p> <p>3rd Holder  T10</p>
4.	Tendering shares in open offers through Stock Exchange platforms.	<p>1st Holder  F22</p> <p>2nd Holder  S11</p> <p>3rd Holder  T11</p>

I/we am/are entitled to revoke this authorisation at any time, after sending the revocation letter at your office. Such revocation shall not affect my/our obligations outstanding at the time of such revocation and the authority granted hereunder shall continue until all transactions and instructions already executed or issued have been settled.




Schedule I provides the details of demat account of MBHL/Clearing Members/Clearing Corporations/Exchanges, where client shares / commodities can be transferred / Pledged / Repledged.

*The same may be e-signed or signed physically. DDPI document shall be valid from the date as specified by Regulator

SCHEDULE - I

Depository Participants Name	Demat Account No.	Depository	Name/Type
Muni Broking House Limited	<u>IN304764-10000012</u>	NSDL	CM - Pool
Muni Broking House Limited	<u>IN304764-10000024</u>	NSDL	TM- Pool
Muni Broking House Limited	<u>IN304764-10000037</u>	NSDL	TM / CM - Client Security Margin Pledge A/c
Muni Broking House Limited	<u>IN304764-10000070</u>	NSDL	Proprietary A/c
Muni Broking House Limited	<u>12019103-01503492</u>	CDSL	CM - Pool

Signed and delivered for and on behalf of the Client,

 F23	 S12	 T12
_____	_____	_____
First Holder	Second Holder	Third Holder

For **Muni Broking House Limited**

 (Director / Authorised Signatory)

To,
Muni Broking House Limited,
 The Legacy, Unit 41A/43, 25A Shakespeare Sarani, Kolkata - 700017

Dear Sir / Madam,

I / We hereby state that: [Select one of the options given below]

OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL/ NSDL account though I / we have issued a Power of Attorney (POA) / Demat debit pledge Instruction (DDPI)/ executed PMS agreement in favour of / with **MUNI BROKING HOUSE LIMITED** (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.




OR

OPTION 2:

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / Demat debit pledge Instruction (DDPI)/ executed PMS agreement in favour of / with **MUNI BROKING HOUSE LIMITED** (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

FOR DEMAT ACCOUNT

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	 F24	 S13	 T13

Applicant Name _____

PART I

- A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange:
 Yes No

If "No", then proceed to point B. If "yes" please specify name of stock exchange, if you are listed company _____ and proceed to sign the declaration.

- B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India : Yes No
If "yes", then please fill of FATCA/ CRS Self certification Form. If "No", proceed to point C.

- C. Is the account holder an Indian Financial Institution : Yes No

If "yes", please provide your GIIN, if any _____ . If "No", proceed to point D.

- D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen : Yes No

If "yes", (then please fill FATCA/ CRS self-certification form)). If "No", proceed to sign the declaration.

CUSTOMER DECLARATION

() Under penalty of perjury, I/we certify that :

1. The applicant is:

- (i) An applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S.,
- (ii) An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)

2. The applicant is an applicant taxable as a tax resident under the laws of country outside India.

- (i) I/We understand that Muni Broking House Limited. is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. MBHL is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (ii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- (iii) I/We agree that as may be required by domestic regulators/tax authorities MBHL may also be required to report, reportable details to CBDT or close or suspend my account.
- (iv) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Name of the Entity _____

F25 

Signature 1 _____

S14 

Signature 2 _____

T14 

Signature 3 _____

Date : _____

Section 4 : Controlling person declaration

If you are classified as “Passive NFFE with Controlling Person(s)” or “Owner documented FFI” or “Specified US person”, please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing country	Controlling person type

Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification Type					
Identification Number					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

Section 5 : Declaration

- (i) Under penalty of perjury, I/we certify that :
 1. The number shown on this form is the correct taxpayer identification number of the applicant, and
 2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America (“U.S.”) or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or
 3. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
- (ii) I/We understand that Muni Broking House Limited. is relying on this information for the purpose of determining the status of applicant named above in compliance with CRS/FATCA. Muni Broking House Limited. is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.
- (iv) I/ We agree as may be required by Regulatory authorities, Muni Broking House Limited. shall be required to report, reportable details to CBDT or close or suspend my account.
- (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

I/We hereby confirm that details provided are accurate, correct and complete

Declaration Form of Ultimate Beneficial Ownership [UBO] / Controlling Persons

VOLUNTARY

(Mandatory for Non-individual Investors)

(To be provided on Letter Head)

I. Investor Details:

Name of the Client _____

II. Category:

- Our company is a Listed Company listed / Subsidiary or Controlled by a Listed Company
[If this category is selected, no need to provide UBO details]
- Unlisted Company Partnership Firm / LLP Unincorporated Association / Body of Individuals
- Public Charitable Trust Private Trust Religious Trust
- Trust created by a Will HUF Others [please specify] _____

UBO / Controlling Person(s) details

Sl. No.	Name of UBO	Country of Tax Residency	Taxpayer Identification Number / PAN / Equivalent ID Number	% of beneficial interest	Address, Address Type & Contact details (include City, Pincode, State, Country)	Gender (Male, Female)	PEP	Nationality	Occupation [Service, Business, Others]

Declaration

We acknowledge and confirm that the information provided above is true and correct to the best of our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, we are aware that we may liable for it. We hereby authorize Muni Broking House Limited. [MBHL] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by us, including all changes, updates to such information as and when provided by us to any of the relevant Authorities or any Indian or foreign governmental or statutory or judicial authorities / agencies without any obligation of advising us of the same. Further, we authorize to share the given information to other SEBI Registered Intermediaries and/or any other regulated intermediaries registered with SEBI / RBI / IRDA to facilitate single submission / update & for other relevant purposes. We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

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Date: _____

Client Signature _____

Place: _____

INSTRUCTIONS ON CONTROLLING PERSONS / ULTIMATE BENEFICIAL OWNER

As per SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/ UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
- more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company;
 - more than 10% of the capital or profits of the juridical person, where the juridical person is a partnership;
 - more than 10% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

C. Exemption in case of listed companies / foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.

Date : _____

 To,
Muni Broking House Limited,
 The Legacy, Unit 41A/43, 25A Shakespeare Sarani, Kolkata - 700017

Subject : Common Mobile / Email ID For Trading and DEMAT account

Dear Sir,

 I, Mr/Mrs _____ having trading code as _____
 and Demat account number as _____ would like to confirm that the
 Mobile number _____ and Email ID _____ is
 registered in my/our name. I am your registered client.

Upon understanding from you that my mobile number/email id is registered with some of the clients who have trading and/or demat accounts with you, I have to state that this is in my full knowledge and I have consented to the below clients who are my relative/s* to state my mobile number/email id in their KYCs to which I have no objection. All the transactions in their accounts are not only done as per their respective instructions but they are well conveyed by us of all the SMS/Email belonging to them which are sent by you to us on our above mobile number/email id. All these below clients also do not have any objection to the same.

Sr.No.	Client Name	Client ID/ UCC	Relation	Signature
1.				
2.				
3.				
4.				

However, in case of any further regulatory requirements, I undertake to abide upon hearing from you.

Thanking You.

Client Signature :


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***Note :** The close relatives ONLY to be included are – Spouse, Dependent Children and Dependent Parents

DEPOSIT OF SECURITIES/FUNDS TOWARDS MARGIN

 To,
Muni Broking House Limited,
 The Legacy, Unit 41A/43, 25A Shakespeare Sarani, Kolkata - 700017

Date : _____

Dear Sir,

I/We understand that the Member accepts deposit of funds and Securities/Commodities (by way of pledge) towards "Margin" for the purpose of allowing additional exposure/turnover and this document has been signed by me/us voluntarily without any coercion or force.

In respect of the above margins, I/We also undertake and agree to the following:

1. I /We shall pay initial margin as specified by Exchanges before placing any order. Muni Broking House Limited. (MBHL) will have all the rights not to execute the order if I/We fail to place the required initial margin with them.
2. That the above margins are subject to the first and paramount lien for any sum due to MBHL by me/us for the due fulfillment of my/our engagements, obligations and liabilities arising out of or relating or incidental to any bargains, dealings, transactions and contract made through or with you.
3. That MBHL has a clear and undisputed right to dispose of the margin in terms of securities/commodities (by way of revocation of pledge) and adjust the proceeds or the cash margin provided towards overdue balances in my/our account, at my risk and cost, without any need for clearance or reference to me/us whatsoever after giving reasonable opportunity.
4. I/We shall when called upon to do so, provide additional margin money to MBHL as required by them or Stock Exchange in respect of positions taken by me/us.
5. The margin as required shall be in equal proportion of that of securities & funds . MBHL shall have the final authority to execute trades in case of non maintenance of the prescribed proportion.

Your Sincerely,

 Client Signature 
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**Electronic Contract Note [ECN] — DECLARATION
(Applicable if client opts for ECN)**

To,
M/s. Muni Broking House Limited,
The Legacy, Unit 41A/43, 25A Shakespeare Sarani, Kolkata - 700017.

Dear Sir,

I/We _____, a client with Member,
M/s. Muni Broking House Limited, member of respective Exchanges undertake 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/ourselves 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 operations.
- My/Our email Id is/are *

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.

The above declaration and the guidelines on ECN as envisaged by the exchange 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 : _____

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Signature _____ Date : _____ Place : _____

Terms and Conditions :

Terms and Conditions for availing the facility of the Electronic Contract Notes & Daily Margin Statement are as follows :

1. The Client will ensure availability of the above mentioned e-mail ID at all times.
2. The Client shall update for any change in e-mail ID through a duly executed physical letter.
3. Electronic Contract Notes & Daily Margin Statement will also be available on Company Website.
4. Clients can view the Electronic Contract Notes & Daily Margin Statement on URL by using the Username & Password.
5. In case of any failure in system or errors the same will be issued in physical form, which shall be binding on the client.
6. Mandate can be revoked at any time with the issuance of Physical Letter.

I/We have executed KYC with you for dealing in Cash, F&O, Commodity and Currency Segment of National Stock Exchange of India Limited (NSE), BSE Limited (BSE) and Multi Commodity Exchange of India Ltd. (MCX) as applicable (hereinafter referred as Exchanges).

I / We hereby declare the following:

1. I / We will not carry out any unfair trade practices such as Synchronized deals, Structured deals, Circular Trading.
2. I / We will not place any order on the exchanges, which will reflect as an arrangement for profit or loss transactions. All the orders placed on the exchange will be in the normal market where there are corresponding underlying Shares/Securities/Commodities positions in the Cash, F&O, Commodity Derivatives (Futures & Options) and CDX as applicable segment of the respective Exchange.
3. I / We will not introduce any kind of money acquired illegally in the financial system.
4. I / We will submit the necessary documents / information required under the PMLA and/ or any other statute.
5. I/ We will not indulge in any act which creates false or misleading appearance of trading in the Shares/ Securities/Currency Derivatives/Commodity Derivatives/Futures & Options market;
6. I/ We shall not deal in a security not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of such security for wrongful gain or avoidance of loss.
7. I/ We will not advance or agree to advance any money to any person thereby inducing any other person to offer to buy any security.
8. I/ We will not pay, offer or agree to pay or offer, directly or indirectly, to any person any money or money's worth for inducing such person for dealing in any security with the object of inflating, depressing, maintaining or causing fluctuation in the price of such security;
9. I/We will not act in such a manner resulting manipulation of the price of a security;
10. I / We will not sell, deal or pledge any of the stolen or counterfeit security in dematerialized form;
11. I/ We will inform the management of Muni Broking House Limited. (MBHL) of any encouragement by a dealer to trade in Shares/Securities/Contracts/Commodities solely with the object of enhancing brokerage or commission;
12. I/ We will not plant any false or misleading news which may induce sale or purchase of Shares/Securities/ Contracts/ Commodity Derivatives (Futures & Options) .
13. I/We agree to abide by client level position limit and authorize you not to increase my/our open position beyond the stipulated limit, and if inadvertently exceeded, to actually reduce and bring it within acceptable limits. I/We further authorize you to debit my/our ledger for any penalty imposed on you for my/our violation towards position limit.
14. I/We also hereby authorize MBHL with whom both the beneficiary demat account and trading account is operated, to debit the trading account for any charges payable to MBHL as Depository Participant for providing Depository Services. Any such amount debited to my/our account shall be binding on me/us.
15. I/We hereby authorise MBHL to meet the Pay-in / Pay-out obligations arising at Exchanges (as applicable) without transferring the same to my/our Demat Account as and when such inter exchange obligations arise in the Security(ies)/ Contract(s) traded by me/us across Exchanges.
16. I/We undertake that if any claim or dispute arises between us in respect of any transactions, contracts, etc. entered into on my/our account, I/We shall refer it to Arbitration as per the Rules, Bye-Laws and Regulations and conventions of the SEBI and/or exchange(s) which are applicable to me/us.
17. I/We undertake that I/we shall not hold MBHL, its Directors or Officers liable towards my/our acceptance of any lucrative offer of fixed return on investment without the knowledge of the Company and the onus to bring the same to the notice of the Company lies with me/us.
18. It shall be my/our responsibility to check the data provided through SMS Alert Service with the actual Contract Notes/Financial Ledgers given by MBHL. I/We agree to inform you of any changes in the mobile number on which the updates are required.
19. I/We do hereby confirm that levy of Rs 20/- for each sheet on the physical issuance of the contract note (in addition to ECN) as an extra service is duly acceptable.

Client Signature



20. I/We do hereby confirm that I/we shall not deposit any third party cheque towards meeting my/our obligation for the trades executed by me/us and hence shall not hold MBHL against any such credit.
21. Excess Margins deposited towards one exchange may be adjusted, on a running basis, towards margin requirement/ debit balance in same / other Exchange where I/We have the client account.
22. MBHL can/may pass on me/us on upfront margin shortfall / loss suffered together with incidental expenses due to my/ our violating any of the requirements/stipulations of Exchanges or any other regulatory authority including but not limited to my/our disturbing fair price determination in the market or resorting to unfair trade practices.
23. MBHL and its directors, officers, employees, and agents shall not be responsible or liable for any loss suffered or which may be suffered by me/ us, arising from any delay or failure in the transmission, receipt, execution or confirmation of orders due to any breakdown, interruption or failure of transmission of the Internet, computer network, software, hardware, other computer devices, Internet system and any problem arising from my/our side.
24. MBHL and/or its agents will not be liable for losses caused directly or indirectly by government restriction, Exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions beyond its control.
25. MBHL may restrict my/our trading as per their risk management and/or due diligence policies or any other reason inspite of my/our having paid full margin. I/We will comply to their requirements which may include submission of updated documents, undertaking, financial etc.
26. I/We shall not hold MBHL or any of its employee/official/agent/affiliate responsible or liable for any information, recommendation or advice with respect to any investment/trading decision or transaction, and if so acted upon by me/us, the same shall be at my/our sole risk and cost.

Client Signature 

DECLARATION ON OPEN INTEREST POSITION

(Mandatory if client wants to trade in MCX & opt for IBT)

To,
Muni Broking House Limited,
The Legacy, Unit 41A/43, 25A Shakespeare Sarani, Kolkata - 700017.
Dear Sir,

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

I/We, the undersigned, have taken cognizance of Circular issued by SEBI or MCX from time to time and on the guidelines provided by the respective exchange 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 prescribed from time to time by respective exchanges or Securities and Exchange Board of India and such position limits will be calculated in accordance with the circulars of MCX as modified from time to time.

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

I/We confirm that you have agreed to enter orders in commodity contracts/commodity derivatives for me/us as your clients on respective exchanges only on the basis of our above assurances and undertaking.

Yours faithfully,

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Signature _____

(In case of Non-Individual client, the same to be signed by the Authorised signatory with Company Seal)

Note :- Futures & Options in commodities will be on the underlying commodity or Index

To,
Muni Broking House Limited,
The Legacy, Unit 41A/43,
25A Shakespeare Sarani, Kolkata - 700017.

Date :

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain funds receivable by me/us until specifically requested by me/us to be settled.
2. I/We understand and agree that no interest will be payable to me/us on the amounts so retained with you.
3. I/We authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund which form part of margin.
4. I/We may revoke the authorization at any time by issuing a physical letter for the effect.
5. I/We also agree that the actual settlement of fund shall be done, at least once in a
Tick your preference (Default is Quarterly Settlement)

90 days <input type="checkbox"/>	30 days <input type="checkbox"/>
----------------------------------	----------------------------------

6. There shall be no inter-client adjustment for the purpose of settlement of the 'running account'.
7. You may retain the requisite funds towards settlements as per the applicable norms as prescribed by SEBI as and when updated.
8. I / We shall bring any dispute on the "Statement of Running Account" to your notice within 30 working days from the date of receipt of the same.

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Client Signature  _____

DO's and DON'Ts

Do's and Don'ts which are relevant for operation of Trading / Demat account with Muni Broking House Limited.:

DO's

- Issue cheque(s) towards margin / pay-in obligation of funds only in the name of "Muni Broking House Limited".
- Transfer securities against Pay-in obligations only in designated Demat Accounts of Muni Broking House Limited.
- Any receivables from MBHL on account Pay-out shall be from Bank / Demat Account from MBHL only and not from Authorised Person /Advisor.
- Ensure that no separate fees, charges, commissions or any consideration is paid to Authorised Person / Advisor; other than what is payable to MBHL.
- Make payments of bills/ dues in time to avoid delayed payment burden or Risk Management actions.
- Check ledger, derivative position, demat statement and your account details at regular intervals.
- Ensure that all your trades and Investments are executed under your instructions. Ensure that the digital contracts notes sent to your email are in concurrence with the said orders.
- Any change / modifications in your contact details should be immediately updated with MBHL.
- Ensure to read all the tariff / brokerage applicable to you, before placing your orders with MBHL.

DON'TS

- Do not give any discretionary rights to your Advisor / Relationship Manager / Authorized Person to trade in your account.
- As there are no fixed or guaranteed returns on investments in securities market, do not rely on any such commitments if any given by Authorised Person /Advisor.
- Never handover blank or signed Demat Slips Book to anyone, it is akin to signing a blank cheque.
- Do not give cash / securities to your Advisor / Relationship Manager / Authorized Person for any transaction
- Never give a third party cheque for funds pay-in or shares for shares pay-in.
- Do not enter into any personal agreement with Authorised Person / Advisor in connection with your transaction in trading / demat account opened with MBHL.

Client Signature  _____

QUESTIONNAIRE TOWARDS RISK PROFILING OF CLIENTS

IDENTIFYING YOUR INVESTMENT RISK (From Investment Trading Perspective)

1 Familiarity with the Investment (Tick the applicable) _____

Not familiar at all Somewhat familiar Fairly familiar Very familiar

2 Investment Longevity (Tick the applicable) _____

Less than 1 year Within 1-3 years Within 3-5 years More than 5 years

3 Approximate percentage of your currently held asset in investment products (Tick the applicable) _____

Above 75% Between 50% to 75% Between 10% to 25% Less than 10%

4 Your experience in Stock Market (Tick the applicable) _____

Highly Experienced Very Experienced No Experienced

5 Legal Actions (Tick the applicable) _____

Yes Rs. _____ (Amount involved) No

6 Quantum of bearable loss (Tick the applicable) _____

Minimal amount of Capital loss Moderate Capital Loss High Capital Loss

7 Source of deployment of funds, whether borrowed (Tick the applicable) _____

Yes Name of the lender: _____ and amount borrowed Rs. _____ No

ADDITIONAL INFORMATION

1 Details of the family member / group Companies being the promoter of the listed Company _____

(Tick the applicable)

Yes Name of the listed Company _____ No

2 Details of the family member / group Companies registered with SEBI (Tick the applicable) _____

Yes Mention details _____ No

3 Details of the family members / relatives having trading account with MBHL (Tick the applicable) _____

Yes Client Code _____ Name _____ No

4 Annual Income Bracket of the Customer (Tick the applicable) _____

= < ₹10 lacs ₹10 to ₹50 lacs ₹50 to ₹1 Crore ₹1Crore and above

5 Residential Status (Tick the applicable) _____

NRI Indian Resident

6 Purpose of Investment (Tick the applicable) _____

Wealth Creation Retirement Corpus Succession Plan Corpus

7 Customer Occupation (Tick the applicable) _____

Business Service Professional

8 Risk Appetite (Tick the applicable) _____

Low Medium High Very High

9 Preferable Asset Class (Tick the applicable) _____

Equity Debt Hybrid Real Estate Rent yielding property Alternative Investment Funds

Additional Comments (to be filled by Client) _____

(Please write down any additional comments you may have relevant to determining your Risk Profile)

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Client Signature

To,
Muni Broking House Limited,
 The Legacy, Unit 41A/43,
 25A Shakespeare Sarani, Kolkata - 700017.

Sub :- Internet Trading

I/We wish to trade through internet in various segments as opted by me/us and confirm that I am / we are fully aware of and understands the risk associated with availing of a service of routing orders through internet including the risk of misuse and unauthorized use of my/our Username and/or Password by a third party and the risk of a person hacking into our account on your ITORS (internet based Trading through Order Routing System) system and unauthorized routing order on behalf of us through the system. I/we agree that we shall be fully liable and responsible for any and all unauthorized use and misuse of my/our Password and /or Username and also for any and all acts done by any person through your ITORS system on our Username in any manner whatsoever. I/We shall not held MBHL or any of its employees liable for non execution of trades due to failure of networking or for any other reason thereof. I/We hereby confirm you to send our Username and Password on the below mentioned e-mail address.

Email Address : _____

The non-receipt of bounced email notification by you shall not be construed as a ground for dispute in the future.
 Thanks and best regards,

Applicant's Name			
Applicant's Address			
Applicant's Signature	 F38		
Mobile No.		Telephone No.	
Place		Date	

CONSENT FOR BOTH ONLINE-OFFLINE TRADING

VOLUNTARY

To,
Muni Broking House Limited,
 The Legacy, Unit 41A/43,
 25A Shakespeare Sarani, Kolkata - 700017.

Dear Sir,

1. With reference to my/our trading account opened with you, I/We request you to kindly allow me/us to trade on both online and offline mode.
2. I/We can trade online on internet as well as mobile device and can trade offline on the dealer's terminal of my/our Authorized Person/Trading Member terminal.
3. I/We completely understand that I/We shall be solely responsible for the rewards, risks or liabilities arising out of my/our trades that I/we place either on the online/offline mode as described above.
4. I/We may revoke the authorization at any time by issuing a physical letter for the effect.

Thanking You,
 Yours truly,


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 Signature of the client

Name:

Client Code:

- **The Background**

The Prevention of Money-Laundering Act, 2002 (as amended) was notified on July 1, 2005. Subsequent to this, the Securities and Exchange Board of India (SEBI) has, on 18th January 2006, required market intermediaries to adopt a policy framework with respect to anti-money laundering measures to be followed by the intermediaries. Muni Broking House Limited (MBHL) is inter alia, a stock broker and a depository participant needs to adhere to the same.

- **The Objective**

- (a) Money laundering has now become one of the major concerns of international financial community. Money Laundering is not just an attempt to disguise money derived from illegal activities. Rather, money laundering is involvement in any transaction or series of transactions that seek to conceal or disguise the nature or source of proceeds derived from illegal activities, including drug trafficking, terrorism, organized crime, fraud and many other crimes.
- (b) Know Your Customer (KYC) is the guiding principle behind the Anti-Money Laundering (AML) measures. It incorporates the " Know Your Customer " Standards & " Anti Money Laundering " Measures, hereinafter to be referred as " KYC Standards " and " AML Measures ". The objective of is to " have in place adequate policies, practices and procedures that promote high ethical and professional standards and prevent Muni Broking House Limited from being used, intentionally or unintentionally, by criminal elements
- (c) KYC Standards and AML Measures would enable Muni Broking House Limited to know/ understand its customers, the beneficial owners in case of non-individual entities, the principals behind customers who are acting as agents and their financial dealings better which in turn will help the Company to manage its risks prudently.

- **Mandate issued by SEBI**

SEBI has mandated that KYC policy should be designed to combat Money Laundering which covers Customer acceptance policy and customer due diligence measures, including requirements for proper identification of the customers. In view thereof , Muni Broking House Limited has framed comprehensive KYC and AML policy.

- (a) No account should be opened in anonymous or fictitious/benami name(s) i.e. to say that anonymous or fictitious/benami customers shall not be accepted.
- (b) No account should be opened or transactions conducted in the name of or on behalf of banned/suspended individuals, organisations, entities, etc. For the purpose, necessary cross checks must be made to ensure that the identity of a customer does not match with any person with known criminal background or with banned/suspended entities. In case of requirement , clarification would be sought from the prospective / registered client.
- (c) No account should be opened if appropriate due diligence measures cannot be applied to a customer for want of verifiable documents on account of non co-operation of the customer or non-reliability of the data/information furnished to MBHL.

- **Customer Identification procedure**

Customer identification for each customer, whether existing, new, regular or occasional is an essential element of an effective customer due diligence programme.

The same includes "profiling of Customer ", and solicitation of their "Identification ", "Signature", "Address " and "income" documentation.

Clients need to provide documents as required in the account opening document and required under SEBI and PMLA regulations.

Clients need to also provide details of their Income/Net worth in order to ascertain their financial profile.

Clients are expected to update the same frequently and at least on annual basis.

Date	D	D	M	M	Y	Y	Y	Y	DP ID									Client ID										
										UCC																		

Dear Sir/Madam

I, _____

S/o / D/o / W/o _____,
 give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records /Personal information such as my name, address, date of birth, PAN number etc.



Signature of Sole / First Holder / Signatory : _____

Dear Sir/Madam

I, _____

S/o / D/o / W/o _____,
 give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records /Personal information such as my name, address, date of birth, PAN number etc.



Signature of Second Holder / Signatory : _____

Dear Sir/Madam

I, _____

S/o / D/o / W/o _____,
 give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records /Personal information such as my name, address, date of birth, PAN number etc.



Signature of Third Holder / Signatory : _____

For any grievance/dispute please contact Muni Broking House Limited (MBHL) at the registered address or mail at:- **complaints@munibroking.com (for Trading) and dp@munibroking.com (for DP)** and call us at **+91 33 3501 5555**