STELLAREDGE
Brokers Private Limited

| | |
|---|---|
| Form No. : | |
| Client Code: | |
| Branch Code: | |
| DP ID: | |

# CLIENT ENROLLMENT FORM

| PRODUCTS |
|---|
| ☐ EQUITY / F&O / CURRENCY / MF / SLB |
| ☐ COMMODITY (MCX / NSE / BSE) DP-CDSL |
| ☐ |

DP Annual Maintenance Charges (Tick any one)
(view chargesheet for your plan)

| | |
|---|---|
| ☐ GREAT | ☐ LIFE TIME FREE AMC (F1) |
| ☐ LIFE TIME FREE AMC (DEPO_3K) | ☐ LIFE TIME FREE AMC (F2) |
| ☐ BSDA | |

ONLINE

WEB ☐ EXE ☐

Registered Office: Plot No. 7, Vishwakarma Society, Near Vishwakarma Mandir, Majura Gate, Surat-395002
Mob: 9819502478 / Email ID: compliance@stellaredgebrokers.com

Website: www.stellaredgebrokers.com
CIN: U66120GJ2024PTC149067

## *Stellaredge Brokers Private Limited*

Form No. :

## Acknowledgment (Office Copy)

Date :

| CASH | F & O | CURRENCY | COMMODITIES | MTF | OTHERS |
|---|---|---|---|---|---|
| ☐ BSE | ☐ BSE | ☐ BSE | ☐ MCX | ☐ NSE | ☐ MF |
| ☐ NSE | ☐ NSE | ☐ NSE | ☐ NCDEX | ☐ BSE | ☐ DP |
| ☐ MSE | | | ☐ NSE | | ☐ SLB |
| | | | ☐ BSE | | |

Account opening cheque details

Amount____________ Chq. No. ____________ Bank Name__________________ Date__________

Margin Cheque Details

Amount____________ Chq. No. ____________ Bank Name__________________ Date__________

Executive Name ________________________ Executive Signature ____________________

I have read and understood all the clause of Right and Obligation ( Trading and DP ), Risk Disclosure Document ( RDD ), Guidance Note detailing DO's and Don'ts forTrading, Policies and Procedure.

Further I/We, wish to receive the above mentioned documents by:

Electronic mode ☐ OR Physical Mode ☐

I/We acknowledge the receipt of copy of executed client registration form, tariff sheet, Right and Obligation ( Trading and DP), Risk Disclosure Document ( RDD), Guidance Note detailing DO's and Don'ts forTrading, Policies and Procedure.

**Client Signature**______________________

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Form No. :

## Stellaredge Brokers Private Limited

Date :

## Acknowledgment (Client Copy)

| CASH | F & O | CURRENCY | COMMODITIES | MTF | OTHERS |
|---|---|---|---|---|---|
| ☐ BSE | ☐ BSE | ☐ BSE | ☐ MCX | ☐ NSE | ☐ MF |
| ☐ NSE | ☐ NSE | ☐ NSE | ☐ NCDEX | ☐ BSE | ☐ DP |
| ☐ MSE | | | ☐ NSE | | ☐ SLB |
| | | | ☐ BSE | | |

Account opening cheque details

Amount____________ Chq. No. ____________ Bank Name __________________ Date __________

Margin Cheque Details

Amount____________ Chq. No. ____________ Bank Name__________________ Date__________

Executive Name________________________ Executive Signature ____________________

STELLAREDGE
Brokers Private Limited

Stellaredge Brokers Private Limited

**CIN:** U66120GJ2024PTC149067

Registered Office :
7, Vishwakarma Society, Near Vishwakarma Mandir, Majura Gate, Surat-395002

Processing Office :
7, Vishwakarma Society, Near Vishwakarma Mandir, Majura Gate, Surat-395002

**Director :**
Devang Sanjay Topiwala
E-mail: devang.topiwala@stellaredgebrokers.com
**Contact :9099070036**

Compliance Officer : **Mr. Smit Amit Choksi**
E-mail:Compliance@stellaredgebrokers.com **Contact : +91-9819502478**

For any grievance/dispute please contact Stellaredge Brokers **Private Limited** at the above address or email id **grievance@stellaredgebrokers.com** and Mob no. 9819502478 . In case not satisfied with the response, please contact the concern exchange(s) at:

| Exchange | E-mail ID | Telephone No. |
|---|---|---|
| **BSE** | is@bseindia.com | 022-2272 8097 |
| **NSE** | ignse@nse.co.in | 1800220058 |
| **CDSL** | complaints@cdslindia.com | 022-2305 8658 |
| **MCX** | grievance@mcxindia.com | 022-6649 4000 |
| **NCDEX** | askus@ncdex.com | 022-6640 6789 |
| **ICEX** | grivevance@icexindia.com | 022-4038 1546 |
| **SEBI Website** : http://scores.gov.in • Toll Free : 1800227575 | | |

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**Member of : ( NSE-90402 | BSE-6911|MCX-57575|MSE-82450 )**

**SEBI Single Registration No. :- INZ000321036**

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| 11. | Risks Disclosure Document (RDD) | Document detailing risks associated with dealing in the securities market and commodities segment. | |
| 12. | Guidance note | Document detailing do's and dont's for trading on exchange, for the education of theinvestors. | |
| 13. | Rights & Obligations of Beneficial Owners & Depository Participants. | Document stating the Rights & Obligations of Beneficial Owners and Depository Participants. | |
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# INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (FOR EQUITY & COMMODITY)

## 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 foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FIEB/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 bo submitted.
10. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to bo submitted along with other statutory approvals required for investment in commodities.#
11. 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.*
12. 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/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI. ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Notmore than 3 months old.
3. Bank Account Statement/Passbook – Notmore than 3 months old.
4. *Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co- Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSi Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.*
8. The proof of address in the name of the spouse may be accepted.

**PROOF OF BANK ACCOUNT (Any one of the following)**

1. Cancelled cheque leaf (bearing pre-printed name of the client)
2. Self attested copy of Bank Passport bearing name and address of client.
3. Self attested copy of Bank Statement bearing pre-printed name and address of the client with transaction not more than four months old.

**Note:**

- In case of Bank Statement / Bank Passbook, it should be with proper Bank logo or to be certified by the Bank and bearing address of the client and MICR code of the branch.
- Age Proof to be submitted in case nominee of the demat account is a minor.
- All copies to be self attested by client and all joint holders

## D. Exemptions/clarifications to PAN

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

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

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

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

* Applicable for equity.   # Applicable for commodity.

**F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below: (Applicable for Equity & Commodity)**

| Types of entity | Documentary Requirements |
|---|---|
| **Corporate** | • Copy of the balance sheets for the last 2 financial years (to be submitted every year).<br>• Copy of latest share holding pattern including list of all those holding control, either oirectly 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).<br>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.<br>• Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.<br>• Copies of the Memorandum and Articles of Association and certificate of incorporation.<br>• Copy of the Board Resolution for investment in securities / commodity market.<br>• Authorised signatories list with specimen signatures.<br>• Copy of Board Resolution or Declaration (on the letter head) having the person authorised to deal in securities / commodity on behalf of company / firm / others and their specimen signature. |
| **Partnership firm** | • Copy of the balance sheets for the last 2 financial years (to be submitted every year).<br>• Certificate of registration (for registered partnership firms only). • Copy of partnership deed.<br>• Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners. |
| **Trust** | • Copy of the balance sheets for the last 2 financial years (to be submitted every year).<br>• Certificate of registration (for registered trust only). • Copy of Trust deed.<br>• List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees. |
| **HUF** | • PAN of HUF • Deed of declaration of HUF/ List of coparceners.<br>• Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta. |
| ***Unincorporated association or a body of individuals** | • Proof of Existence/Constitution document.<br>• Resolution of the managing body & Power of Attorney granted to transact business on its behalf.<br>• Authorized signatories list with specimen signatures. |
| **Banks / Institutional Investors*** | • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.<br>• Authorized signatories list with specimen signatures. |
| **Foreign Institutional Investors*** | • Copy of SEBI registration certificate,<br>• Authorized signatories list with specimen signatures. |
| **Army / Government Bodies** | • Self-certification on letterhead.<br>• Authorized signatories list with specimen signatures. |
| **Registered Society** | • Copy of Registration Certificate under Specified Registration Act.<br>• List of Managing Committee members.<br>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.<br>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary. |

- Please note that we Brokers are undertaking proprietory arbitrage as well as Investment Business in our own account in addition to client base business.

* Applicable for equity. # Applicable for commodity.

## INSTRUCTIONS/CHECK LIST

1. Additional documents in case of trading in derivatives segments : illustrative list

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

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. **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. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out'In-person'verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. **For non-individuals:**
   a. 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 benalf of company/firm/others and their specimen signatures.

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

**Important Instructions:**

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

**For office use only**
*(To be filled by financial institution)*

Application Type* ☐ New ☐ Update
KYC Number ☐☐☐☐☐☐☐☐☐☐☐☐☐☐ *(Mandatiry for KYC update request)*
Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

## ☐ 1. PERSONAL DETAILS (Please refer instruction A)

| | Prefix | First Name | Middle Name | Last Name |
|---|---|---|---|---|
| Name* (Same as ID proof) | | | | |
| Maiden Name (If any*) | | | | |
| Father / Spouse Name* | | | | |
| Mother Name* | | | | |

Date of Birth* D D — M M — Y Y Y Y

**PHOTO**

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender
Marital Status* ☐ Married ☐ Unmarried ☐ Others
Citizenship* ☐ IN-Indian ☐ Others (ISO 3166 Country Code ☐☐ )

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

Occupation Type* ☐ S-Service ( ☐ Private Sector ☐ Public Sector ☐ Government Sector )
☐ O-Others ( ☐ Professional ☐ Self Employed
☐ Retired ☐ Housewife ☐ Students )
☐ B-Business
☐ X- Not Categorised

F1 ☞

Signature / Thumb Impression of Applicant

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

ADDITIONAL DETAILS REQUIRED* Mandatory only if section 2 is ticked)
ISO 3166 Country Code of Jurisdiction of Residence"* ☐☐
Tax Identification Number or equivalent (if issued by jurisdiction)* ☐☐☐☐☐☐☐☐☐☐☐☐☐☐
Place! City of Birth* ☐☐☐☐☐☐☐☐☐☐☐☐ ISO 3166 Country Code of Birth* ☐☐

## ☐ 3. PROOF OF IDENTITY (PoI) (Please refer instruction C)

*(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)*

☐ A - Passport Number ☐☐☐☐☐☐☐☐ Passport Expiry Date D D — M M — Y Y Y Y
☐ B - Voter ID Card
☐ C - PAN Card
☐ D - Driving Licence Driving Licence Expiry Date D D — M M — Y Y Y Y
☐ E - UID (Aadhaar) X X X X X X X X
☐ F - NREGA Job Card
☐ Z - Others (any document notified by the central government) Identification Number
Identification Number
☐ S - Simplified Measures Account - Document Type code ☐☐

## 4. PROOF OF ADDRESS (PoA)*

4.1 CURRENT I PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D)

*(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)*

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar) ☐ Voter Identity Card ☐ NREGA Job Card

☐ Simplified Measures Account - Document Type code ☐ Others please specify

**Address**

Line 1*

Line 2

Line 3 City / Town / Village

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

☐ 4.2 CORRESPONDENCE I LOCAL ADDRESS DETAILS" (Please see instruction E at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill **'Annexure A1'**)

Line 1*

Line 2

Line 3 City / Town / Village

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

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES" (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence I Local Address details

Line 1*

Line 2

Line 3 City / Town / Village

State ZIP / Post Code* ISO 3166 Country Code*

## 5. CONTACT DETAILS

Tel. (Off) – Tel. (Res.) – Mobile –

FAX – Email ID

## 6. DETAILS OF RELATED PERSON

(In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

☐ Addition of Related Person ☐ Deletion of Related Person

☐ KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

| | Prefix | First Name | Middle Name | Last Name |
|---|---|---|---|---|
| Name* | | | | |

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

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

☐ A - Passport Number Passport Expiry Date D D – M M – Y Y Y Y

☐ B - Voter ID Card

☐ C - PAN Card

☐ D - Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E - UID (Aadhaar) X X X X X X X X

☐ F - NREGA Job Card

☐ Z - Others (any document notified by the central government) Identification Number

Identification Number

☐ S - Simplified Measures Account - Document Type code

## 7. REMARKS (If Any)

## 8. APPLICANT DECLARATION

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

Date : D D — M M — Y Y Y Y

Place :

F2☞

Signature / Thumb Impression of Applicant

## ATTESTATION / FOR OFFICE USE ONLY

(Inperson Verification (IPV)

☐ Document Received Certified Copies

| KYC VERIFICATION CARRIED OUT BY | INSTITUTION DETAILS |
|---|---|
| Date D D M M Y Y Y Y | Name: ***Stellaredge Brokers Private Limited*** |
| Emp. Name | Code: |
| Emp, Code | |
| Emp. Designation | |
| Emp. Branch | |
| [Employee Signature] | [Institution Stamp] |

This space is intentionally kept blank

**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 Englsih and in BLOCK letters.
E) KYC number of applicant in 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
*(To be filled by financial institution)*

Application Type* ☐ New ☐ Update

KYC Number ☐☐☐☐☐☐☐☐☐☐☐☐☐☐ *(Mandatiry for KYC update request)*

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

☐ Name

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

Status (please tick (✓) the appropriate)

| | | | | |
|---|---|---|---|---|
| ☐ Private Limited Co. | ☐ Public Ltd. Co. | ☐ Body Corporate | ☐ Partnership | ☐ Trust |
| ☐ Charities | ☐ NGO's | ☐ FI | ☐ FII | ☐ HUF |
| ☐ AOP | ☐ Bank | ☐ Government Body | ☐ Non-Government Organization | ☐ Defense Establishment |
| ☐ BOI | ☐ Society | ☐ LLP | ☐ FPI-Category I | ☐ FPI - Category II |
| ☐ FPI-Category III | ☐ Others (Please specify) | | | |

Date of Incorporation / Formation* D D — M M — Y Y Y Y    Date of Commencement of Business D D — M M — Y Y Y Y

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

PAN    ☐ Form 60 furnished    Registration No. (e.g. CIN)

TIN / GST Registration No.

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

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

☐ Certificate of Incorporation / Formation    ☐ Registration 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. PROOF OF ADDRESS (Please refer instruction C at the end)

☐ 3.1 Registered Office Address / Place of business / Correspondence Address

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    Country

☐ 3.2 Local Address in the India (if different from Above)* / Permanent Address

Line 1*

Line 2

Line 3    City / Town / Village

District*    Pin / Post Code*    State    Country

## 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) —
Mobile —
Mobile —
Fax —
Email ID
Email ID

## 5. NUMBER OF RELATED PERSONS

Please refer insruction E at the end)

Tel. (Off) —
Mobile —
Mobile —
Fax —
Email ID
Email ID

## 6. REMARKS (if any)

## 7. APPLICANT DECLARATION (Please refer instruction G at the end)

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

Date : D D — M M — Y Y Y Y

Place :

F3☞

Signature / Thumb Impression of Applicant

## 8. ATTESTATION / FOR OFFICE USE ONLY

Document Received ☐ Certified Copies ☐ Equivalent e-document ☐ In person Verification

| KYC VERIFICATION CARRIED OUT BY | INSTITUTION DETAILS |
|---|---|
| Identity Verification Done ☐ Date D D — M M — Y Y Y Y | Name: Stellaredge Brokers Private Limited |
| Emp. Name | Code: |
| Emp, Code | |
| Emp. Designation | |
| Emp. Branch | |
| [Employee Signature] | [Institution Stamp] |

This space is intentionally kept blank

A Certification / Guidelines for filing Entity Dealers Section

1 Entity Constitution Type

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

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

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

1 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.

2 Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.

3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.

4 '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.

5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.

6 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

1 State / U.T. Code and Pin / Post Code will not be mandatory for Overseas addresses.

2 Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines for filling 'Contact Details' section

1 Please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).

2 Do not add 'O' in the beginning of Mobile number.

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

1 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.

2 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 Aadhar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.

3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.

4 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhar related data and documents such as proof of possession of Aadhar, while uploading on CKYCR.

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

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

**Important Instructions:**

A) Fields marked with '*' are mandatory fields.
B) Tick (✓) wherever applicable.
C) Please fill the date in DD-MM-YVYY format.
D) Please fill the form in Englsih and in BLOCK letters.
E) KYC number of applicant in 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**
*(To be filled by financial institution)*

Application Type* ☐ New ☐ Update

KYC Number ☐☐☐☐☐☐☐☐☐☐☐☐☐☐ *(Mandatiry for KYC update 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* ☐ Director0 Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor ☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ 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)

| | Prefix | First Name | Middle Name | Last Name |
|---|---|---|---|---|
| Name* (Same as ID proof) | | | | |
| Maiden Name | | | | |
| Father / Spouse Name | | | | |
| Mother Name | | | | |

Date of Birth* D D — M M — Y Y Y Y

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

Nationality* ☐ IN-Indian ☐ Others (ISO 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 (anyone of the following OVDs)

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

F4☞

Signature / Thumb Impression of Applicant

PHOTO

**Address**

Line 1*
Line 2
Line 3 City / Town / Village

## 1.3 CURRENT ADDRESS DETAILS (Please refer instruction E and 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 (anyone of the following OVDs)

- [ ] A - Passport Number
- [ ] B - Voter ID Card
- [ ] C - Driving Licence
- [ ] D - NREGA Job Card
- [ ] E - National Population Register Letter
- [ ] F - Proof of Possession of Aadhar: XXXXXXXX

II [ ] E - E-KYC Authentication: XXXXXXXX

III [ ] F - Offline verification of Aadhaar: XXXXXXXX

IV [ ] Deemed PoA

V [ ] Self Declaration

**Address**

Line 1*

Line 2

Line 3 City / Town / Village

District* Pin / Post Code* State Country

## 1.4 (All communication will be sent on providad mobile no. / 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 fumished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered numberlemail address.

Date : D D — M M — Y Y Y Y

Place :

F5☞

Signature / Thumb Impression of Applicant

## 8. ATTESTATION / FOR OFFICE USE ONLY

Document Received
- [ ] Certified Copies
- [ ] E-KYC data received from UIDAI
- [ ] Data received from Offline verification
- [ ] Digital KYC Process
- [ ] Equivalent e-document

| KYC VERIFICATION CARRIED OUT BY | INSTITUTION DETAILS |
|---|---|
| Date D D — M M — Y Y Y Y | Name: Stellaredge Brokers Private Limited |
| Emp. Name | Code: |
| Emp. Code | |
| Emp. Designation | |
| Emp. Branch | |
| [Employee Signature] | [Institution Stamp] |

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

**A. IMPORTANT POINTS:**

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

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

1. *PAN card with photograph. This is a mandatory requirement for all applicants except those who are specially exempt from obtaining PAN (listed in Section D).*
2. *Unique Identification Number (UID) (Aadhaar) / Passport / Voter lD card / Driving license.*
3. *Identity card/document with applicant's Photo, issued by any of the following: Central/ State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.*

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

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

**D. Exemptions/clarifications to PAN**

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

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

**E. List of peopleauthorized to attest the documents:**

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

**F. Incase of Non-Individuals, additional documents tobe obtained from non-individuals, over & above the POI & POA, as mentioned below:**

| Types of entity | Documentary requirements |
|---|---|
| Corporate | • *Copy of the balance sheets for the last 2 financial years (to be submitted every year)*<br>• *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)*<br>• *Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations*<br>• *Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly*<br>• *Copies of the Memorandum and Articles of Association and certificate of incorporation*<br>• *Copy of the Board Resolution for investment in securities market*<br>• *Authorised signatories list with specimen signatures* |
| Partnership firm | • *Copy of the balance sheets for the last 2 financial years (to be submitted every year)*<br>• *Certificate of registration (for registered partnership firms only)*<br>• *Copy of partnership deed*<br>• *Authorised signatories list with specimen signatures*<br>• *Photograph, POI, POA, PAN of Partners* |
| Trust | • *Copy of the balance sheets for the last 2 financial years (to be submitted every year)*<br>• *Certificate of registration (for registered trust onlyj.Copy of Trust deed*<br>• *List of trustees certified by managing trustees/CA*<br>• *Photograph, POI, POA, PAN of Trustees* |
| HUF | • *PAN of HUF*<br>• *Deed of declaration of HUF/List of coparceners*<br>• *Bank pass-book/bank statement in the name of HUF*<br>• *Photograph, POI, POA, PAN of Karta* |
| Unincorporated Association or a body of individuals | • *Proof of Existence/Constitution document*<br>• *Resolution of the managing body & Power of Attorney granted to transact business on its behalf*<br>• *Authorized signatories list with specimen signatures* |
| Banks/Institutional Investors | • *Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years*<br>• *Authorized signatories list with specimen signatures* |
| Foreign Institutional Investors (FII) | • *Copy of SEBI registration certificate*<br>• *Authorized signatories list with specimen signatures* |
| Army/Government Bodies | • *Serf-certification on letterhead*<br>• *Authorized signatories list with specimen signatures* |

Details of Promoters/ Partners/ Karta / Trustees / Co-parceners and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

**Name of Applicant:**____________________ **PAN :**__________

1. Name
2. Relationship with Applicant (i.e. promoters, whole time directors etc)

3a. PAN 3b. DIN

3c. Aadhar (UID) Number X X X X X X X X

4. Residence / Registered Address

City/town/village. Pin Code:

State: Country:

PHOTOGRAPH

Please affix your recent passport size Photograph and sign across it

1. Name
2. Relationship with Applicant (i.e. promoters, whole time directors etc)

3a. PAN 3b. DIN

3c. Aadhar (UID) Number X X X X X X X X

4. Residence / Registered Address

City/town/village. Pin Code:

State: Country:

PHOTOGRAPH

Please affix your recent passport size Photograph and sign across it

1. Name
2. Relationship with Applicant (i.e. promoters, whole time directors etc)

3a. PAN 3b. DIN

3c. Aadhar (UID) Number X X X X X X X X

4. Residence / Registered Address

City/town/village. Pin Code:

State: Country:

PHOTOGRAPH

Please affix your recent passport size Photograph and sign across it

1. Name
2. Relationship with Applicant (i.e. promoters, whole time directors etc)

3a. PAN 3b. DIN

3c. Aadhar (UID) Number X X X X X X X X

4. Residence / Registered Address

City/town/village. Pin Code:

State: Country:

PHOTOGRAPH

Please affix your recent passport size Photograph and sign across it

**AS3**

Name & Signature of the Authorised Signatory(ies)

Date D D M M Y Y Y Y

## HUF DECLARATION FORM

Mr./Mrs./Ms. ______________________________________________________________

the Karta of Hindu Undivided Family, here by declare that the following are the co-parcener/member of my family.

| Sr. No. | Particulars | Name | Date of Birth | Relationship |
|---|---|---|---|---|
| 1 | Karta | | | |
| 2 | Co-Parcener/member2 | | | |
| 3 | Co-Parcener/member3 | | | |
| 4 | Co-Parcener/member4 | | | |
| 5 | Co-Parcener/member5 | | | |
| 6 | Co-Parcener/member6 | | | |
| 7 | Co-Parcener/member7 | | | |
| 8 | Co-Parcener/member8 | | | |
| 9 | Co-Parcener/member9 | | | |
| 10 | Co-Parcener/member10 | | | |
| 11 | Co-Parcener/member11 | | | |
| 12 | Co-Parcener/member12 | | | |

Signed & HUF Stamp

Name :__________________________________________

## COMMON DETAILS FOR INDIVIDUAL / NON-INDIVIDUAL

(Trading & DP Account Related Details)

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

Bank Name

Branch Name

Branch Address

Bank A/c. No.

A/c. Type ☐ Savings ☐ Current ☐ NRE/NRO ☐ Others ____________________

MICR Number IFSC Code

P.N. : In case of NRI's, Bank Account should be Repatrible Bank Account for NRE or Non Repatrible Bank Account for NRO.

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

Bank Name

Branch Name

Branch Address

Bank A/c. No.

A/c. Type ☐ Savings ☐ Current ☐ NRE/NRO ☐ Others ____________________

MICR Number IFSC Code

P.N. : In case of NRI's, Bank Account should be Repatrible Bank Account for NRE or Non Repatrible Bank Account for NRO.

### B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name

Depository Name ☐ NSDL ☐ CDSL

DP ID Beneficiary ID (BO ID)

First Holder Name

Second Holders Name

Third Holders Name

### C. OTHER DETAILS (please see guidelines overleaf) - For Individual

**1. Gross Annual Income Details** (Please tick (✓): ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ > 25 Lacs

**OR**

Net-worth in ₹. ______ (*Net worth should not be older than 1 year) ______ as on (date) d d / m m / y y y y

**2. Occupation** (Please tick (✓) any one and give brief details):

☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired

☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others (Please specify) ____________________

## D. OTHER DETAILS (please see guidelines overleaf) - For Non Individual

1. **Gross Annual Income Details** (Please tick (✓): ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lacs - 1 Crore ☐ > 1 Crore

Net-worth in ₹. (*Net worth should not be older than 1 year)________ as on (date) |d|d| / |m|m| |y|y|y|y|

2. Any other information: ____________________

## E. PEP DETAILS

**Any other information:** ____________________

**Please tick, if applicable:** ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ None

## F. GOODS & SERVICE TAX:

Goods & Service Tax as per Government Notification

## G. TRADING PREFERENCES

Please sign the relevent boxes where you wish to Trade

| Name of Segment / Name of Exchange | NSE | BSE | MSE |
|---|---|---|---|
| Cash | F6☞ | F13☞ | F9☞ |
| F&O | F7☞ | F14☞ | |
| Currency Derivatives (CD) | F8☞ | F15☞ | |
| Mutual Fund (MF) | | F16☞ | |
| MTF | F10☞ | F17☞ | |
| SLB | F11☞ | | |
| Commodity | F12☞ | F18☞ | |

| Name of Segment / Name of Exchange | MCX (Future / Option) | NCDEX (Future / Option) |
|---|---|---|
| Commodity | F17☞ | F19☞ |

# 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.

## I. PAST REGULATORY ACTIONS:

- Details of any action/proceedings initiated/pending/ taken by FMC/ SEBI / Stock exchange / Commodity exchange / any other authority against the client dealing in commodities during the last 3 years:______________________

## J. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

(If client is dealing through the sub-broker, Authorized Person (AP) provide the following details)

Sub-broker's Name:

SEBI/Exchange Registration number:

Registered office address

Phone

Fax

Website

- Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, Authorized Person (AP) provide details of all)

Name of stock broker

Name of Sub-Broker, if any:

Client Code:

Exchange:

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

## K. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):______________________

  Specify your Email id, if applicable:______________________

- Number of years of Investment/Trading Experience:______________________

## L. INTRODUCER DETAILS (OPTIONAL)

Name of Introducer Surname Name Middle Name

Status of the Introducer: ☐ Sub-broker ☐ Remisier ☐ Authorized Person ☐ Existing Client ☐ Others, please specify_

Introducer Address

Tel. No.

**Signature of the Introducer** ______________________

Whether client is also registered as sub-broker with us or with other broker. : Yes ☐ No ☐

If Yes, name of Broker: ______________________

## NOMINATION DETAILS (for individuals only) - TRADING & DP

| Nomination Registration Form No. | Date | D | D | M | M | 2 | 0 | Y | Y |
|---|---|---|---|---|---|---|---|---|---|

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

**Nomination Details**

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

| Nomination Details | | Nominee 1 | Nominee 2 | Nominee 3 |
|---|---|---|---|---|
| Nominee Name :<br>*First Name :<br>Middle Name :<br>*Last Name : | | | | |
| Share of each nominee | Equally<br>[If not equally, please specify percentage] | %<br>*Any odd lot after division shall be transferred to the first nominee mentioned in the form.* | % | % |
| *Address | | | | |
| *City | | | | |
| *State | | | | |
| *Pin | | | | |
| *Country | | | | |
| Mobile / Telephone no. : (Optional Fields) | | | | |
| Email ID : (Optional Fields) | | | | |
| **Nominee Identification details#**<br>[Please tick any one of following and provide details of same]<br>☐ Photograph & Signature ☐ PAN<br>☐ Aadhaar ☐ Saving Bank account no.<br>☐ Proof of Identity ☐ Demat Account ID<br>(Optional Fields) | | | | |
| *Relationship with the BO: | | | | |
| To be Filled only if nominee(s) is a Minor : | | | | |
| Date of birth (mandatory if Nominee is a minor) dd-mm-yyyy | | | | |
| Name of the Guardian of Nominee (if nominee is a minor#)<br>***First Name:**<br>**Middle Name:**<br>***Last Name** | | | | |

| Nomination Details | Nominee 1 | Nominee 2 | Nominee 3 |
|---|---|---|---|
| *Address of the Guardian of Nominee | | | |
| *City | | | |
| *State | | | |
| *Country | | | |
| *Pin | | | |
| Age | | | |
| Mobile / Telephone no. : (Optional Field) | | | |
| Email ID : (Optional Field) | | | |
| *Relationship of Guardian with Nominee | | | |
| **Guardian Identification details#** [Please tick any one of following and provide details of same] (Optional Field) ☐ Photograph & Signature ☐ PAN ☐ Aadhaar ☐ Saving Bank account no. ☐ Proof of Identity ☐ Demat Account ID | | | |

**Note:** Residual securities: in case of multiple nominees remaining after distribution of securities as per percentage of allocation shall be transferred to the first nominee

* *Markedis Mandatoryfield*

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination / negative nomination]

| Details of the Witness | Witness Details |
|---|---|
| Name of witness | |
| Address of witness | |
| Signature of witness | |

The Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

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

| | First/Sole Holder or Guardian (in case of Minor) | Second Holder | Third Holder |
|---|---|---|---|
| Name | | | |
| Signature | F20☞ | S1 | T1 |

*(Signature should be preferably in blue ink).*

# DECLARATION FORM FOR OPTING OUT OF NOMINATION

Date: D D — M M — Y Y Y Y

To,
**Stellaredge Brokers Private Limited**
**7,Vishwakarma Society, Near Vishwakarma Mandir, Majura Gate, Surat-395002**

| **DP ID** | | | **Client Code** | |
|---|---|---|---|---|

| | |
|---|---|
| First Holder Name | |
| Second Holder Name | |
| Third Holder Name | |

I/We hereby confirm that I/We do not wish to appoint any nominee(s) in my/our trading/demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my/our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my/our trading/demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading/demat account.

| **F21**☞ | **S2** | **T2** |
|---|---|---|
| (Signature of 1st Holder) | (Signature of 2nd Holder) | (Signature of 3rd Holder) |

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination / negative nomination]

## DECLARATION

1. I/We hereby declare that trie details furnished above are true and correct to the best of my/our knowledge and belief and l/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 l/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We hereby declare that I wish to avail the facility of internet trading/ wireless technology.
4. I/We further confirm having read and understood the contents of the'Rights and Obligations'document(s) 'Risk Disclosure Document' & Do's and Dont's. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.
5. I, the holder of Aadhar number X X X X X X X X _ _ _ _ , hereby give my consent to **Stellaredge Brokers Private Limited** to obtain

   my Aadhaar Number for authentication with UIDAI. **Stellaredge Brokers Private Limited**, has informed me that my identity information would only be used for demographic authentication / validation / e-KYC / KYC and linking purpose and also informed that my biometrics will not be stored / shared and will be submitted to CIDR only for the purpose of authentication.

Place :

Date :

F22 ☞ ________________________

**Signature of Client/ (all) Authorized Signatory (ies)**

## FOR OFFICE USE ONLY

☐ (Originals verified) True copies of documents received ☐ (Self-Attested) Self Certified Document copies received

UCC Code allotted to the Client

| | Documents verified with Originals | Client Interviewed By | In-Person Verification done by |
|---|---|---|---|
| Name of the Employee | | | |
| Employee Code | | | |
| Designation of the employee | | | |
| Date | | | |
| Signature | | | |

"I/We undertake that we have made the client aware of Policy and Procedures', tariff sheet and all the Voluntary/ non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD, Do's and Don'ts and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the Policy and Procedures', tariff sheet and all the Voluntary/non-mandatory documents would be duly intimated to the clients. I/We also undertake that anychange in the'Rights and Obligations'and RDD would be made available on my/our website, if any, for the information ofthe clients.

AS2 ☒

**Signature of the Authorised Signatory**

Date : D D M M Y Y Y Y

**Seal/Stamp of the stock broker**

## BROKERAGE TARIFF STRUCTURE

| | Equity | | | | | |
|---|---|---|---|---|---|---|
| | Cash | | F&O | | Currency | |
| | Min (Paise) | In (%) | Min (Paise) | In (%) | Min (Paise) | In (%) |
| Trading Brokerage | | | | | | |
| Delivery Brokerage | | | | | | |
| SLBS Brokerage | IN % | Option Brokerage | Per Lot | Percentage (%) | Per Lot | Percentage (%) |
| | | | Rs. | | Rs. | |

## Commodities Brokerage Tariff Structure

| | | | |
|---|---|---|---|
| Delivery (%) | | Min. (paise) | |
| Trading (Cash Leg) (%) | | Min. (paise) | |
| Option Brokerage | Per Lot | Percentage (%) | |
| | Rs. | | |

- Special rates as may be agreed by the sub-broker/Authorised Person and client and the same are mentioned here.

**Other Charges**

1) Trading Account opening charges is Rs 552/- including GST. (Will be waived off in case of receipt of upfront payment of Rs 10000/- towards margin amount along with account opening application.)
2) Rs 20/- + GST per transaction will be charged for Securities transferred on account of Inter-settlement and /or inter exchange and/or Securities movement Stock Broker's pool and/or beneficiary account on client behalf, Rs 20/- +GST per transaction will be charged
3) SEBITurnover fees, Goods & ServiceTax , Stamp Duty andTransaction charges will be levied separately from brokerage as applicable from time to time
4) Segment and bill wise Minimum Brokerage will be Rs. 25/- (Not more than Exchange Norms).
5) Brokerage on Scrip "LIQUIDBESS" will be 0.0001% ofTurnover in NSE and BSE Cash Segment.
6) Cash market segment delivery brokerage tariff will be applicable in case of F&O position convert into stock delivery at the end of the F&O expiry day.
7) GST will be applicable as per Central & State Governments Rules.
8) Any scrip movement from client Demat to **SBPL**margin account in any mode of transaction (DIS/DDPI/POA), Pledge charges would be applicable in trading account as per **SBPL** policy.

**F23**☞

Signature of Client

## FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL / NON INDIVIDUAL

| Client Name | |
|---|---|

| | First / Sole Holder | Second Holder (if any) | Third Holder (if any) |
|---|---|---|---|
| Are you U.S. Person? (Refer KYC Handout - Customer Copy) | ☐ Yes ☐ No. | ☐ Yes ☐ No. | ☐ Yes ☐ No. |
| Specify country of resident for tax purpose (Tax Residency) | ☐ India ☐ Other | ☐ India ☐ Other | ☐ India ☐ Other |
| Specify country of citizenship | ☐ India ☐ Other | ☐ India ☐ Other | ☐ India ☐ Other |

**Note :** If you are a U.S. person and / or if your tax residenct / nationality / citizenship is other than India than please provide declaration / self certification under FATCA / CRS.

**F24**☞ ______________ **S3** ______________ **T3** ______________

Stellaredge Brokers

# Stellaredge Brokers Private Limited

CIN : U66120GJ2024PTC149067

SEBI Single Regn. No. INZ000321036

**Client Category & Client Commodity wise Category Declaration**

Date : D D — M M — Y Y Y Y

Trading Code

Client Name

## A. Client Category for Individual / Non Individual (Please tick (✓) on Clients Category)

### Client Category for Individual Client

- ☐ Retail - Individual
- ☐ Processor/Miller
- ☐ Physical Commodity Trader
- ☐ Farmer
- ☐ High Networth Individuals
- ☐
- ☐ Foreign Portfolio Investor-1
- ☐ Foreign Portfolio Investor-2
- ☐ Foreign Portfolio Investor-3

### Client Category for Non-Individual Client

- ☐ Retail-corporate
- ☐ Processor/Miller
- ☐ Physical Commodity Trader
- ☐ Non-Banking Financial Company (NBFC)
- ☐ Government Agency
- ☐ Statutory Bodies
- ☐ Depository receipts (DR)
- ☐ Merchant Bankers
- ☐ Defense Establishments
- ☐ Farmer Producer Organizations (FPO)
- ☐ Foreign Portfolio Investor-1
- ☐ Foreign Portfolio Investor-2
- ☐ Foreign Portfolio Investor-3
- ☐ Alternate Investment Fund (AIF)-Category III
- ☐ Foreign Direct Investment (FDI)

## B. Client's Commodity Wise Category (Please tick (✓) on Clients Category on each Commodity)

| Sr. No. | Symbol | FPOs / Farmers | VCPs / Hedgers | Proprietory Traders | Domestic Financial Institutional Investors | Foreign Participants | Others |
|---|---|---|---|---|---|---|---|
| 1 | ALMOND | | | | | | |
| 2 | ALUMINI/ALUMINIUM | | | | | | |
| 3 | BARLEYJPR | | | | | | |
| 4 | BRASSPHY | | | | | | |
| 5 | CARDAMOM/CARDAM | | | | | | |
| 6 | CASTOR/CASTORSEED | | | | | | |
| 7 | CHANA/CHANADEL | | | | | | |
| 8 | COCUDAKL | | | | | | |
| 9 | COPPER/COPPERM | | | | | | |
| 10 | COTTON | | | | | | |
| 11 | CPO | | | | | | |
| 12 | CRUDEOIL/CRUDEOILM | | | | | | |
| 13 | DHANIYA | | | | | | |
| 14 | DIAMOND | | | | | | |
| 15 | GOLD/GOLDM/ GOLDGUINEA/GOLDPETAL | | | | | | |
| 16 | GUARGUM/GUARGUM5 | | | | | | |
| 17 | GUARSEED/GUARSEED10 | | | | | | |
| 18 | ISABGS | | | | | | |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| 19 | JEERAUNJHA | | | | | | | |
| 20 | JUTE | | | | | | | |
| 21 | KAPAS | | | | | | | |
| 22 | LEAD/LEADMINI | | | | | | | |
| 23 | MAIZEKHRIF | | | | | | | |
| 24 | MAIZERABI | | | | | | | |
| 25 | MENTHAOIL | | | | | | | |
| 26 | NATURALGAS | | | | | | | |
| 27 | NICKEL | | | | | | | |
| 28 | PB1121 | | | | | | | |
| 29 | PEPPER | | | | | | | |
| 30 | POTATO | | | | | | | |
| 31 | RAPES | | | | | | | |
| 32 | RBDPMOLEIN | | | | | | | |
| 33 | REFSOOIL | | | | | | | |
| 34 | RMSEED | | | | | | | |
| 35 | RUBBER | | | | | | | |
| 36 | SILVER/SILVERM/SILVERMIC | | | | | | | |
| 37 | SOYOIL | | | | | | | |
| 38 | STEELLONG | | | | | | | |
| 39 | SUGARM/SUGARMDEL/SUGARMKOL/SUGARSKLP | | | | | | | |
| 40 | SYBEANIDR | | | | | | | |
| 41 | SYOREF | | | | | | | |
| 42 | TIN | | | | | | | |
| 43 | TMCFGRNZM/TURMERIC | | | | | | | |
| 44 | WHEAT/WHEATFAQ | | | | | | | |
| 45 | ZINC/ZINCMINI | | | | | | | |
| 46 | | | | | | | | |
| 47 | | | | | | | | |
| 48 | | | | | | | | |
| 49 | | | | | | | | |
| 50 | | | | | | | | |

**C. EFE (Eligible Foreign Entity-Only Foreign Investor)** ☐ No ☐ Yes **IF EFE "YES" then Enter LEI* NO** ____________

***LEI Means - Legal Entity Identification Number**

**Declaration :-** I/ We have hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I/ We undertake to inform you immediately for any changes. I / We authorised you to add all other Commodities under other Category if I did not mentioned / selected from above list and/ or if any new Comoddity is come in any exchange in Future.

# DEPOSITORY PARTICIPANT (CDSL) ACCOUNT DETAILS

**Stellaredge Brokers**

## SELECT ACCORDINGLY THE TYPE OF ACCOUNT

Type of Account *(for individual / nri / foreign national only)*

| Status | Sub - Status (Please Tick whichever is applicable) |
|---|---|
| ❑Individual | ❑Individual Resident ❑ Individual-Director ❑Individual Director's Relative<br>❑Individual HUF / AOP ❑Individual Promoter ❑Minor<br>❑Individual Margin Trading A/C (MANTRA) ❑Others (specify) |
| ❑NRI | ❑NRI Repatriable ❑NRI Non-Repatriable<br>❑NRI Repatriable Promoter ❑NRI Non-Repatriable Promoter<br>❑NRI - Depository Receipts ❑Others (specify)__________________ |
| ❑ Foreign National | ❑Foreign National ❑Foreign National - Depository Receipts ❑Others (specify)__________________________ |

OR

Type of Account *(for corporate / clearing member only)*

| Sub-Status (To be Filled by DP) | Status (Please Tick whichever is applicable) |
|---|---|
| | ❑Body Corporate ❑Banks ❑Trust ❑Mutual Fund ❑OCB<br>❑FII ❑CM ❑FI ❑Clearing House ❑Other (Specify)____________________ |
| ❑ Nationality | ❑Indian ❑Others (specify)______________________________ |

## Instructions to the Applicants (BOs) for account opening:

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
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. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

# Application Form for Opening a Securities Demat Account - Individual / Corporate

| | | | |
|---|---|---|---|
| Form No. | | Date | |
| BO ID | | Client ID | |

I / We request you to open a Demat Account in my / our name as per the following details: - (To be filled by the applicant in BLOCK LETTERS in English)

| | | |
|---|---|---|
| Please Select the Account Type | ❑ Individual | ❑ Corporate |

## HOLDERS DETAILS

| | | | |
|---|---|---|---|
| Sole / First Holder's Name | | PAN | |
| | | UID | X X X X X X X X |

| | | |
|---|---|---|
| Trading Code | | For **SBPL** (For other Broker please use Annexure) |

| | | |
|---|---|---|
| NSE | CAPITAL-MKT ☐ FNO ☐ CURRENCY ☐ SLB ☐ COMMODITY ☐ DEBT ☐ | CM ID /TM ID - M50321/06769 |
| BSE | CAPITAL-MKT ☐ FNO ☐ CURRENCY ☐ SLB ☐ COMMODITY ☐ DEBT ☐ | CM ID /TM ID - 0949/0949 |
| MCX | COMMODITY | CM ID / TM ID - 56185 / 56185 |
| NCDEX | COMMODITY | CM ID / TM ID - M51061/01252 |

| | | | |
|---|---|---|---|
| Second Holder's Name | | PAN | |
| | | UID | X X X X X X X X |
| Third Holder's Name | | PAN | |
| | | UID | X X X X X X X X |

**Details of Guardian (in case the account holder is minor)**

Guardian's Name PAN

Relationship with the aplicant

Name *

* In case of Firms, Association of Persons (AOP), Partnership Firm, UnregisteredTrust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, UnregisteredTrust, etc., should be mentioned above.

| | |
|---|---|
| I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] | ☑Yes ❑No |
| Account Statement Requirement ❑Daily ❑Weekly ❑Fortnightly ❑Monthly ❑As per SEBI regulation | |
| I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID | ❑Yes ❑No |
| I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any further instruction from my/our end. (If not marked, the default option would be "No") | ❑Yes ❑No |
| I/We would like to share the Email Id with **RTA** | ❑Yes ❑No |
| I/We would like to received the Annual Report ❑Physical / ❑Electronic / ❑ Both Physical & Electronic (Tick the applicable box, If not marked the default option would be physical) | |
| I/we wish to receive dividend / interest directly in to my bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time] | ❑Yes ❑No |
| I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a DDPI/POA/registered for eDIS with You for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder or for executing delivery instructions through eDIS | ❑Agree ❑Disagree |

## For NRIs / OCBs

*** I/We hereby Declare that I/We has complied with, and will continue to comply with, FEMA regulations and other applicable laws**

## A. BANK ACCOUNT DETAILS

Bank Name

Branch Name

Branch Address

Bank A/c. No.

A/c. Type ☐ Savings ☐ Current ☐ NRE/NRO ☐ Others

MICR Number IFSC Code

City State

Country Pin Code

## Additional Details

| | |
|---|---|
| SMS Alert Facility | Refer to terms and condition given as Annexure 'A' available at our website www.stellaredgebrokers.com |
| **Mobile Registration** | MOBILE NO.: +91________________ E-mail ID________________<br>[(Mandatory, if you are giving Demat Debit and Pledge Request (DDPI) / Power of Attorney (POA)]<br>(if DDPI / POA is not granted & you do not wish to avail of this facility, cancel this option). |
| Transactions Using Secured Texting Facility **(TRUST)** Refer to Terms & Conditions given as **Annexure - A** available at our website **www.stellaredgebrokers.com** | I wish to avail the TRUST facility using the Mobile No. registered for SMS Alert Facility. I have read and understood the Terms & Conditions prescribed by CDSL for the same.<br>❏ Yes<br>❏ No<br>I/We wish to registered the following clearing member IDs under my/our below mentioned BO ID registered for TRUST |

| Stock Exchange Name / ID | Clearing Member Name | Clearing Member ID (Optional) |
|---|---|---|
| | | |
| | | |

| | |
|---|---|
| *Easi* | To register for *easi*, please visit our website www.cdslindia.com<br>*Easi* allows a BO to view his ISIN balances, transactions and value of the portfolio online. |

## Additional Information (for corporate / clearing member only)

SEBI Regn. No. (If applicable)

ROC Regn. No. (If applicable)

RBI Regn. No. (If applicable)

SEBI Regn. Date

ROC Regn. Date

RBI Approval Date

## Clearing Members Details (to be filled by cms only)

Name of the Stock Exchange

Name of the CC / CH

Trading Id

Clearing Member ID

| | |
|---|---|
| **Individual** | I/We have received and read the rights and obligations documents and terms and conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me / us above are true and to the best of my / our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action. |
| **Corporate** | "I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We 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." |

A] Names B) Designation (For Corporate) C] Signature of Holders

| | | Sole / First Holder | Second Holder | Third Holder |
|---|---|---|---|---|
| | | First / Sole Authorised Signatory (For Corporate) | Second Authorised Signatory (For Corporate) | Third Authorised Signatory (For Corporate) |
| A. | | Name | Name | Name |
| B. | | Designation | Designation | Designation |
| Specimen Signature | | **F25** ☞ **(Signature of 1st Holder)** | **S4** **(Signature of 2nd Holder)** | **T4** **(Signature of 3rd Holder)** |

## DECLARATION OF MOBILE NUMBER/ EMAIL ID

Date:

To,
**Stellaredge Brokers Private Limited**
**Plot No. 7, Vishwakarma Society, Near**
**Vishwakarma Mandir, Majura Gate,**
**Surat – 395002, Gujara**

I/We ______________________________ hereby declare that the Mobile No. ____________ With Relation: ☐ Self

☐ Spouse ☐ Dependent - Child ☐ Dependent - Parent. Or Authorized Person in : ☐ Corporate/Trust/Partnership Firm / HUF Account

And Email ID ______________________________________________ With Relation: ☐ Self

☐ Spouse ☐ Dependent - Child ☐ Dependent - Parent. Or Authorized Person in : ☐ Corporate/Trust/Partnership Firm /HUF Account

Belongs to Mr./Mrs./Ms. ______________________________ For ☐ Email ☐ Mobile ☐ Both

Belongs to Mr./Mrs./Ms. ______________________________ For ☐ Email ☐ Mobile ☐ Both

I/We request you to update the same in my trading and Demat account and send all the Confirmations and other communication through SMS and EMAIL ID.

Further I/We hereby agree & undertake to indemnify and keep indemnified and save harmless you from against all claims/ demands/ penalties/suits/action or any loss or damaged suffered or incurred by you as Consequence of such instruction.

Please provide detail as mentioned below :- For ☐ Email ☐ Mobile ☐ Both

| Relation | Name | Trading code | Demat Account No. |
|---|---|---|---|
| Spouse | | | |
| Dependent - Child / Parents | | | |
| Corporate/Trust/Partnership Firm / HUF Account | | | |

For ☐ Email ☐ Mobile ☐ Both (If Relationship differ as mentioned in Belong to with Email / mobile Relationship)

| Relation | Name | Trading code | Demat Account No. |
|---|---|---|---|
| Spouse | | | |
| Dependent - Child / Parents | | | |
| Corporate/Trust/Partnership Firm / HUF Account | | | |

Client Code : ______________________ Demat ID No. ______________________

Thanking You,

| | 1st Holder | 2nd Holder | 3rd Holder |
|---|---|---|---|
| Name | | | |
| Signature / Auth. Signatory | | | |

## Demat Debit and Pledge Instruction - DDPI - POA (VOLUNTARY)

**Date :-** **e-Stamp Ref. No.**________________________

**To,**

**Stellaredge Brokers Private Limited**

KNOW ALL MEN BY THESE PRESENTS THAT I/WE Mr. / Mrs. / M/s. (First / Corp. Holder)____________________________
(Second Holder)________________________________________(Third Holder)_______________________________________
(hereinafter referred to as "the client") having unique client code as and ☐ CDSL DP Demat Account no. _______________ ___________________wish to avail below mentioned services offered by **Stellaredge Brokers Private Limited** (hereinafter referred to as "**SBPL**"), company incorporated under the Companies Act, 1956 and having its offices at Plot No. 7 Amit Vishwakarma Society, Majura Gate Sagrampura Putli Surat-395002

| Sr. No. | Purpose | Signature of First/Sole Holder* | Signature of Second Holder* | Signature of Third Holder* |
|---|---|---|---|---|
| 1. | Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker | F28☞ | S7 | T7 |
| 2. | Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange. | F29☞ | S8 | T8 |
| 3. | Mutual Fund transactions being executed on Stock Exchange order entry platforms | F30☞ | S9 | T9 |
| 4. | Tendering shares in open offers through Stock Exchange platforms | F31☞ | S10 | T10 |

In case of HUF (Co-parcener's Sign.)

__________________ __________________ __________________ __________________
(Signature) (Signature) (Signature) (Signature)

The demat account details of **SBPL** where securities can be transferred for payin obligation and where securities can be pledged/ re-pledged for margin obligation is mentioned below.

| Exchange / Segment | DP ID - Demat Account No. | Account Type | CM-BP ID |
|---|---|---|---|
| BSE | | Stock Broker-Pool account | |
| | | CDSL CM Principal Account | |
| | | BSE-Early Payin Account | |
| NSE | | NSDL Stock Broker-Pool account | |
| | | CDSL Stock Broker-Pool account/ Principal Account | |
| | | NSE-Early Payin Account | |
| All Exchange/ Segment | | Client Securities Margin Pledge Account | |
| MCX | | Client Securities Margin Pledge Account | |
| NCDEX | | Client Securities Margin Pledge Account | |
| BSE Commodity | | Client Securities Margin Pledge Account | |
| NSE SLBS Account | | SLBS Clearing Account | |

Further in case the Stock Broker is required to open any new accounts for the purpose of mentioned above (AccountType) for trades on any recognized stock exchange, I/we hereby agree that this DDPI shall be applicable to all such accounts and would be covered by this DDPI as long as the details of such accounts are informed to me/us in writing by the said stockbroker.

**For Stellaredge Brokers Private Limited**

**Authorised Signatory**

## ECN CONSENT (VOLUNTARY)

To,
**Stellaredge Brokers Private Limited**
**Plot No. 7 Amit Vishwakarma Society, Majura**
**Gate Sagrampura Putli Surat-395002**

Dear Sir(s),

**Sub: Request for sending Contract Notes, Account Statements / Documents etc. on My/our Email ID**

I,________________________________________________a client with Member M/s.____________________________of__________________Exchange undertake as follows:

- I/we aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I/we ourself want the same in the electronic form.
- I /we aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I/we find that it is inconvenient for me 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 a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is* __________________________________. This has been created by me/us and not by someone else.
- I/we am/are aware that this declaration form should be in English or in any other language known to me/us.
- I/we am/are aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.
- I/We given to understand that M/s stellaredge Brokers pvt.ltd. simultaneously publishes the ‘electronic documents’ on its designed website / online portal in order to further strengthen the electronic communication channel.

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

*(The email id must be return in own handwriting of the client.)

Client Name: ________________________________________

Unique Client Code : ________________________PAN: ________________________

Address :________________________________________

________________________________________

In case of any change in my/our said E-mail Id, I/We undertake to intimate the same to you in writing through a physical letter.

**F32**☞____________________

Date : | D | D | M | M | Y | Y | Y | Y |

# LETTER OF AUTHORITY (VOLUNTARY)

To,
Stellaredge Brokers Private Limited
Plot No. 7 Amit Vishwakarma Society, Majura
Gate Sagrampura Putli Surat-395002

Dear Sirs,

Ref. Client Code

**Sub: Letter of Authority for NSE / BSE / MCX / NCDEX / ICEX**

I/We am/are dealing with you (NSE / BSE / MCX / NCDEX / ICEX) and in order to facilitate ease of operations, I/We authorize you as under:

1. I/We authorizes to my attorney to set off outstanding in my/our accounts against credits available maintained with **SBPL** irrespective of the fact that such outstanding may pertain to transaction in any ofthe Exchange and/or against the value of cash margin or collateral securities provided to by me/us.

2. I/We request you to retain credit balance in any of my/our account and to use the idle funds towards my/our margin/future obligations at the Exchange unless I/We instruct you otherwise.

3. I/We request you to retain securities in your Demat account for my/our margin/future obligations, unless otherwise I/We instruct you to transfer the same to my/our account.

4. The client hereby authorizes the trading member to maintain a Running Account of the client in order to facilitate the transfer of funds across segments/retain credit balance/to set off outstanding.

5. I would like the mandatory settlement of the funds and securities (if applicable) as indicated below (tick against your preference).

   ☐ Monthly Basis ☐ Quarterly Basis

6. As and when I/We require the funds/ securities. I /We be informing you of the same and on receipt of the instructions from me/us, same may be released within one working day of the request after verification and if the amount is due as per **SBPL**.

7. To square off my/our position of transactions that are not delivery market during intraday trade.

8. The client agrees to bear interest @ 18% p.a. which would be charged on outstanding dues in order to meet up with the client's obligations temporarily.

9. I/we have been made aware of the company's policies & procedure.

10. The above authorization can be revoked at any point of time at the client’s own discretion by giving written confirmation to **SBPL**.

11. I/We authorized you to reach out to me/ us for any confirmations like Order Verification, Delivery Confirmation, Trade Confirmation, Welcome call etc. through Call/ IVR, E-Mail/ SMS or other source of communication on the Mobile no. recoded/ registered with us, irrespective of User's registration with DND registryofTRAI.

12. I/We agree to auto-renew my/us consent after every 180 days until I/ we opt-out.

**F33**☞ ____________________

Date : D D M M Y Y Y Y

# MUTUAL FUND CONFIRMATION

Date: ____________________

To,
**Stellaredge Brokers Private Limited**
**Plot No. 7 Amit Vishwakarma Society, Majura**
**Gate Sagrampura Putli Surat-395002**

Dear sir,

**Sub: BSE StAR MF/MFSS**

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

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

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

I/We am/are willing to abide by the terms and conditions as mention in the circular dated December 2, 2009 and such other Notices/Circulars as may be specified by the Exchange/ICCL from time to time in this regards, related to BSE STAR MF and Terms & Conditions mentioned in circular No. NSE/MFSS/003/2008 download Ref. No. NSE (MIC/13533) dated November 24, 2009 related to MFSS.

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

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

I/we therefore request you to register me/us as your client for participating in BSE StARMF and MFSS.

**Details of terms & conditions for the Investor/Client for using BSE StAR MF and MFSS Platform**

1. **Pre-requisites for becoming Investor / Client for the BSE STAR MF/MFSS platform**
   - i. The client who is desirous of investing in units of mutual fund schemes through the BSE STAR MF/MFSS.
   - ii. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the broker who is a Mutual fund Intermediary (MFI) of the BSE STAR MF/MFSS platform.
   - iii. The client has satisfied itself of the capacity of the MFI/Participant to deal in Mutual Fund units and wishes to execute its instruction through the MFI and the client shall from time to time continue tosatisfy itself ofsuch capability ofthe MFI before executing transacting through the MFI.
   - iv. The Client has approached to the MFI/ Participant with the application for availing the BSE STAR MF/MFSS platform.
   - v. The client has submitted relevant KYC (KnowYour Client) details to the MFIs/ Participant.
2. **Terms and Conditions**
   - i. The client shall be bound by circulars issued by BSE's/NSEIL Rules, Regulations and Notices/circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
   - ii. The client shall notify the MFI/ Participant in writing if there is any change in the information in the'client registration form'provided by the client to the MFI/ Participant at the time ofregistering as a client for participating in the BSE STAR MF/MFSS platform or at any time thereafter.
   - iii. The client shall submit to the MFI/ Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the MFI/ Participant.
   - iv. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
   - v. The client shall be wholly responsible for all his investment decisions and instruction.
   - vi. The client shall ensure continuous compliance with the requirements of the BSE, NSEIL, SEBI and AMFI.
   - vii. The Client shall pay to the MFI/ Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that MFI/ Participant renders to the Client.
   - viii. The client will furnish information to the MFI/ Participant in writing , if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
   - ix. In the event of non-performance of the obligation by the MFI/ Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE or its Clearing Corporation - Indian Clearing Corporation Ltd. (ICCL)/NSEIL or NSCCL.
   - x. In case of any dispute between the MFIs/Participant and the investors arising out of the BSE STAR MF/MFSS platform, BSE/NSEIL and / or ICCL/NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

# AADHAAR CONSENT LETTER

Date: ____________________

To,
**Stellaredge Brokers Private Limited**
**Plot No. 7 Amit Vishwakarma Society, Majura**
**Gate Sagrampura Putli Surat-395002**

**Subject: Consent to use Aadhaar card copy**

Ref : Application for New Client/Authorized Person Registration

Dear Sir,

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

❏Voter ID Card ❏Driving License ❏Passport ❏Ration Card ❏Aadhaar Card ❏Utility Bills (shall not be more than two months old) I

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

Client Code/ DP ID: ________________________

Thanking you,

Yours Sincerely.

Name: ________________________________________

F35☞____________________
Signature of the Aadhaar Card Owner

**Know Your Client (KYC)**

**Application Form (For Individuals ONLY)**

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

STELLAREDGE Brokers Private Limited

**CDSL VENTURES LIMITED**

….Exploring New Horizons

Application Number:

Application Type*: ☐ New KYC ☐ Modification KYC

**KYC Mode*:** Please Tick (✓)

☐ Normal ~~☐ EKYC OTP~~ ~~☐ EKYC~~ Biometric ☐ Online KYC ☐ Ofline EKYC ☐ Digilocker

**1. Identity Details** (please refer guidelines overleaf)

PAN* Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof)

Maiden Name+ (if any) ☐

Fathers/Spouse's Name*

Date of Birth*

Gender* Male ☐ Female ☐ Transgender

Marital Status* ☐ Single ☐ Married

size Nationality* ☐ Indian ☐ Other

Residential Status* ☐ Resident Individual ☐ Non Resident Indian

Please Tick (✓) ☐ Foreign National ☐ Person of Indian Origin+

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the individual)

Recent passport Applicant Photo

Cross Signature across photograph

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A — Aadhaar Card XXXX XXXX ___________

☐ B — Passport Number (Expiry Date)

☐ C — Voter ID Card

☐ D —Driving License (Expiry Date)

☐ E —NREGA Job Card

☐ F — NPR

☐ Z —Others (any document notified by Central Government)

Identification Number

**2. Address Details*** (please refer guidelines overleaf)

**A. Correspondence/ Local Address***

Line 1*

Line 2

Line 3

City/Town/Village* District+ Pin Code*

pplicant e-SIGN

State* Country*

Address Type* Residential/Business Residential Business Registered Office Unspecified

**B. Permanent residence address of applicant, if different from above A / Overseas Address*** (Mandatory for NRI Applicant)

Line 1* ______

Line 2 ______

Line3 ______

City/ Town/Village* ______ District* ______ Pin Code* ______

State* ______ Country* ______

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

**Proof of Address*** (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

☐ A — Aadhaar Card XXXX XXXX ______

☐ B — Passport Number ______ (Expiry Date) ______

☐ C — Voter ID Card ______

☐ D —Driving License ______ (Expiry Date) ______

☐ E —NREGA Job Card ______

☐ F — NPR Letter ______

☐ Z—Others ______ (any document notified by Central Government)

Identification Number ______

## 3. Contact Details (in CAPITAL)

Email ID* ______

Mobile No. * ______ ______

Tel (Off) ______ ______ Tel (Res) ______ ______

## 4. Applicant Declaration

| | Applicant e-SIGN | Applicant Wet Signature |
|---|---|---|
| I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.<br>I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.<br>I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.<br>DATE: ______(DD-MM-YYYY)<br>PLACE: ______ | | |

## 5. For Office Use Only

| In-Person Verification (IPV) carried out by* | Intermediary Details* |
|---|---|
| IPV Date ______<br>Emp. Name ______<br>Emp. Code ______<br>Emp. Designation ______ | ☐ Self certified document copies received (OVD)<br>☐ True Copies of documents received (Attested)<br>AMC / Intermediary Name : |
| Employee Signature and Stamp | Institution Name and Stamp |

## Instructions/Guidelines for filling Individual KYC Application Form

### A. General Instructions:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 below list mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent addresses 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/PIOCard/ OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in 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 Certifi-cate/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 func-tions in a foreign country e.g., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

### B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government Depart-ments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Insti-tutions, 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):

1. 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.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government de-partments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card/document with address issued by any of the following: Central/ State Government 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.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apos-tilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
8. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

## D. Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected)

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

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

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

## F. Online Mode Processing of KYC:

1. EKYC BIOMETRIC
    - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
    - The documents should be e-signed.
    - Applicant details are verified using UIDAI Biometric details.
    - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
    - Intermediary attestation on documents is exempted.
2. EKYC OTP
    - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
    - The documents should be e-signed.
    - Applicant details are verified using UIDAI details using OTP.
    - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
    - Intermediary attestation on documents is exempted.
3. ONLINE KYC
    - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
    - The documents should be e-signed.
    - Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
    - Intermediary attestation on documents (OSV) is exempted.
4. OFFLINE EKYC
    - Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
    - The documents should be e-signed.
    - Digital KYC performed through Ofline Aadhaar e-KYC. OVD sourced from Ofline Aadhaar e-KYC.
    - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
5. DIGILOCKER
    - Digital KYC performed through the documents (OVD) sourced from Digilocker.
    - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
    - Intermediary attestation on documents is exempted.

**Know Your Client (KYC)**

**Application Form (For Non- Individuals Only)**

Please fill the form in ENGLISH and in BLOCK letters
Fields marked * are mandatory
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

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CDSL VENTURES LI MITED

Application Number:

Application Type*: ☐ New KYC ☐ Modification KYC

## 1. Entity Details (please refer guidelines)

PAN* ____________________ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) ____________________

Date of Incorporation* __ __ __ __ __ __ __ __ Place of Incorporation* ____________________

Date of Commencement* ______ ______ __________ Registration Number* ____________________

Entity Type*

Please Tick (✓)

☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership
☐ Trust/Charity/NGO ☐ HUF ☐ FPI Category I ☐ FPI Category II
☐ AOP ☐ Bank ☐ Government Body ☐ Defence Establishment
☐ Body of Individuals ☐ Society ☐ LLP
☐ Non-Government Organization
☐ Others ____________________

## 2. Proof of Identity+ (please refer the guidelines)

☐ Officially Valid Document(s) in respect of person authorized to transact

☐ Certificate of Incorporation/Formation ____________ ☐ Registration Certificate ____________

☐ Memorandum of Articles and Association ☐ Partnership Deed ☐ Trust Deed

☐ Board Resolution ☐ Power of attorney granted to its manager, office, employees to transact on its behalf

☐ Activity Proof –1+ (For Sole Proprietorship Only) ☐ Activity Proof –2+ (For Sole Proprietorship Only)

## 3. Address Details* (please refer the guidelines)

**A. Registered Address***

Line 1* ____________________

Line 2 ____________________

Line3 ____________________

City/Town/Village* ____________ District+ ____________ Pin Code* ____________

State* ____________ Country* ____________

**B. Correspondence/Local Address in India** (if different from above)*

Line 1* ____________________

Line 2 ____________________

Line3 ____________________

City/Town/Village* ____________ District+ ____________ Pin Code* ____________

State* ____________ Country* ____________

Applicant Digital Signature (DSC)

**Proof of Address*** (attested copy of any one POA to be submitted—#Not more than 3 months old)

- ☐ Certificate of Incorporation/Formation
- ☐ Registration Certificate
- ☐ Other document ______
- ☐ Latest Telephone Bill# (Landline only)
- ☐ Latest Electricity Bill#
- ☐ Latest Bank Account Statement#
- ☐ Registered Lease/ Sale Agreement of Office Premises

**Validity/Expiry Date of POA** (Expiry Date) __ __ __ __ __ __ __ __

- ☐ Any other proof of address document (as listed overleaf) ______

## 4. Contact Details

| | | | |
|---|---|---|---|
| Email ID | | Mobile No. | |
| Email ID | | Mobile No. | |
| Tel (Off) | | Fax | |

## 5. Annexures Submitted

Number of Related Persons - ☐

## 6. Remarks / Additional Information

## 7. Applicant Declaration

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

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email ad-dress.

DATE: ____ ____ ______ (DD-MM-YYYY)

PLACE: ______

| Applicant Digital Signature (DSC) | Applicant Wet Signature |
|---|---|
| | |

## 8. For Office Use Only

| KYC carried out by* | Intermediary Details* |
|---|---|
| KYC Date __ __ __ __ | ☐ Self certified document copies received (Originals Verified) |
| Emp. Name | ☐ True Copies of documents received (Attested) |
| Emp. Code | AMC / Intermediary Name OR Code: |
| Emp. Designation | |
| Employee Signature and Stamp | Employee Signature and Stamp |

**Know Your Client (KYC)**

**Annexure (For Non- Individuals Only)**

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked ⁺ are pertaining to CKYC and mandatory only if processing CKYC also

**CDSL VENTURES LIMITED**

….Exploring New Horizons

Application Number:

Intermediary Logo

Application Type*: ☐ New KYC ☐ Modification KYC

## 1. Identity Details of Related Person (please refer guidelines overleaf)

PAN* ____________ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) ____ ____ ____ ____

Maiden Name⁺ (if any) ____ ____ ____ ____

Fathers/Spouse's Name* ____ ____ ____

Date of Birth* __ __ ____

Gender* ☐ Male ☐ Female ☐ Transgender

Nationality* ☐ Indian ☐ Other ____________

Applicant Photo

Related Person Type*

☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointed Official Proprietor

☐ Beneficiary ☐ Authorized Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder

☐ Others ____________(please specify) DIN:____________(mandatory if the related person is Director)

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A — Aadhaar Card XXXX XXXX ________

☐ B — Passport Number ____________ (Expiry Date) __ __ __ __ __ __ __ __

☐ C — Voter ID Card ____________

☐ D —Driving License ____________ (Expiry Date) __ __ __ __ __ __ __ __

☐ E —NREGA Job Card ____________

☐ F — NPR ____________

☐ Z —Others ____________ (any document notified by Central Government)

Identification Number ____________

## 2. Address Details* (please refer guidelines overleaf)

**A. Correspondence/ Local Address***

Line 1* ____________

Line 2 ____________

Line3 ____________

City/Town/Village* ____________ District⁺ ____________ Pin Code* ____________

State* ____________Country* ____________

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Applicant e-SIGN

**B. Permanent residence address of applicant, if different from above A / Overseas Address*** (Mandatory for NRI Applicant)

Line 1* ______________________________

Line 2 ______________________________

Line3 ______________________________

City/Town/Village* ____________ District* ____________ Pin Code* ____________

State* ____________ Country* ____________

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

**Proof of Address*** (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

☐ A — Aadhaar Card XXXX XXXX ________

☐ B — Passport Number ____________ (Expiry Date) __ __ __ __ __ __ __ __

☐ C — Voter ID Card ____________

☐ D —Driving License ____________ (Expiry Date) __ __ __ __ __ __ __ __

☐ E —NREGA Job Card ____________

☐ F — NPR Letter ____________

☐ Z—Others ____________(any document notified by Central Government)

Identification Number ____________

## 3. Contact Details

Email ID ______________________________

Mobile No. _____ ____________

Tel (Off) _____ ____________ Tel (Res) _____ ____________

## 4. Applicant Declaration

| | Applicant e-SIGN | Applicant Wet Signature |
|---|---|---|
| I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.<br><br>I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email ad-dress.<br><br>DATE: _____ _____ ________ (DD-MM-YYYY)<br>PLACE: ____________ | | |

## 5. For Office Use Only

| KYC carried out by* | Intermediary Details* |
|---|---|
| KYC Date __ __ __ __ __ __ __ __<br>Emp. Name ____________<br>Emp. Code ____________<br>Emp. Designation ____________ | ☐ Self certified document copies received (OVD)<br>☐ True Copies of documents received (Attested) |
| Employee Signature and Stamp | Institution Name and Stamp |

## Instructions/Guidelines for filling Non-Individual KYC Application Form

### A. General Instructions:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 below list mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent addresses 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/PIOCard/ OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in 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 func-tions in a foreign country e.g., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

### B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government 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):

1. 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.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card with applicant's photograph and address issued by any of the following: Central/ State Government 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.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. Proof of address in name of spouse may be accepted.
6. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
7. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

**D. Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected)**

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

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

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

**F. Online Mode Processing of KYC:**

1. ONLINE KYC
   - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
   - The documents should be digitally signed using DSC.
   - Intermediary attestation on documents (OSV) is exempted.

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| Type of Entity | Additional Documents Required over and above PAN, POI and POA |
|---|---|
| Corporate | • Copy of Balance Sheet for the last to financial years ( to be submitted every year).<br>• Copy of latest share-holding pattern including the 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 submitter every year).<br>• Photograph, POI, POA, PAN and DIN number of the whole time Director/ 2 directors in charge of day to day operations.<br>• Photograph, POI, POA, PAN of individual promoters holding control—either directly or indirectly.<br>• Copy of Memorandum and Articles of Association and Certificate of Incorporation.<br>• Copy of Board Resolution for Investment in security markets.<br>• Authorized signatories list with specimen signatures.<br>• Shareholding pattern. |
| Partnership Firm | • Copy of Balance Sheet for the last to financial years ( to be submitted every year).<br>• Certificate of Registration (for registered partnership firms only).<br>• Copy of Partnership Deed.<br>• Authorized signatories list with specimen signatures.<br>• Photograph, POI, POA, PAN of Partners.<br>• Shareholding pattern. |
| Trust | • Copy of Balance Sheet for the last to financial years ( to be submitted every year).<br>• Certificate of Registration (for registered Trusts only).<br>• Copy of Trust Deed.<br>• List of Trustees certified by Managing Trustees/ CA<br>• Photograph, POI, POA, PAN of Trutees. |
| HUF | • PAN of HUF.<br>• Deed of Declaration of HUF or List of Co-Parceners.<br>• Bank Passbook / Bank statement in the name of HUF.<br>• Photograph, POI, POA, PAN of KARTA. |
| Banks/Institutional Investors | • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years<br>• Authorized signatories list with specimen signatures. |
| Unincorporated Asso-ciation or a Body of Individuals | • Proof of existence or Constitution document.<br>• Resolution of Managing Body and power od Attorney granted to transact business on its behalf. |
| Army/Government Bodies | • Copy of Constitution/Registration or Annual report/Balance Sheet for the last 2 financial years.<br>• Authorized signatories list with specimen signatures. |
| Army/Government Bodies | • Self certification on letterhead.<br>• Authorized signatories list with specimen signatures. |
| Registered Society | • Copy of Registration Certificate under Society Registration Act.<br>• List of managing committee members.<br>• Committee Resolution for persons authorized to act as authorised signatories with specimen sig-natures.<br>• True copy of society rules and by-laws certified by Chairman/Secretary. |
| FPI Category I | • FPI Certificate<br>• Constitution Documents<br>• Copy of Board Resolution (optional)<br>• Shareholding pattern and Ultimate Beneficiary Owners List (UBO)<br>• Authorized signatories list with specimen signatures. |
| FPI Category II | • FPI Certificate<br>• Constitution Documents<br>• Copy of Board Resolution<br>• Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity<br>• Authorized signatories list with specimen signatures. |

STELLAREDGE
Brokers Private Limited

## MANDATORY DISCLOSURE OF PROPRIETARY TRADING BY STELLARDGE BROKERS PRIVATE LIMITED

Dear Sir,

We wish to inform you that, we do proprietary trades in MCX, NSE BSE AND MSE in addition to trading for clients.

I have noted the above

Sole/First Applicant Signature

Dated :