Ashika Stock Services Ltd.

ashika
Growing and Sharing with you

SARAL ACCOUNT OPENING FORM

Client Name : _____

Trading A/C. No. : _____

Referred by : _____ Code (if any) _____

Stocks | Mutual Fund | ETF | Commodities | Bonds |
F&O | Depository | Research | IPO

Most Important things to keep in mind

- The entire form should be filled in CAPITAL LETTERS and BLACK INK only
- Please ensure that you provide your mobile number and email id. This helps us in sending you all the important communications including your trade details, margin details, etc.
- Your Name and Address should EXACTLY match with the documents provided
- Please provide SELF ATTESTED, CLEAR copies of all the required documents
- Kindly provide all the information and strike out all blank spaces which are not applicable
- DO NOT use whitener, strike off in case of any correction and countersign
- Please produce original documents for verification at the time of submission
- You must paste recent passport size color photographs at the designated places and sign across it (Please note that the photograph should be printed on Photo Paper)
- This is a common form for individuals and non-individuals and also for opening Demat and Trading account. Kindly fill in the parts which are applicable to you
- In case of Non-individual, all the signatures should be accompanied by the stamp/seal of the organisation
- Please read all the Rights and Obligations and other documents carefully before signing
- Please go through Risk Disclosure Document, Do’s and Don’ts very carefully. They are for your own benefit

Ashika Stock Services Limited (ASSL)

CIN : U65921WB1994PLC217071

SARAL
Account Opening Form - Trading and Demat

Registered Office	'Trinity', 226/1, A.J.C. Bose Road, 7th Floor, Kolkata-700 020 Phone : 033-40102500 E-mail: ashika@ashikagroup.com Website : www.ashikagroup.com
Corporate Office	1008, 10th Floor, Raheja Centre 214, Nariman Point, Mumbai-400 021 T : 022-66111700 E : mumbai@ashikagroup.com
	Altimus, Level 35, Dr. G. M. Bhosale Marg, Worli, Mumbai 400 018 | T: +91 22 6372 0000

Members	National Stock Exchange of India Ltd. (NSE) (08334) Bombay Stock Exchange Ltd. (BSE) (912) Metropolitan Stock Exchange of India Limited (MSE) (18300) Multi Commodity Exchange of India Ltd. (MCX) (56415) National Commodity & Derivatives Exchange Ltd. (NCDEX) (1286)
Depository Participant	**Central Depository Services India Ltd. (CDSL)** **National Securities Depository Ltd. (NSDL)**

Depository	Registration No.
CDSL / NSDL	IN-DP-533-2020

Form No. **12601**

SEBI Registration No.	**INZ000169130**

Managing Director	**Mr. DAULAT JAIN** Tel: (033) 40102500 Email: ashika@ashikagroup.com

Compliance Officers	**Trading**	**Mr. NAWAL KISHORE KEDIA** Tel. : (033) 4010 2500 E-mail ID : nawalkishore@ashikagroup.com
	DP	**Mr. NAND KISHOR JAJOO** Tel. : (033) 4010 2500 E-mail ID : nkjajoo@ashikagroup.com

Clearing Member Details

Exchange segment	Clearing Member	Clearing Member Code
NSE CDX	Ashika Stock Services Limited	M51135
BSE CDX		
MSE CDX		
NSE FO		
BSE FO		
MSE FO		
NSE CO		
MCX		7055
NCDEX		M51094
BSE CO	Globe Capital Market Limited	3179

For any grievance/dispute please contact Ashika Stock Services Limited (ASSL) at the above address or mail at:- *ig@ashikagroup.com* (for Trading) and *dpservices@ashikagroup.com* (for DP) or call us at our Toll Free No. 1800 212 2525 or at +91-33-4010 2525

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

Exchange / Depository Contacts	**National Stock Exchange of India Limited (NSE),** Phone : 022-26598190 • Email : ignse@nse.co.in
	BSE Limited (BSE), Phone : 022-22728097 • Email : is@bseindia.com
	Metropolitan Stock Exchange of India Limited (MSE) Phone: 022-61129000, EXT 9028 • Email : investorscomplaints@mse.in
	Multi Commodity Exchange of India Ltd. (MCX), Phone: 022-67318888, 66494000 • E-mail: grievance@mcxindia.com
	Central Depository Services India Limited (CDSL), Toll Free no. : 1800-200-5533 • Email : complaints@cdslindia.com
	National Securities Depository Limited (NSDL), Phone : 022-24994200 • Email : relations@nsdl.co.in
	National Commodity & Derivatives Exchange Limited (NCDEX), Phone : 022-66406789 • Email : ig@ncdex.co.in

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

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

a. Register on SCORES portal :
Get yourself registered,

b. Mandatory details for filing complaints on SCORES:
i. Name, PAN, Address, Mobile Number, Email ID,

c. Benefits:
i. Effective communication, ii. Speedy redressal of the grievances.

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

ACCOUNT OPENING KIT

This KIT is valid for opening Trading Account and Demat Account with Ashika Stock Services Limited.

Clients desirous of opening both or any can utilise the relevant segments of this KIT.

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

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
1	Document Checklist	It contains detailed Checklist for Documents required	1-2
	Mandatory Documents as prescribed by SEBI, Exchanges and Depositories		
2	SARAL - Account Opening Form (AOF) with KRA Form	A. SARAL Account Opening Form - Document captures the basic information about the constituent and an instruction / check list for filling AOF form	3-5
3	Additional KYC Form	Additional KYC related details for Trading & Demat Account	6-7
4	Nomination Form	Format for opting and opting out in Nomination and Declaration thereof	8-10
5	Policies and Procedures	Document describing significant policies and procedures of Ashika Stock Services Limited	11-14
6	MITC	Document describing Most Important Terms & Condition of Client's Trading & Demant Account	15
7	Tariff Sheet (Trading)	Document detailing the rate / amount of brokerage / charges levied on the client for trading on the stock exchange(s).	16
8	Tariff Sheet (DEMAT)	Document detailing the rate / amount / charges levied on the client for activities in his/their demat account.	17
9	Rights & Obligations of Members, Authorised Persons and Clients	Document stating the Rights & Obligations of Member, Authorised Person and Client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)	Client Copy
10	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market	
11	Do's and Don'ts for the investors	Document detailing do's and don'ts for trading on Equity & Commodity Exchanges, for the education of the investors.	
12	Rights & Obligation of Beneficial Owner & Depository Participant	Document detailing rights and obligations of beneficial owner and depository participant	
	Non Mandatory Documents as provided by the Ashika Stock Services Ltd.		
13	BSDA Declaration	Declaration for Basic Services Demat Account (BSDA)	18
14	Issue of DIS Booklet/ Social Media Information of the Client	Option Form for Issue of DIS Booklet / Captures Social Media presence of the client	19
15	FATCA / CRS-Individual	Declaration pertaining to foreign tax liability	20-21
16	Declaration/ Mandate	Common Email ID/Mobile Number & Deposit of Securities towards Margin	22
17	ECN Mandate (Electronic Format)	It contains authority given to the member for providing various statements in electronic format	23
18	Declaration / Authorisation	Declaration for smooth operation & adherence of compliance	24-25
19	Authority Letter for Running Account	Authorisation to maintain a running account for funds.	26
20	Do's & Don'ts	It contains Do's & Don'ts which are relevent for the operations of trading and demat account	27
21	Questionnaire	It contains the Common Questions towards Risk Profiling of Clients	28
22	PMLA Statement	It contains Prevention of Money-Laundering statement for Client Education.	29
23	CKYC Download	It contains the permission to download the clients' CKYCs from website to Broker's storage	30

DOCUMENTS CHECKLIST

Documents admissible

1. Photograph
   Recent passport size color photograph is required. Photograph should be printed on photo paper.
2. Proof of Address (Any one of the following)
   a. Aadhar Letter issued by UIDAI.
   b. Passport/Driving License (should be valid on the date of account opening)
   c. Voter ID
   d. Utility Bill: Landline (Mobile Bill not Accepted)/Electricity/Gas (should not be more than 3 months old on date of account opening)
   e. Registered Lease or Sale Agreement of residence (should be valid on the date of account opening)
      NOTE: In case one does not have an address proof in his name, he can provide a declaration from the person with whom he is staying. In this case Identity proof of the declaring person MUST also be submitted
3. Bank Proof (Any one of the following)
   NOTE: (First/Sole applicant should be the first holder in the bank account as well)
   a. Copy of cheque/Cancelled Cheque (if cheque bears pre-printed name of the client) OR ELSE
   b. Bank Statement/Pass Book (if it is not on the stationery of the bank then it should be authenticated by the bank with seal)
   c. Letter from Bank
4. Demat Proof (Any one of the following)
   a. Client Master
   b. DP Statement
   c. Transaction cum Holding Statement
   d. Welcome letter
5. Income Proof (Any one of the following)
   a. Copy of latest ITR Acknowledgment
   b. Latest Salary Slip or Copy of Form 16 as of last assessment year
   c. Net worth certificate (issued as on last financial year)
   d. Below mentioned documents with self declaration
      - Copy of latest Demat Account Holding Statement
      - Copy of Bank Statement for last SIX months
      - Any other relevant documents substantiating ownership of assets

NOTE:

- Copies of all documents should be self attested
- All submitted documents shall be verified with originals by AP / Sub-Broker /Employee of Ashika Stock Services Ltd .
- In case the original of any documents is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents as per the list in section E on page 2

INDIVIDUALS

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

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 list in section E.
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, any one documentary proof is required.
6. Sole proprietor must make the application in his individual name & capacity.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

D. EXEMPTIONS/CLARIFICATIONS TO PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds up to Rs 50, 000/- p.a.

E. LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:

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).

SARAL

ACCOUNT OPENING FORM FOR RESIDENT INDIVIDUALS TRADING IN CASH SEGMENT

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

Affix recent passport size Photograph and Sign across it

1

A. IDENTITY DETAILS

1	Name of the Applicant						
2	Name of Father/Spouse						
3	a. Gender	☐ Male ☐ Female	b. Marital Status	☐ Single ☐ Married	c. Date of Birth	D D M M Y Y Y Y	
4	Nationality	☐ Indian					
5	a. PAN, copy attached ☐				b. UID/Aadhaar		
6	Specify Identity proof submitted				Id Proof for PAN exempt Cases (DP A/c only)		

B. ADDRESS DETAILS

1	Residential / Correspondence Address				
		City/Town/Village		PIN Code	
		State		Country	
2	Contact Details	Telephone (office)		Telephone (Res)	
		Fax No.		Mobile No.	
		Email ID			
3	Permanent Address *(if different from above.)*				
		City/Town/Village		PIN Code	
		State		Country	
4	Specify the Proof of Residence / Correspondence / Permanent address submitted				

C. DECLARATION

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

2

Place		Signature of 1st / Sole Applicant	Date	D D M M Y Y Y Y

Form should be filled in English and in Block Letters (Use Black ink only)

AMC / INTERMEDIARY NAME & CODE : Ashika Stock Services Limited • CVL POS Code : 1100034500 • NDML MI ID : P0340

FOR OFFICE USE ONLY

	Documents verified with Originals by	Client interviewed by	In-Person Verification done by
Staff Name			
Code & Designation			
Signature			
Date	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y

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

☐ (Original verified) Self Certified Documents copies received
☐ (Self Attested) True copies of documents received

Sign/Seal/Stamp of the intermediary

SARAL

ACCOUNT OPENING FORM FOR DEMAT A/C - INDIVIDUAL (For Joint A/c)

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

Affix recent passport size Photograph and Sign across it

A. IDENTITY DETAILS

1	Name of the Second Applicant						
2	Name of Father/Spouse						
3	a. Gender	☐ Male ☐ Female	b. Marital Status	☐ Single ☐ Married	c. Date of Birth	D D M M Y Y Y Y	
4	a. Nationality	☐ Indian ☐ Other Pls specify (if other)	b. Status	☐ Resident Individual ☐ Non Resident ☐ Foreign National			
5	a. PAN, copy attached ☐			b. UID/Aadhaar			
6	Specify Identity proof submitted			Id Proof for PAN exempt Cases (DP A/c only)			

B. ADDRESS DETAILS

1	Correspondence Address				
		City/Town/Village		PIN Code	
		State		Country	
2	Specify proof of correspondence address submitted				
3	Contact Details	Telephone (office)		Telephone (Res)	
		Fax No.		Mobile No.	
		Email ID			
4	Permanent Address *(if different from above. Mandatory for Non-Resident Applicant to specify overseas address)*				
		City/Town/Village		PIN Code	
		State		Country	
5	Specify the Proof of Permanent address submitted				

Form should be filled in English and in Block Letters (Use Black ink only)

AMC / INTERMEDIARY NAME & CODE : Ashika Stock Services Limited • CVL POS Code : 1100034500 • NDML MI ID : P0340

C. DECLARATION

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

Place		Signature of 2nd Applicant	Date	D D M M Y Y Y Y

FOR OFFICE USE ONLY

	Documents verified with Originals by	Client interviewed by	In-Person Verification done by
Staff Name			
Code & Designation			
Signature			
Date	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y

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

☐ (Original verified) Self Certified Documents copies received
☐ (Self Attested) True copies of documents received

Sign/Seal/Stamp of the intermediary

SARAL

ACCOUNT OPENING FORM FOR DEMAT A/C - INDIVIDUAL (For Joint A/c)

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

Affix recent passport size Photograph and Sign across it

A. IDENTITY DETAILS

1	Name of the Third Applicant						
2	Name of Father/Spouse						
3	a. Gender	☐ Male ☐ Female	b. Marital Status	☐ Single ☐ Married	c. Date of Birth	D D M M Y Y Y Y	
4	a. Nationality	☐ Indian ☐ Other Pls specify (if other)	b. Status	☐ Resident Individual ☐ Non Resident ☐ Foreign National			
5	a. PAN, copy attached ☐			b. UID/Aadhaar			
6	Specify Identity proof submitted			Id Proof for PAN exempt Cases (DP A/c only)			

B. ADDRESS DETAILS

1	Correspondence Address				
		City/Town/Village		PIN Code	
		State		Country	
2	Specify proof of correspondence address submitted				
3	Contact Details	Telephone (office)		Telephone (Res)	
		Fax No.		Mobile No.	
		Email ID			
4	Permanent Address *(if different from above. Mandatory for Non-Resident Applicant to specify overseas address)*				
		City/Town/Village		PIN Code	
		State		Country	
5	Specify the Proof of Permanent address submitted				

C. DECLARATION

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

Place | Signature of 3rd Applicant | Date D D M M Y Y Y Y

Form should be filled in English and in Block Letters (Use Black ink only)

AMC / INTERMEDIARY NAME & CODE : Ashika Stock Services Limited • CVL POS Code : 1100034500 • NDML MI ID : P0340

FOR OFFICE USE ONLY

	Documents verified with Originals by	Client interviewed by	In-Person Verification done by
Staff Name			
Code & Designation			
Signature			
Date	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y

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

☐ (Original verified) Self Certified Documents copies received
☐ (Self Attested) True copies of documents received

Sign/Seal/Stamp of the intermediary

SARAL

Additional information to be obtained along with the SARAL Account Opening Form for Resident Individuals

To be filled by the Depository Participant		Date	D D M M Y Y Y Y
Application No.		Date	D D M M Y Y Y Y
DP Internal Reference No.			
DP ID		Client ID	

HOLDERS DETAILS

Sole/First Holder's Name		UID	
Second Holder's Name		PAN	
		UCC	
		Exchange Name & ID	
		UID	
Third Holder's Name		PAN	
		UID	

Name* _____

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

Status	**Sub-status**
☐ Individual	☐ Individual Resident

I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	☐ Yes ☐ No
Account Statement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID	☐ Yes ☐ No
I / We would like to share the email ID with the RTA	☐ Yes ☐ No
I I / We would like to receive the Annual Report (Tick the applicable box. (If not marked the default option would be in Physical)	☐ Physical ☐ Electronics ☐ Both Physical & Electronics
I/ We wish to receive dividend / interest directly in to **my** bank account as given in SARAL AOF 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

Other Details	**Income Range per annum:**
Gross Annual Income Details	☐ Upto Rs. 1 Lakh ☐ Upto Rs. 1-5 Lakh ☐ Upto Rs. 5-10 Lakh ☐ Upto Rs. 10-10 Lakh ☐ More than Rs. 25 Lakh
	Net worth as on (date) D D M M Y Y Y Y Rs. _____
	(Net worth should not be older than 1 year)
Occupation	☐ Private / Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculture ☐ Retired ☐ Housewife ☐ Student ☐ Others (Specify) _____
Please tick , if applicable:	☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP)
Any other information:	

Correspondence / residence address proof not available : If yes, Please tick ☐

I confirm that my correspondence / residence address as mentioned in the Account Opening Form is correct and same shall be used for any further communication addressed to me. In case of any change in aforesaid address, I hereby undertake to intimate the new address within two weeks of such a change.

SMS Alert Facility* Refer to Terms & Conditions given as **Annexure - 2.4**	MOBILE NO. +91 _____ [(Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option) (*Ensure that mobile no. is provided in SARAL application form)	☐ Yes ☐ No
Easi	To register for **e**asi, please visit our website www.cdslindia.com. ***E***asi allows a BO to view his ISIN balances, transactions and value of the portfolio online	

FOR TRADING ACCOUNT

1. BANK ACCOUNT DETAILS (Mandatory)

	Primary	Secondary, if any
Bank Account Type	☐ Savings ☐ Current ☐ Others, in case of NRI, NRE/NRO (Plz specify)	☐ Savings ☐ Current ☐ Others, in case of NRI, NRE/NRO (Plz specify)
Bank Account No.		
Bank Name		
Branch Address		
MICR Code		
IFSC Code		
Proof Provided	☐ Yes ☐ No	☐ Yes ☐ No

2. DP ACCOUNT DETAILS (in case the client does not have DP account, this column may be crossed)

Sr.#	Particulars	Primary DP Details	Secondary DP Details
1	DP	☐ NSDL ☐ CDSL	☐ NSDL ☐ CDSL
2	DP Name		
3	DP ID	Provide Proof	Provide Proof
4	Beneficiary Name		
5	BO/Client ID		

3. WHETHER DP ACCOUNT IS ALSO TO BE OPENED WITH THE SAME INTERMEDIARY

☐ YES ☐ NO

4. TRADING PREFERENCE

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

	NSE	BSE	MSEI
1.	3a	3b	3c

5. MODE OF RECEIVING CONTRACT NOTES / STATEMENT OF ACCOUNTS

Whether you wish to receive Physical Contract notes / Documents or Electronic Contract Notes (ECN) / Documents, please select ☐ Physical ☐ Electronic

6. STANDING INSTRUCTIONS TO RECEIVE CREDITS AUTOMATICALLY INTO MY BO ACCOUNT

☐ YES ☐ NO

FOR BOTH DEMAT AND TRADING ACCOUNT

DECLARATION

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.

I have understood the contents of Policy and procedures document, tariff sheet, 'Rights and Obligations' document and 'Risk Disclosure Document'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for Information on Stock Broker's designated website.

The Bye Laws and Business Rules of NSDL and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/ we are aware that I/we may be held liable for it. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

Signature:	4		
Name:	Sole Applicant / First Signatory / Guardian (in case sole holder is a Minor)	Second Applicant / Signatory	Third Applicant / Signatory
Place		Date	D D M M Y Y Y Y

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

If the client chooses to avail the demat facility from the same stock broker who is also a depository participant, the stock broker may use the same form and provide the details of the demat account opened for the said client to the client while providing a copy of the KYC documents.

Signature of the Authorised Signatory

Date .....

Seal/Stamp of the stock broker

NOTE: This form is applicable for individual investors trading in the cash segment. If such investors wish to trade in segments other than cash segment and / or wish to avail facilities such as internet trading, running account, margin trading, Power of Attorney etc., they may furnish additional details required as per prescribed regulations to the concerned intermediary.

NOMINATION FORM FOR DEMAT / TRADING ACCOUNTS
(FOR INDIVIDUAL APPLYING SINGLY OR JOINTLY)

Annexure-A

Details of TM / DP : **Ashika Stock Services Limited,** 'TRINITY', 226/1, A.J.C. Bose Road, 7th Floor, Kolkata - 700020

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

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

Nomination Details

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

1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the DP as follows; (please tick, as appropriate)

☐ Name of nominee(s) ☐ Nomination: Yes / No

2) I hereby authorize _____ (nominee number _____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ___% of assets in the account or Rs. _____. **(Optional)**

(strike off portions that are not relevant) This nomination shall supersede any prior nomination made by me / us, if any.

Signature of Sole / 1st Holder _____ Signature of 2nd Holder _____ Signature of 3rd Holder _____

3) Signature(s) – As per the mode of holding in demat account(s)

Name(s) of holder(s)		Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable) *
Sole / 1st Holder (Mr./Ms.)				
2nd Holder (Mr./Ms.)				
3rd Holder (Mr./Ms.)				

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

*Joint Accounts:

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

Notes:

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

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

**** to be furnished only in following conditions / circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/0027, dated February 28, 2025
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgment from the DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account.
- In case all your nominees do not claim the assets from the DP, then the residual unclaimed asset shall continue to be with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account, in case of your physical incapacitation, at any point of time and not just during opening of account. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the demat account(s) i.e.
  - o 'Either or Survivor' Accounts - any one of the holder can sign
  - o 'First holder' Accounts - only First holder can sign
  - o 'Jointly' Accounts - all holders have to sign

Transmission aspects

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

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

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

Declaration Form for Opting Out of Nomination

Details of TM / DP :	Date	D	D	M	M	Y	Y	Y	Y

To
ASHIKA STOCK SERVICES LIMITED
'TRINITY', 226/1, A.J.C. Bose Road
7th Floor, Kolkata - 700020

UCC								
DP ID								
Client ID (only for Demat account)								
Sole/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 MF Folio/ 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 MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account..

Name and Signature of Holder(s)*

Signature:	1. _____	2. _____	3. _____
Name:	1. _____	2. _____	3. _____

Witness	Witness
Signature: _____	Signature: _____
Name: _____	Name: _____
Address: _____	Address: _____
_____	_____

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

REFUSAL OF ORDERS FOR PENNY STOCK:

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

SETTING UP OF CLIENTS EXPOSURE LIMIT:

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

APPLICABLE BROKERAGE RATE:

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

INTEREST ON DELAYED PAYMENT:

The client agrees that interest at the maximum rate of 24% p.a. will be charged on any amounts which are overdue from the client towards trading or on account of any other reason to ASSL.

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

THE RIGHT TO SELL CLIENT'S SECURITIES OR CLOSE CLIENTS POSITIONS, WITHOUT GIVING NOTICE TO THE CLIENT, ON ACCOUNT OF NON PAYMENT OF CLIENT'S DUES:

As the SEBI Circular - CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20, 2019 mandates liquidation of securities in Capital Market Segment in case of non-payment within 5 trading days from the pay-out wherein no pre-order confirmation is required. However, as a best practice, we will issue margin call and reminder to client for making payments within 5 trading days. The client shall ensure timely availability of funds for meeting his/her/its payin obligation. ASSL shall not be responsible for any claim/loss/damage arising out of non availability of funds by the client for meeting the pay in obligation of either funds or securities.

ASSL has the right but not the obligation, to cancel all pending orders and to close/liquidate all open positions in equity derivatives and commodities at the pre-defined square off time or when Mark to Market loss (MTM) reaches the desired % or margin available with ASSL is not sufficient to cover the risk or the client have not taken any steps either to replenish the margin or reduce the Mark to Market loss. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case open position (ie. short /long) gets converted into delivery due to non square off because of

any reason whatsoever, the client agrees to provide funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs, in addition to this, the client will have to pay penalties and charges levied by the exchanges in actual and losses.

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

1. To withhold any payout of funds .
2. To withhold /disable the trading/dealing facility to the client.
3. To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which ASSL may deem fit in its absolute discretion.
4. To liquidate / square off partially or fully the position of sales & / or purchase in any one or more commodities/derivatives contracts in such manner and at such rate which ASSL may decide in its absolute discretion.
5. To take any other steps which in the given circumstances, ASSL may deem fit.

SHORTAGE IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES:

If there are shortages due to internal netting of client's position, the same would be squared off with the highest of the given prices:- (provided that the same shall not exceed the highest price prevailing in the Exchange from the first day of the relevant trading period till the day of closing out or 20% above the official closing price on the auction day whichever is higher)

1. Percentage on closing rate of auction date
   a) Upto 100.99/- (scrip rate) x 7.5%
   b) >101<500.99/- (scrip rate) x 5%
   c) 501/- (scrip rate) and above x2.5%
2. Buying / selling average rate
3. Market Auction Rate

ASSL shall not be obliged to deliver any commodities or pay any money to the client unless and until the same has been received by it from the exchange, the clearing corporation/clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first. The commodities delivered short are purchase from the market and the purchase consideration (including all statutory charges and levies) along with a penalty is debited to the short delivery seller client.

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

The same holds good when (1) ledger reflects continuous debit balance (2) inadequacy of margin (3) any other outstanding dues (4) Further position in the given scrip is prohibited by the Exchange.

The client is not entitled to trade without adequate margin / security and that it shall be his/her/its responsibility to ascertain beforehand the margin / security requirements for his/her/its orders/trades/deals and to ensure that the required margin/ security is made available in such form and manner as may be required by ASSL The client further agrees that he/she/it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) & / or any claim / loss / damage arising out of the non-availability / shortage of margin / security required by the broker & / or exchange & /or quantum & or percentage of the margin & / or security required to be deposited / made available from time to time. The margin/security deposited by the client with ASSL is not eligible for any interest.

CLIENT TRADING ACCOUNT CLOSURE :

Clients can request trading account closure online or offline without stating reasons, subject to SEBI and Stock Exchange compliance. Online closure can be done through secure web portal/app with two-factor authentication or registered email ID. Request through SMS or messaging apps are not accepted. On receipt, ASSL will send confirmation to client's registered email/mobile and block further trades immediately. Any closure request requires zero debit balance (across exchanges), no open positions, and no pending arbitrations blocking funds/securities. If issues exist, the client will be notified in writing to settle before proceeding. Valid requests will be processed within 3 working days which includes return funds, release

collateral/pledged securities, and close account. ASSL will notify client of the closure, update UCC database as inactive/deleted, and stop client-level collateral reporting. The reasons for any rejection to be stated and informed to client. Maintenance of logs for internal audit purposes and adherence to all timelines as prescribed under the Exchange circular shall be ensured. Any rights or liabilities arising from prior trades shall remain binding on the parties and their successors even after closure of the account.

CLIENT DEREGISTRATION:

Deregistration applies in cases of client inactivity, regulatory violations, unpaid dues, or mutual termination.

ASSL may deregister clients under these circumstances:

- Client request for account closure (as per prior policy).
- Prolonged inactivity (e.g., no trades for 24 months).
- Non-payment of dues, debit balances, or failure to settle obligations.
- Suspected illegal activities, market manipulation, or regulatory bans (e.g., SEBI debarment).
- Client indicted for fraud, money laundering, or securities violations.

Notify client in writing via registered email, stating reasons. Reminders will be issued in case of inactivity. Transfer funds/securities to client demat (within 7 days). Update client status as "Inactive/Deleted" in UCC database and internal systems. Inform client and exchanges, cease reporting in collateral segregation. Deregistration does not waive prior liabilities from transactions, which remain binding on parties/successors.

INACTIVE /DORMANT ACCOUNT POLICY :

Client trading codes are classified as Inactive/Dormant in the Unique Client Code (UCC) database when there is no client-initiated activity across any exchange or segment for a continuous period of 24 months. This includes absence of trades, participation in Offer for Sale (OFS), buy-back offers, open offers, non trading transactions such as successful IPO or Mutual Fund subscriptions or depository participants (DP) operations or any KYC updates such as changes to email, mobile number, or address and the same has been uploaded to KRA to ensure validated /registered status.

For clients seeking reactivation after being flagged as Inactive/Dormant for 24 months or more:

- A formal reactivation application must be obtained.
- Updated KYC details are required, including fresh due diligence.
- In-Person Verification (IPV), either physical or through Video In-person Verification, must be conducted as per exchange mandates.

While reactivating the client, ASSL shall also verify the client status as per KRA. In case the client's status as per KRA is not validated / not registered (i.e. "On hold"/"Rejected"/"Registered" through other intermediary, etc.) then ASSL shall not re-activate the client's trading account. In this case, the client is required to provide the latest KYC details like Address, Mobile number, Email ID, Bank/DP account, income, etc. along with the necessary supporting documents as required by KRA. Post submission of required details along with documents by the client, ASSL shall validate these details with the documents provided and shall update its records accordingly. Before re-activating the client's trading account, ASSL shall update/upload the required details/documents on KRA to ensure that the client's status is validated/registered with KRA. ASSL shall also update such client details in the UCC records of the respective exchanges. Upon reactivation, the computation of next 24 months for the purpose of identifying client as inactive in the subsequent period shall be considered from the date of last re-activation of trading account.

- Individual Clients may submit an "online reactivation request" using the REKYC option available on the ASSL website.
- This streamlined process allows for quicker processing while ensuring regulatory compliance.

VOLUNTARY FREEZING/BLOCKING OF ONLINE TRADING ACCOUNTS:

Clients of ASSL may voluntarily request freezing or blocking of their online trading accounts using the following secure channels during market hours :

1. **Email**: Send a request to stoptrade@ashikagroup.com from the client's registered email ID with ASSL. Only emails from registered IDs will be processed.

2. **Phone**: Call 033-40102590 or 033-40102525 during market hours. Requests must originate from the client's registered mobile/landline number. The agent will authenticate the client by verifying identity details and, if needed, additional information (e.g., PAN, trading code, recent transactions).

Upon successful verification:
- An acknowledgment will be issued immediately via email/SMS.
- The trading account will be frozen/blocked, and all pending orders cancelled.

Request Timing	**Action Timeline**
• During trading hours (up to 15 minutes before market close)	Within 15 minutes of receipt
• After trading hours or within 15 minutes before market open	Before the start of the next trading session

Post-Freezing Communication
- ASSL will send confirmation to the client's registered mobile number and email ID.
- Details of any open positions (if applicable), including contract expiry information, will be shared via a separate email within one hour.

Unfreezing/Re-Enabling Access : To re-enable online trading access:
- Clients must submit a formal unfreezing request following the same procedure (email or phone).
- ASSL will conduct necessary due diligence, including identity verification and risk assessment.
- Access will be restored only after satisfactory verification.
- In cases of adverse findings (e.g., compliance issues or suspicious activity), ASSL's decision to deny or delay restoration shall be final and binding, always in the client's best interest.

HANDLING OF GOOD TILL TRIGGERED (GTT) ORDERS OF CLIENT:

Good till Triggered ('GTT') is the trigger-based order placement feature which allows a client to place buy or sell orders in stocks/ Contracts of his choice at their specified price. These orders will remain active until the trigger condition is met or the GTT request is cancelled/ expired. The maximum validity date for which the GTT trigger will be valid is 365 days, after which it will get expired. The client can set a trigger price and a limit price for a GTT request. When the last traded price (LTP) breaches the specified trigger price, limit order will be placed with the exchange at the specified quantity and limit price. The GTT request placed will be in GTT Order Book and limit order will be sent to exchange only when the trigger condition is met. A client can place Stop loss and Target order simultaneously against a stock. When either side of the order is triggered, the other side is automatically cancelled by the system.

The limit of 'maximum number of GTT orders at any point of time', can be revised by Ashika at its sole discretion after duly communicating to the clients.

1. GTT order will be automatically cancelled after 365 days from placing such order in case it is not triggered as per the Trigger Conditions.

2. In case there is change in exchange security series, market lot or any corporate action, such as; splits, bonuses, dividends of extraordinary nature (above 5% of market price), merger, reverse mergers, amalgamations, takeover, delisting, rights issue, etc. where there is significant impact/change in the stock price, the GTT order will be cancelled.

3. Ashika may also at its sole discretion decide to withdraw any particular stocks/ contracts for GTT facility without assigning any reasons whatsoever leading to cancellation of pending GTT orders.

MOST IMPORTANT TERMS AND CONDITIONS (MITC)

(For non-custodial settled trading accounts)

Name	

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

Client Signature : _____

Tariff Sheet (For Trading in Equity & Commodity Derivatives)

A. BROKERAGE*	NSE		BSE		MSEI	
1. **Capital Market Segment**	%	Min. Paisa	%	Min. Paisa	%	Min. Paisa
Square up Brokerage						
(chargeable for each leg of transaction) Delivery Brokerage						

LIST OF CHARGES ON ACTUAL BASIS

B. STATUTORY CHARGES **1.** GST on Brokerage, **2.** GST on Turnover Charges, **3.** Stamp Duty, **4.** SEBI Turnover Charges, **5.** Investor Protection Fund, **6.** Securities Transaction Charges (STT) / Commodity Transaction Charge (CTT) **7.** Investor Protection Fund (CDX only)

C. Additional charges : Rs 100/- per PAN per KYC will be applicable as Processing Fees
Rs 50 (+ GST) towards participation in Buy-back / IPO / De-listing / Takeover and other anciliary charges

Date :_____ Signature of Client _____

Futures & Options in commodities will be on the Underlying Commodity or Index

* Brokerage as levied shall not exceed the maximum as prescribed in SEBI Guidelines.

ACKNOWLEDGEMENT TO ASHIKA STOCK SERVICES LTD. FROM CLIENT

To
ASHIKA STOCK SERVICES LTD.
Trinity, 226/1, AJC Bose Road, 7th Floor, Kolkata-700 020

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

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

Sl. No.	Brief Description of the Document	
1.	Right and Obligations of Stock Brokers, Authorised Person and Clients (Equity & Commodities Derivatives)	Client Copy
2.	Rights and Obligations of Beneficiary Owner and Depository Participant as prescribed by SEBI &Depository	
3.	Internet and Wireless technology based trading facility provided by Stock Brokers to Client. (Equity & Commodities Derivatives)	
4	Risk and Disclosure document. (Equity & Commodities Derivatives includes option trading in commodities).	
5	Guidance note - Do's and Don't for trading on the Exchange(s) for Investors. (Equity & Commodities Derivatives)	
6	Executed Copy of KYC	

For _____ Client Code : _____
(should be signed with Rubber Stamp, if applicable)

Signature of Sole / 1st Holder	Signature of 2nd Holder	Signature of 3rd Holder

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

Charges for Depository Services (Schedule 'A')

Schedule of charges forms an integral part of the DP - Client Agreement

FOR DEMAT ACCOUNT

Sr. #	Depositories	CDSL & NSDL		
I	Equity / Mutual Fund Segment	BSDA Charges		☐ Scheme A
		For holding value <=4L	For holding value>4L & <10L	
1	Account Opening / Closing	NIL		
2	Annual Maintenance	NIL	₹ 100/- P.A.	₹ 200/- P.A.
3	Debit from Account (Payin with Ashika)	₹ 25/-	₹ 25/-	₹ 25/-
4	Off Market / Inter Depository Charges	₹ 25/-	₹ 25/-	₹ 30/-
5	Dematerialisation	₹ 100/- per certificate + ₹ 50/- as courier charges		
6	Dematerialisation Rejection	₹ 50/- per rejection		
7	Rematerialisation	₹ 100/- per certificate or a fee of ₹ 15/- for every 100 securities or part thereof whichever is higher + ₹ 50/- Courier charges		
8	Rematerialisation Rejection	₹ 50/- per rejection		
9	Pledge Charges per Transaction	Pledge	Un-pledge/Pledge Closure Confirmation	Invocation
	Normal Pledge	0.02% of the Value (Min. ₹ 50/- per Transaction)		
	NDU Pledge	0.02% of the Value (Min. ₹ 50/- per Transaction)	NIL	NIL
	Margin Pledge	₹ 15	₹ 15	₹ 15
	CUSPA Pledge	₹ 29	NIL	₹ 29
	MTF Margin Pledge	₹ 20	₹ 20	₹ 20
10	Freeze / De-freeze	₹ 50/-		
11	KYC/Demat details Modification	₹ 100/- Each Request		
12	CMR (Client Master Report)	• ₹ 100 + ₹ 50 as Courier charges • ₹ 100 + ₹ 500 as Courier charges (for NRI clients)		
13	Restat & Destat: SOA / Redemption Charges	₹ 100 per ISIN		
14	Holding or Transaction Statement Charges for other than BSDA Accounts	₹ 100/- Each Physical Request		
15	Holding or Transaction Statement Charges for BSDA Accounts	₹ 25/- per statement		
16	DIS Book Charges (5 Slips)	₹ 50/- per Book. First Book Free		

NOTES

1. All the new Individual Demat Accounts, will be mandatorily opened under BSDA Scheme subject to Depository approval, otherwise default Scheme will be as "Scheme A".
2. To opt out the BSDA Scheme or to change the DP Scheme please send an email consent from your registered email only at dpservices@ashikagroup.com.
3. Cheque/Demand Draft should be in favor of "Ashika Stock Services Limited"
4. Ashika Stock Services Limited reserves the right to change the above tariff meant exclusively for DP by providing 30 days written notice and this will be binding on all.
5. Clients must ensure that their name, Client/BO ID and Bill number is written behind every cheque/Demand Draft deposited by them.
6. Tax as applicable would be levied on the above charges.
7. In case of any debit balance in Client's name existing with the Company, DP is authorised to refuse to accept any type of instruction relating to transfer of shares/securities from client's account, till the clearance of such dues.
8. 50/- + bank charges will be levied for any cheque dishonor, per instance.
9. AMC Charges will be applicable on quarterly basis.
10. Extra account maintenance charges for Corporate Account ₹ 500/- p.a. with scheme applied.
11. The Client agrees to pay the charges as set out herein above subject to any change therein from time to time and specifically authorises DP to debit all type of dues/charges as set out herein above to client's Trading Account Codehaving with Ashika in NSE and/or BSE Segment.
12. Consolidated Account Statement Charges as levied by respective Depository will be levied as and when applicable.
13. In case of late payment of DP Bill, Client shall be liable to pay interest @ 13% per annum.
14. Settlement Fee charged by NSDL Rs. 4/- per ISIN.
15. I/We authorise Ashika Stock Services Limited as a DP to convert my/our Demat account to BSDA scheme as and when the same becomes applicable as per SEBI/Regulatory Guidelines. Yes ☐ No ☐

Signature of Sole / 1st Holder	Signature of 2nd Holder	Signature of 3rd Holder

Declaration for Basic Services Demat Account (BSDA)

To,
Ashika Stock Services Limited
DP ID :

Date:

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

	Name	PAN									
Sole/First Holder											
Second Holder											
Third Holder											

I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA.

I/We are aware that if I/we are eligible to open a depository account as a BSDA, the account shall be opened as a BSDA.

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

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

Signature of Sole / 1st Holder	Signature of 2nd Holder	Signature of 3rd Holder

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BSDA Opt-Out Consent:

I/We hereby voluntarily provide our explicit consent to Opt-Out of the Basic Services Demat Account (BSDA) facility. I/We confirm that we have duly understood the features, eligibility criteria, and benefits associated with BSDA and have chosen to discontinue / not avail the facility of our own accord

I/We reserve the right to revoke the BSDA Opt-Out consent at any time by submitting a written request through a physical letter, by sending an intimation via the registered email address, or through such online mode as may be prescribed and made available, in accordance with applicable regulatory requirements.

Signature of Sole / 1st Holder	Signature of 2nd Holder	Signature of 3rd Holder
Date :	Date :	Date :

OPTION FORM FOR ISSUE OF DIS BOOKLET

To,
Ashika Stock Services Limited
'TRINITY', 226/1, A.J.C. Bose Road, 7th Floor, Kolkata - 700020

Dear Sir / Madam,

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

☐ **OPTION 1:**

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

OR

☐ **OPTION 2:**

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

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

FOR DEMAT ACCOUNT

For CDSL	**SMS Alert Facility** (Refer to Terms & Conditions given as Annexure 2.4)	**Mobile No.** +91 _____ [(Mandatory, if you are giving Power of Attorney / POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option.)	
	Transactions Using Secured Texting Facility **(TRUST)**. Refer to Terms and Conditions **Annexure - 2.6**	I wish to avail the TRUST facility using Mobile number registered for SMS Alert Facility. I have read and understand the Terms and Conditions prescribed by CDSL for the same. ☐ **Yes** ☐ **No** I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST	
	Easi	To register for easi, please visit our website www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	
For NSDL	**SPEED-e**	For SPEED-e registration, please visit at https://eservices.nsdl.com.	

Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optoional)

	First / Sole Holder	Second Holder (if any)	Third Holder (if any)
Country of birth in any country other than India	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
Residence for Tax purposes in jurisdictin(s) outside India	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
Citizenship of any country other than India	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
Address or Telephone number outside India	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
Note: If your answer to any of the above questions is 'YES', please fill the declaration of FATCA / CRS given below.			

I) If your answer to any of the above question is 'YES' OR In case of NRI Account, Please fill FATCA / CRS DECLARATOIN given below.

II) If your answer to all the above question is 'NO', then strike off the FATCA / CRS DECLARATION.

III) In any of the above scenario, customer is required to affix their signature at the end of the FATCA / CRS DECLARATION.

Subject to applicable laws, I/We hereby give consent to share my information with domestic / overseas regulators or tax authorities wherever necessary. I/We hereby declare and confirm that the details given above are true and correct. Further I/We would like to state that in future if there is any change in my/our tax status (i.e. if I/We become tax resident of any other country other than India) then the same will be informed to ASSL and FATCA / CRS Declaration will be submitted to you immediately.

FATCA / CRS Declaration

Please fill the information below as requested	First Account Holder	Second Account Holder	Third Account Holder
Name of the Account Holder			
Customer ID			
City of Birth			
Country of Birth			
Address for Tax purpose	☐ Same as mailing address ☐ Same as permanent address	☐ Same as mailing address ☐ Same as permanent address	☐ Same as mailing address ☐ Same as permanent address
Address Type for the above	☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office	☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office	☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office
Nationality			
Father's Name (mandatory if PAN not provided)			
Spouse's Name			
Identification Type-Documents submitted as proof of identity of the individual	☐ Passport ☐ PAN ☐ Election/Voter's ID card ☐ Driving License ☐ Aadhaar card/ letter ☐ NREGA Card Govt ID Card ☐ Others (pls specify)_____	☐ Passport ☐ PAN ☐ Election/Voter's ID card ☐ Driving License ☐ Aadhaar card/ letter ☐ NREGA Card Govt ID Card ☐ Others (pls specify)_____	☐ Passport ☐ PAN ☐ Election/Voter's ID card ☐ Driving License ☐ Aadhaar card/ letter ☐ NREGA Card Govt ID Card ☐ Others (pls specify)_____
Identification Number- for the identification type mentioned above			

Are you a tax resident of any country other than India?

- First account holder : ☐ Yes ☐ No
- Second account holder : ☐ Yes ☐ No
- Third account holder : ☐ Yes ☐ No

If yes, please list below the details confirming ALL countries of Tax Residency / Permanent Residency / Citizenship & ALL Tax Identification Numbers.

Account Holder details	Name of Customer	Country/(ies) of Tax residency #	Tax Identification Number (TIN)%	Identification Type (TIN or other %, please specify)	Address for Tax Residence	Address type (Residential or Business, Residential, Business, Registered Office)
First Holder						
Second Holder						
Third Holder						

To also include USA, where the individual is a citizen/ green card holder of USA
% In case Tax Identification Number is not available, Kindly provide functional equivalent$
Certification: I/We have understood the information requirements of this Form as per the CBDT notified Rules 114F to 114H and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the Terms and Conditions below and Hereby accept the same. I/We understand that my personal details as provided / available in the bank records will be used for CBDT reporting.

	1st Holder	2nd Holder	3rd Holder
Signature			

CBDT Terms and Conditions : The Central Board of Direct Taxes(CBDT) has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.
CBDT Instructions : If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number.
It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form. In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA/ CRS Indicia observed (ticked)		Documentation required for Cure of FATCA/ CRS indicia
		If customer does not agree to be specified U.S. person/ reportable person status
1	U.S. place of birth	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purpose; 2. Non-US passport or any non-US government issued document evidence nationality or citizenship(refer list below); AND 3. Any one of the following documents: a. Certified Copy of " Certificate of Loss of Nationality or b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
2	Residence/mailing address in a country other than India	1. Self-certification(in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purpose; and 2. Documentary evidence (refer list below)
3	Telephone number in a country other than India (and no telephone number in India provided)	1. Self-certification(in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purpose; and 2. Documentary evidence (refer list below)
4	Telephone number in a country other than India	If no Indian telephone number is provided 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and 2. Documentary evidence (refer list below)

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body*
2. Valid identification issued by an authorized government body* (e.g. Passport, National identity card, etc.)

*Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.

DECLARATION FOR COMMON MOBILE AND EMAIL ID

NON-MANDATORY

Date :_____

To,
Ashika Stock Services Ltd.
Kolkata

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

Dear Sir,

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

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

All these below clients also do not have any objection to the same.

Sr.No.	Client Name	PAN No.	Trading Code	Demat A/c.	Relation
1.					
2.					
3.					
4.					

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

Thanking You.

Declarant's Name: _____

Declarant's Signature: _____

Client Name : _____

Client Signature : _____

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

DEPOSIT OF SECURITIES/FUNDS TOWARDS MARGIN

To
Ashika Stock Services Limited
Trinity, 226/1, A. J. C. Bose Road, 7th Floor, Kolkata- 700020 Date :

Dear Sir,

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

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

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

Your Sincerely,

Client Signature _____

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

To,
M/s. Ashika Stock Services Limited
"Trinity", 7th Floor, 226/1, A. J. C. Bose Road
Kolkata – 700020

Dear Sir,

I/We _____, a client with Member, M/s. Ashika Stock Services Limited, member of respective Exchanges undertake as follows:

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

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

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

Client Name : _____

Unique Client Code : _____ PAN : _____

Address : _____

_____

Signature _____ Date : _____ Place : _____

Verification of the client signature done by : ✓_____

Name & Designation of the designated officer of the Member : _____

Signature : ✓_____ Date: _____

Terms and Conditions :

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

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

DECLARATION / AUTHORISATION

NON-MANDATORY

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

I / We hereby declare the following:

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

Client Signature _____

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

Client Signature _____

AUTHORITY LETTER FOR RUNNING ACCOUNT

NON-MANDATORY

To
Ashika Stock Services Ltd. (ASSL)
Trinity, 226/1, A.J.C. Bose Road,
7th Floor, Kolkata-700 020

Date :

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain funds receivable by me/us until specifically requested by me/us to be settled.

2. I/We understand and agree that no interest will be payable to me/us on the amounts so retained with you.

3. I/We authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund which form part of margin.

4. I/We may revoke the authorization at any time by issuing a physical letter for the effect.

5. I/We also agree that the actual settlement of fund shall be done, at least once in a

   Tick your preference (Default is Quarterly Settlement)

90 days ☐	30 days ☐

6. There shall be no inter-client adjustment for the purpose of settlement of the 'running account'.

7. You may retain the requisite funds towards settlements as per the applicable norms as prescribed by SEBI as and when updated.

8. I / We shall bring any dispute on the "Statement of Running Account" to your notice within 30 working days from the date of receipt of the same.

Client Signature _____

DO's and DON'Ts

Do's and Don'ts which are relevant for operation of Trading / Demat account with Ashika Stock Services Ltd.:

DO's

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

DON'TS

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

Client Signature _____

QUESTIONNAIRE TOWARDS RISK PROFILING OF CLIENTS

IDENTIFYING YOUR INVESTMENT RISK (From Investment Trading Perspective)

1 Familiarity with the Investment *(Tick the applicable)*

☐ Not familiar at all ☐ Somewhat familiar ☐ Fairly familiar ☐ Very familiar

2 Investment Longevity *(Tick the applicable)*

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

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

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

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

☐ Highly Experienced ☐ Very Experienced ☐ No Experienced

5 Legal Actions *(Tick the applicable)*

☐ Yes Rs. _____ (Amount involved) ☐ No

6 Quantum of bearable loss *(Tick the applicable)*

☐ Minimal amount of Capital loss ☐ Moderate Capital Loss ☐ High Capital Loss

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

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

ADDITIONAL INFORMATION

1 Details of the family member / group Companies being the promoter of the listed Company *(Tick the applicable)*

☐ Yes Name of the listed Company _____ ☐ No

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

☐ Yes Mention details _____ ☐ No

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

☐ Yes Client Code _____ Name _____ ☐ No

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

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

5 Residential Status *(Tick the applicable)*

☐ NRI ☐ Indian Resident

6 Purpose of Investment *(Tick the applicable)*

☐ Wealth Creation ☐ Retirement Corpus ☐ Succession Plan Corpus

7 Customer Occupation *(Tick the applicable)*

☐ Business ☐ Service ☐ Professional

8 Risk Appetite *(Tick the applicable)*

☐ Low ☐ Medium ☐ High ☐ Very High

9 Preferable Asset Class *(Tick the applicable)*

☐ Equity ☐ Debt ☐ Hybrid ☐ Real Estate ☐ Rent yielding property ☐ Alternative Investment Funds

Additional Comments (to be filled by Client)

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

_____

_____

_____
Client Signature

SOCIAL MEDIA INFORMATION OF THE CLIENT

Facebook ID																	
Twitter ID																	
Linkedin ID																	

- **The Background**

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

- **The Objective**

  (a) Money laundering has now become one of the major concerns of international financial community. Money Laundering is not just an attempt to disguise money derived from illegal activities. Rather, money laundering is involvement in any transaction or series of transactions that seek to conceal or disguise the nature or source of proceeds derived from illegal activities, including drug trafficking, terrorism, organized crime, fraud and many other crimes.

  (b) Know Your Customer (KYC) is the guiding principle behind the Anti-Money Laundering (AML) measures. It incorporates the " Know Your Customer " Standards & " Anti Money Laundering " Measures, hereinafter to be referred as " KYC Standards " and " AML Measures ". The objective of is to " have in place adequate policies, practices and procedures that promote high ethical and professional standards and prevent Ashika Stock Services Limited from being used, intentionally or unintentionally, by criminal elements

  (c) KYC Standards and AML Measures would enable Ashika Stock Services Limited to know/ understand its customers, the beneficial owners in case of non-individual entities, the principals behind customers who are acting as agents and their financial dealings better which in turn will help the Company to manage its risks prudently.

- **Mandate issued by SEBI**

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

  (a) No account should be opened in anonymous or fictitious/benami name(s) i.e. to say that anonymous or fictitious/benami customers shall not be accepted.

  (b) No account should be opened or transactions conducted in the name of or on behalf of banned/suspended individuals, organisations, entities, etc. For the purpose, necessary cross checks must be made to ensure that the identity of a customer does not match with any person with known criminal background or with banned/ suspended entities. In case of requirement , clarification would be sought from the prospective / registered client.

  (c) No account should be opened if appropriate due diligence measures cannot be applied to a customer for want of verifiable documents on account of non co-operation of the customer or non-reliability of the data/information furnished to ASSL.

- **Customer Identification procedure**

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

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

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

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

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

CKYC DOWNLOAD CONSENT FORM

NON-MANDATORY

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

Dear Sir/Madam

I, _____

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

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

Signature of Sole / First Holder / Signatory : _____

Dear Sir/Madam

I, _____

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

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

Signature of Second Holder / Signatory : _____

Dear Sir/Madam

I, _____

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

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

Signature of Third Holder / Signatory : _____

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph. #
3. Identity card issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. PROOF OF ADDRESS (POA): - *List of documents admissible as Proof of Address:*

*(*Documents having an expiry date should be valid on the date of submission.)*

1. Passport/Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy/ Unique Identification Number (UID) (Aadhaar).
2. Utility bills like Telephone Bill (only land line) / Postpaid Mobile Bill for CKYC, , Electricity bill or Gas bill - Not more than 3 months old/2 months old for CKYC.
3. Bank Account Statement/Passbook — Not more than 3 months old.#
4. Self-declaration by High Court and Supreme Court Judges, giving a 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 apositled 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/CLARIFICATION 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, FVCs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under Section 4A of the Companies Act, 1956. Custodians shall verify the PAN card details with the original PAN Card and provide duly certified copies of such verified PAN details to the intermediary.

E. LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:

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

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

CORPORATE

- Copy of the balance sheets for the last 2 financial years or for the relevant applicable period (to be submitted every year).
- Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).
- Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.
- Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.
- Copies of the Memorandum and Articles of Association and certificate of incorporation.
- Copy of the Board Resolution for investment in securities market.
- Authorised signatories list with specimen signatures

PARTNERSHIP FIRM

- Copy of the balance sheets for the last 2 financial years or as applicable (to be submitted every year).
- Certificate of registration (for registered partnership firms only).
- Copy of partnership deed.
- Authorised signatories list with specimen signatures.
- Photograph, POI, POA, PAN of Partners.

TRUST

- Copy of the balance sheets for the last 2 financial years or as applicable (to be submitted every year).
- Certificate of registration (for registered trust only).
- Copy of Trust deed.
- List of trustees certified by managing trustees/CA.
- Photograph, POI, POA, PAN of Trustees.

HUF

- PAN of HUF.
- Deed of declaration of HUF/ List of coparceners.
- Bank pass-book/bank statement in the name of HUF.
- Photograph, POI, POA, PAN of Karta.

UNINCORPORATED ASSOCIATION OR A BODY OF INDIVIDUAL

- Proof of Existence / Constitution document
- Resolution of the managing body & Power of Attorney granted to transact business on its behalf.
- Authorised signatories list with specimen signatures.

BANK / INSTITUTIONAL INVESTORS

- Copy of the constitution / registration or annual report / balance sheet for last 2 Financial years
- Authorised signatories list specimen signatures

FOREIGN INSTITUTIONAL INVESTORS (FII)

- Copy of SEBI registration certificate
- Authorised signatories list with specimen signatures

ARMY/GOVERNMENT BODIES

- Self-certification on letterhead.
- Authorized signatories list with specimen signatures.

REGISTERED SOCIETY

- Copy of Registration Certificate under Societies Registration Act.
- List of Managing Committee members.
- Committee resolution for persons authorised to act as authorised signatories with specimen signatures.
- True copy of Society Rules and Bye Laws certified by the Chairman / Secretary.

Not applicable for CKYC

Ashika Stock Services Ltd.

ashika
Growing and Sharing with you

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Tel.: 022 6372 0000
1008 Raheja Centre, 10th Floor, 214, Nariman Point, Mumbai 400021
Tel: 022 66111700, Fax: 022 66111710

www.ashikagroup.com

For any query, call our Customer Service Desk at our Toll Free No. 1800 212 2525 or 033 4010 2525

For any correspondence, please contact your respective AP or the sales representative. You can also contact our customer service desk at **Toll Free No. 1800 212 2525** or **033 4010 2525** or write to **kyc@ashikagroup.com**