

KNA SHARE BROKERS PVT. LTD.

Members : National Stock Exchange of India Limited / BSE Limited

Depository Participants : Central Depository Services (India) Ltd.



DP ACCOUNT OPENING FORM & CLIENT REGISTRATION FORM

CLIENT ID

CLIENT NAME

BRANCH NAME & CODE





KNA SHARE BROKERS PVT LTD

CIN : U67120WB2004PTC098245

Account Opening KIT - Trading and Demat

Registered Office	405 Todi Chambers 2 Lal Bazar Street Kolkata 700001 Ph – 033 22301216 / 1136 Email – info@knasharebroker.com Website – www.knasharebroker.com
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Members	National Stock Exchange of India Ltd. (NSE) Bombay Stock Exchange Ltd. (BSE)
Depository Participant	Central Depository Services India Ltd. (CDSL)

Membership Details

Exchange	Segment	TM Code
NSE	CM / F&O / CDS / SLBS / MFSS / IPO / Commodity	14193
BSE	CM / F&O / CDS / MFSS / Commodity	6327
Depository	Registration No.	
CDSL	12071200 (SEBI No - IN-DP-228-2016)	

SEBI Registration No.	INZ000198538 – 10/09/2018
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CEO & Compliance Officer	Mr. NAVIN AGARWAL Tel.: (033) 2230 1216 E-mail ID: navin@knasharebroker.com
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Clearing Member Details

Globe Capital Markets Ltd , 609 Ansal Bhawan 16, K G Marg Connaught Place New Delhi 110001 Ph: 011-30412400 (SEBI Registration No – INZ000177137) • Clearing Member Segments – NSE CDS, Commodity / BSE F&O, CDS, Commodity

For any grievance/dispute please contact KNA Share Brokers Pvt Ltd (KSBP) at the above address or mail at: complaint@knasharebroker.com.

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 , Phone : 022-26598190 • Email : ignse@nse.co.in
	Bombay Stock Exchange Limited , Phone : 022-22728097 • Email : is@bseindia.com
	Central Depository Services India Limited , Toll Free no. : 1800-200-5533 • Email : complaints@cdslindia.com

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

FOR OFFICE USE ONLY	Client Name / Sole Holder			
	Second Holder (for DP Account)			
	Third Holder (for DP Account)			
	Client Trading Code / DP Code			
	Data entered by (Name)		Date	
	Data checked by (Name)		Date	
	UCC uploaded by (Name)		Date	
	Segment allowed	<input type="checkbox"/> NSE-CM <input type="checkbox"/> NSE-F&O <input type="checkbox"/> NSE-CDS <input type="checkbox"/> NSE-SLBS <input type="checkbox"/> NSE-MFSS <input type="checkbox"/> NSE-Commodity <input type="checkbox"/> BSE-CM <input type="checkbox"/> BSE-F&O <input type="checkbox"/> BSE-CDS <input type="checkbox"/> BSE-MFSS <input type="checkbox"/> BSE-Commodity		

We, KNA Share Brokers Pvt Ltd are also engaged in Proprietary trading apart from Client based business.

ACCOUNT OPENING KIT - INDEX

This KIT is valid for opening Trading Account and Demat Account with KNA Share Brokers Pvt Ltd.
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.

MANDATORY DOCUMENTS

Sl.	Name of the Document	Brief Significance of the Document	Pg No.
1	Document Checklist	It contains detailed Checklist for Documents required	3-4
2	Instruction / Checklist	This section gives an illustrative list of instructions / Check list for filling KYC Form	4
3	CKYC-Form	Central Know Your Customer or c KYC is a centralized depository of KYC records of customers engaged in various financial market segments.	5-6
4	Know Your Client Form (Individual)	KYC Form captures the basic information about the Client (Trading & Demat)	7-9
5	Know Your Client Form (Non-Individual)	KYC Form captures the basic information about the Client (Trading & Demat)	10-11
6	Additional KYC Form	Additional KYC related details for Trading & Demat Account (Both Individual & Non Individual)	12-17
7	Policies & Procedures	Document describing significant policies and procedures of member with respect to dealing with clients	18-19
8	Tariff Sheet (Trading & Demat)	Document detailing the rate / amount of brokerage & other charges	20-21
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 Equity market.	
11	Do's and Don'ts for the investors	Document detailing do's and don'ts for trading on Equity exchange, 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	

Voluntary Documents as provided by KNA Share Brokers Pvt Ltd

13	Issue of DIS Booklet	Option Form for Issue of DIS Booklet	22
14	FATCA / CRS-Individual	Declaration pertaining to foreign tax liability	23-24
15	FATCA / CRS-Non-Individual	Declaration pertaining to foreign tax liability	25-27
16	UBO / Controlling Persons Declaration	Declaration Form of Ultimate Beneficial Ownership [UBO] / Controlling Persons. (Non Individual only)	28
17	ECN Mandate (Electronic Format)	It contains authority given to the member towards providing various statements in electronic format	29
18	Declaration / Authorisation	Declaration for smooth operation & adherence of compliance	30
19	Deposit Of Securities/ funds Towards Margin	Declaration pursuant to margin deposit in terms of funds/securities	31
20	Authority Letter for Running Account	It contains the authorisation by the client to the member to maintain running account of funds/securities	32
21	Consent Letter For Email And Mobile Alert Facilities	It contains the authorisation by client to communicate through Email and Mobile	33
22	Terms And Conditions for SMS Alerts from CDSL	It contains the total documentation for receiving alert from CDSL	34-36
23	DOs & DON'Ts	It contains the Do's and Don'ts which are relevant for operation of Trading / Demat account	37
24	Questionnaire	It contains the Common Questions towards Risk Profiling of Clients	38
25	Internet Trading Declaration	It contains authorisation by the client to be provided trading facility in internet	39
26	Trading on Online and Offline Mode	It contains relevant authorisation by the client to trade in both online and offline mode	39

Suggestive Formats

26	Partnership Declaration	Declaration formats for Trading & Demat Account	40
27	Managing Partner Authority letter	In case of Partnership / LLP Firm the format of letter in favour of Managing Partner	41
28	Board Resolution	Format of Board Resolution as applicable to LLP / Corporate / Trust	42
29	HUF Declaration	Declaration formats for Trading & Demat Account	43

**INDIVIDUALS**

1. Photograph- 2 copies
2. Aadhar
3. Proof of Permanent Address
4. Correspondence Address
5. Bank Proof with MICR Code (if name is not printed in cancelled cheque, please provide Bank Statements)
6. Demat Proof (required if opening only a trading account)
7. Income Proof (for trading in derivatives segments)
8. Cheque for DP AMC (as per the scheme opted)
9. FATCA declaration
10. ECN (as per client)
11. Running Account Mandate (as per client)

NRI

1. Photograph- 2 copies
2. PAN
3. Aadhar (if available)
4. Proof of Foreign Address
5. Proof of Local Address
6. Additional Documents
 - a. Passport with visa copy/PIO Card/OCI Card
 - b. PIS Declaration Copy
 - c. In case of Merchant Navy NRIs, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate)
7. Bank Proof with MICR Code (if name is not printed in cancelled cheque, please provide Bank Statements)
8. Demat Proof (required if opening only a trading account)
9. Income Proof (for trading in derivatives segments)
10. Cheque for DP AMC (as per the scheme opted)
11. FATCA Declaration
12. ECN (as per client)

HUF

1. Photograph of Karta- 2 copies
2. PAN
3. Proof of Address
 - a. HUF
 - b. Karta
4. Aadhar of Karta
5. Deed of Declaration of HUF/List of coparceners
6. Bank Proof with MICR Code of the HUF (if name is not printed in cancelled cheque, please provide Bank Statements)
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. Cheque for DP AMC (as per the scheme opted)
10. FATCA Declaration
11. UBO Declaration
12. ECN as per client
13. Running Account Mandate (as per client)

CORPORATE

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

3. PAN

- a. of Company
- b. Whole time directors/two directors in charge of day to day operations
- c. Individual promoters holding control – either directly or indirectly
4. Aadhar of person holding attorney to transact on company's behalf
5. DIN Number
 - a. Whole time directors/two directors in charge of day to day operations
6. Bank Proof with MICR Code (if name is not printed in cancelled cheque, please provide Bank Statements)
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. Balance Sheet and Profit & Loss account with net-worth information for last two years or for applicable period.
10. Share Holding Pattern (as of last quarter or more recent)
11. Memorandum and Articles of Association and certificate of incorporation
12. Board Resolution
13. Form 18 with Challan
14. Form 32 with Challan
15. List of Directors
16. Authorized signatories List
17. UBO Declaration
18. Cheque for DP AMC (as per the scheme opted)
19. FATCA declaration
20. ECN (as per client)
21. Running Account Mandate (as per client)

PARTNERSHIP FIRM

1. Photograph of all the Partners- 2 copies
2. PAN -
 - a. Partnership Firm
 - b. All the Partners
3. Proof of Address -
 - a. Partnership Firm
 - b. All the Partners
4. Aadhaar of person holding attorney to transact on Firm's behalf
5. Balance Sheet and Profit & Loss account for last two years or for applicable period.
6. Copy of Partnership Deed
7. Certificate of Registration (for registered Partnership Firms only)
8. Authorized Signatories list with specimen signatures
9. Bank Proof with MICR Code (if name is not printed in cancelled cheque, please provide Bank Statements)
10. Demat Proof (required if opening only a trading account)
11. Income Proof (for trading in derivatives segments)
12. UBO Declaration
13. Cheque for DP AMC (as per the scheme opted)
14. FATCA Declaration
15. ECN (as per client)
16. Running Account Mandate (as per client)

LIMITED LIABILITY PARTNERSHIP (LLP)

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



4. Aadhaar of person holding attorney to transact on firm's behalf
5. Balance Sheet and Profit & Loss account for last two years or for applicable period
6. Net-worth certificate (certified by a CA)
7. Copy of Partnership Deed
8. Certificate of Registration
9. Authorized Signatories list with specimen signatures (as per our format)
10. Bank Proof with MICR Code (if name is not printed in cancelled cheque, please provide Bank Statements)
11. Demat Proof (required if opening only a trading account)
12. Income Proof (for trading in derivatives segments)
13. UBO Declaration
14. Cheque for DP AMC (as per the scheme opted)
15. FATCA Declaration
15. ECN (as per client)
16. Running Account Mandate (as per client)

TRUST

1. Photograph of all the signatories- 2 copies
2. PAN -
 - a. Trust
 - b. All the signatories
3. Proof of Address
 - a. Trust
 - b. All the signatories
4. Aadhaar of person holding attorney to transact on Trust's behalf

4. Balance Sheet and Profit & Loss account for last two years or for applicable period.
5. Copy of Trust Deed
6. Certificate of Registration (for registered trusts only)
7. List of Trustees certified by Managing Trustees/CA
8. Bank Proof with MICR Code (if name is not printed in cancelled cheque, please provide Bank Statements)
9. Demat Proof (required if opening only a trading account)
10. Income Proof (for trading in derivatives segments)
11. UBO Declaration
12. Cheque for DP AMC (as per the scheme opted)
13. FATCA declaration
14. ECN (as per client)
15. Running Account Mandate (as per client)

FOREIGN INSTITUTIONAL INVESTORS (FIIS)

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

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), 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 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 apostilled 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, Foreign 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.

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

Important Instructions:

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



For office use only Application Type* New Update
 (To be filled by financial institution) KYC Number (Mandatory for KYC update request)
 Account Type* Normal Simplified (for low risk customers) Small

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

Prefix First Name Middle Name Last Name

Name* (Same as ID proof) Maiden Name (If any*)
 Father / Spouse Name* Mother Name*
 Date of Birth* DD - MM - YY YY
 Gender* M- Male F- Female T-Transgender
 Marital Status* Married Unmarried Others
 Citizenship* IN- Indian Others (ISO 3166 Country Code)
 Residential Status* Resident Individual Non Resident Indian
 Foreign National Person of Indian Origin
 Occupation Type* S-Service (Private Sector Public Sector Government Sector)
 O-Others (Professional Self Employed Retired Housewife Student)
 B-Business X- Not Categorised

PHOTO

Signature / Thumb Impression

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

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

3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

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

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

4. PROOF OF ADDRESS (PoA)*

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

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

Address Type* Residential / Business Residential Business Registered Office Unspecified
 Proof of Address* Passport Driving Licence UID (Aadhaar)
 Voter Identity Card NREGA Job Card Others please specify
 Simplified Measures Account - Document Type code

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

KYC - APPLICATION FORM FOR TRADING AND DEMAT A/C - INDIVIDUAL

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

A. IDENTITY DETAILS

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

Affix recent passport size Photograph and Sign across it




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 and the same will render my account liable for termination and suitable action.

Place  Signature of 1st / Sole 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/ AP			
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

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

Sign/Seal/Stamp of the intermediary



KYC - APPLICATION FORM FOR DEMAT A/C - INDIVIDUAL (For Joint A/c)

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

A. IDENTITY DETAILS

Affix recent passport size Photograph and Sign across it

1	Name of the Second Applicant												
2	Name of Father/Spouse												
3	a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	b. Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married	c. Date of Birth	D	D	M	M	Y	Y	Y	Y
4	a. Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other	Pls specify (if other)		b. Status	<input type="checkbox"/> Resident Individual		<input type="checkbox"/> Non Resident					
						<input type="checkbox"/> Foreign National							
5	a. PAN, copy attached	<input type="checkbox"/>											
					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 <i>(if different from above. Mandatory for Non-Resident Applicant to specify overseas address)</i>													
		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 and the same will render my account liable for termination and suitable action.

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/ AP			
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
<input type="checkbox"/> (Original verified) Self Certified Documents copies received <input type="checkbox"/> (Self Attested) True copies of documents received			
Sign/Seal/Stamp of the intermediary			



KYC - APPLICATION FORM FOR DEMAT A/C - INDIVIDUAL (For Joint A/c)

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

A. IDENTITY DETAILS

Affix recent passport size Photograph and Sign across it

1	Name of the Third Applicant												
2	Name of Father/Spouse												
3	a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	b. Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married	c. Date of Birth	D	D	M	M	Y	Y	Y	Y
4	a. Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other	Pls specify (if other)		b. Status	<input type="checkbox"/> Resident Individual		<input type="checkbox"/> Non Resident					
						<input type="checkbox"/> Foreign National							
5	a. PAN, copy attached	<input type="checkbox"/>											
					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 <i>(if different from above. Mandatory for Non-Resident Applicant to specify overseas address)</i>													
		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 and the same will render my account liable for termination and suitable action.

Place							Signature of 3rd 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/ AP																								
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
<input type="checkbox"/> (Original verified) Self Certified Documents copies received		<input type="checkbox"/> (Self Attested) True copies of documents received																						
Sign/Seal/Stamp of the intermediary																								

KYC - APPLICATION FORM FOR TRADING AND DEMAT A/C - NON-INDIVIDUAL

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

A. IDENTITY DETAILS

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

B. ADDRESS DETAILS

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

C. DECLARATION

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

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

FOR OFFICE USE ONLY

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



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

Name of Applicant	PAN								
-------------------	-----	--	--	--	--	--	--	--	--

S.N.	Particulars	Photograph	Signature with Stamp	
1	Name	Affix recent passport size Photograph and Sign across it		
	Residential Address			
	Designation			
	PAN			Dt. of Birth
	DIN/UID			Contact No.
	Aadhar No.			PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No
2	Name	Affix recent passport size Photograph and Sign across it		
	Residential Address			
	Designation			
	PAN			Dt. of Birth
	DIN/UID			Contact No.
	Aadhar No.			PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No
3	Name	Affix recent passport size Photograph and Sign across it		
	Residential Address			
	Designation			
	PAN			Dt. of Birth
	DIN/UID			Contact No.
	Aadhar No.			PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No
4	Name	Affix recent passport size Photograph and Sign across it		
	Residential Address			
	Designation			
	PAN			Dt. of Birth
	DIN/UID			Contact No.
	Aadhar No.			PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No
5	Name	Affix recent passport size Photograph and Sign across it		
	Residential Address			
	Designation			
	PAN			Dt. of Birth
	DIN/UID			Contact No.
	Aadhar No.			PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No

 First Signatory	 Second Signatory	 Third Signatory						
Place	Name and signature with Stamp of the Authorised Signatory(ies)	Date <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px;">D</td> <td style="width: 20px;">D</td> <td style="width: 20px;">M</td> <td style="width: 20px;">M</td> <td style="width: 20px;">Y</td> <td style="width: 20px;">Y</td> </tr> </table>	D	D	M	M	Y	Y
D	D	M	M	Y	Y			

KNA Share Brokers Pvt Ltd



ADDITIONAL KYC RELATED DETAILS FOR DEMAT A/C

For both Individual & Non-Individual

I/We request you to open a Depository Account in my/our name as per the following details: (Please fill all the details in CAPITAL LETTERS only)

DETAILS OF ACCOUNT HOLDER(S):

	Sole / First Holder	Second Holder	Third Holder
Name			
PAN			

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

a. Name	b. PAN
---------	--------

Type of DEMAT Account

For Individual Accounts	For Non-Individual Accounts	For NRI / FOREIGN NATIONAL Accounts
<input type="checkbox"/> Minor <input type="checkbox"/> Ordinary Resident <input type="checkbox"/> HUF/AOP <input type="checkbox"/> Promoter	<input type="checkbox"/> Director <input type="checkbox"/> Director's Relative <input type="checkbox"/> Margin Trading (MANTRA) <input type="checkbox"/> Others (pl. specify) _____	<input type="checkbox"/> Body Corporate <input type="checkbox"/> Clearing Member <input type="checkbox"/> Bank <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Trust
<input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> OCB <input type="checkbox"/> Others, plz specify _____	<input type="checkbox"/> Repatriable <input type="checkbox"/> Non-Repatriable <input type="checkbox"/> Repatriable-Promoter <input type="checkbox"/> Non Repatriable-Promoter	<input type="checkbox"/> F.N. Depository Receipts <input type="checkbox"/> Foreign National <input type="checkbox"/> Depo. Receipts <input type="checkbox"/> Others (Plz. specify) _____

In case of NRI / Foreign Nationals / FII / Others (as may be applicable)

RBI Approval Reference No.	RBI Approval Date
SEBI Regn. No. (for FIIs only)	SEBI Regn. Date

Standing Instructions

1	I/We authorise you to receive credits automatically into my/our Demat account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2	Account to be operated through Power of Attorney	<input type="checkbox"/> Yes	<input type="checkbox"/> No
SMS Alert Facility (Mandatory if you are giving Power of Attorney (PoA). (Ensure that the mobile number is provided in the KYC Application Form also.)			
3	Sole / First Holder	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Second Holder	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3	Third Holder	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	Mobile No. belongs to	<input type="checkbox"/> Self	<input type="checkbox"/> Family Member
4	Mobile No. belongs to	<input type="checkbox"/> Self	<input type="checkbox"/> Family Member
5	Email ID belongs to	<input type="checkbox"/> Self	<input type="checkbox"/> Family Member
6	Account Statement Requirement	<input type="checkbox"/> Daily	<input type="checkbox"/> Weekly
		<input type="checkbox"/> Fortnightly	<input type="checkbox"/> Monthly
		<input type="checkbox"/> As per SEBI Regulations	
7	I/ We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes	<input type="checkbox"/> No
8	Do you wish to receive dividend / interest directly in to your bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
9	Auto Pledge Processing Flag	<input type="checkbox"/> Yes	<input type="checkbox"/> No
10	Basic Services Demat A/c	<input type="checkbox"/> Yes	<input type="checkbox"/> No
11	Email Download by RTAS	<input type="checkbox"/> Yes	<input type="checkbox"/> No
12	Rajiv Gandhi Equity Saving Scheme	<input type="checkbox"/> Yes	<input type="checkbox"/> No
13	Annual Reports From RTAS	<input type="checkbox"/> Physically	<input type="checkbox"/> Electronic
		<input type="checkbox"/> Both	

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

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

_____ Sole / First Holder
 _____ Second Holder
 _____ Third Holder

FOR DEMAT ACCOUNT ONLY

Third Holder

Second Holder

First/Sole Holder

FOR DEMAT ACCOUNT ONLY

GUARDIAN'S DETAILS (same in line with KYC Form - must be filled up where Sole holder is MINOR)

FOR DEMAT ACCOUNT ONLY	1	Guardian Name														
	2	Guardian Address	City/Town/Village							PIN Code						
			State					Country								
	3	Relationship with Minor					4	Guardian's PAN								
	5	Contact Details of Guardian	Telephone (Office)					Telephone (Res.)								
Fax No.							Mobile No.									
Email ID																

Affix recent passport size Photograph of the guardian and Sign across it

OTHER DETAILS

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

BANK DETAILS (Mandatory)

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



NOMINATION FORM (FOR INDIVIDUAL ONLY)

To,
KNA Share Brokers Pvt Ltd
 405 Todi Chambers 2 Lal Bazar Street Kolkata 700001

Dear Sir/ Madam,

I/We the trading client / sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

- I/We **do not wish to nominate any one for this demat/trading account.**
 [Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].
- I/We **nominate** the following person/s who is entitled to receive fund/security balances lying in my/our trading/demat account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

BO Account Details


DP ID		Client ID	
Trading Code			
Name of the Sole / First Holder			
Name of Second Holder	DP ONLY		
Name of Third Holder	DP ONLY		

NOMINATION Details

Name of the Nominee	Nominee 1	Nominee 2	Nominee 3
*First Name:			
Middle Name:			
*Last Name			
NOMINEE IDENTIFICATION DETAILS:			
<input type="checkbox"/> Photograph & Signature	Nominee 1 Photograph	Nominee 2 Photograph	Nominee 3 Photograph
<input type="checkbox"/> PAN No	-----	-----	-----
<input type="checkbox"/> Aadhaar	-----	-----	-----
<input type="checkbox"/> Savings Bank A/c No.	-----	-----	-----
<input type="checkbox"/> Proof of Identity	-----	-----	-----
<input type="checkbox"/> Demat Account Id	-----	-----	-----
*Address:			
*City:			
*State:			
*Pin:			
*Country:			
Telephone / Mobile No:			
Email ID			
Fax No:			
*Relationship with the BO:			

NOMINATION Details			
	Nominee 1	Nominee 2	Nominee 3
Date of birth (mandatory if Nominee is a minor):			
Name of the Guardian of Nominee (if the nominee is minor):			
*First Name:			
Middle Name:			
*Last Name			
GUARDIAN IDENTIFICATION DETAILS:			
(Please tick any one of following and provide details of same)			
<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN No <input type="checkbox"/> Aadhaar <input type="checkbox"/> Savings Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account Id	Guardian of Nominee 1 Photograph & Signature	Guardian of Nominee 2 Photograph & Signature	Guardian of Nominee 3 Photograph & Signature
*Address of the Guardian of nominee:			
*City:			
*State:			
*Country:			
*Pin:			
Guardian Tel. /Mob. No.			
Guardian E-mail ID:			
Guardian Fax No:			
*Relationship of the Guardian with the Nominee:			
*Percentage of allocation of securities:			
*Residual Securities <small>[please tick any one nominee. If tick not marked default will be first nominee]:</small>			

Note : Residual securities: incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any. * Marked is Mandatory field
 This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature			

Note: One witnesses shall attest signature(s) / Thumb impression(s).

DETAILS OF WITNESS	First Witness	Second Witness
Name of Witness		
Address of Witness		
Signature of Witness		

(To be filled by DP)

Nomination Form accepted and registered vide Registration No. _____ Date _____

DECLARATION

1. I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and to be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.
2. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/ we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".
3. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and tariff sheet
4. I/We further confirm having received, read and understood the contents of the "Rights and Obligations" and "Risk Disclosure Documents." I/We hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website.

	Sole Applicant / First Signatory / Guardian (in case sole holder is Minor)	Second Applicant / Signatory	Third Applicant / Signatory
Name			
Signature(s) of Holder(s) / Signatory(ies) (Plz use Black ink)	✓		

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.

Place _____

Date _____

Signature of Authorised Signatory

Seal / Stamp of KNA Share Brokers Pvt Ltd

**A) Refusal of Orders for Penny Stocks :**

Penny stocks are thinly traded shares of small companies which are traded infrequently and having very low volume. Stock Exchange also, from time to time, releases a list of illiquid securities advising trading members to exercise additional due diligence while trading in these securities. These securities may also be called as “Penny Stock”.

The Member reserves the right to refuse to take orders for such “Penny Stock”.

B) Setting up Client’s Exposure Limits :

The Member reserves the right to set, impose and vary limits on the orders that the client can place through the trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.) without prior notice. The order/ exposure limits may vary from time to time, client to client depending upon the margins, client, and financial status of the client as well as market condition.

C) Applicable brokerage rate

The brokerage rate applicable may vary from client to client depending on the category of the client i.e. HNI, Corporate or Retail and the risk /trading profile of the client. Brokerage rates may also differ for different securities and/or classes of securities and/or different type of trades and/or different trading segments for the same client.

The brokerage rate initially fixed for a new client may increase/decrease in course of time with the mutual consent.

Minimum Processing Charge will be levied where brokerage amount is less than Rs. 30 so as to make total of brokerage and Processing charges to be Rs. 30.

However the brokerage rate shall not exceed the maximum as specified by the Exchange/SEBI.

D) Imposition of penalty / delayed payment charges

The Member reserves the right to charge penalty/delayed payment charge to any client, at the rate not exceeding 24% p.a. to its clients for delayed/overdue payment, to discourage the client to do such acts.

E) The right to sell clients’ securities or close clients’ positions, without giving notice to the client, on account of non-payment of client’s dues

The Member reserves the right to liquidate / close out all or any of the client’s securities / positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out against the client’s liabilities/obligations. Any and all losses and financial charges on account of such liquidation / closing out shall be charged to and borne by the client.

F) Shortages in obligations arising out of internal netting of trades :

If securities are not received in our Pool A/c from the selling client before the pay in date but there is no failure to meet securities obligations towards the Exchange, i.e., there is an instance of internal shortage, the following procedure will be adopted.

1. The selling client will be asked to deliver the shares to our pool a/c in the designated auction settlement before the market opening on T+2 day.
2. On failure to do so, there will be a buying-in of shares against the selling client through a “deemed auction” for the benefit of buying client. The buying-in shall be from the market and may be with or without the notice of the client having shortage.



Signature of Client

3. If for any reason whatsoever the above mentioned couldn't be done then the position of both the clients would be squared off on the T+2 day by the Exchange's auction price for that particular security in that particular settlement. The netting off will be done on FIFO basis for internal shortages.

In absence of Exchange Auction price , the Closing price of the auction day i.e. (T+2) plus 5% will be considered in place of Exchange Auction Price

In case of security having corporate action, fair & equitable adjustment shall be made.

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

The member reserves the right to refuse a client to take further position or close the existing position of the client. The conditions under which such actions may be taken by member include:

- 1) Client's margin not adequate vis a vis exposure of the client.
- 2) Sudden changes in margin requirement of Exchange
- 3) Reduction in value of margin of the client for reasons such as fall in the price of securities given as margin or increase in hair cut
- 4) Taking further position will violate any rules, regulations or by-laws of Exchange or SEBI. In case a position has already been inadvertently taken, the existing position may be closed.
- 5) Exiting position violates any rules, regulation or by-laws of Exchange or SEBI.
- 6) Member not having sufficient exposure limit for whatsoever reason
- 7) If the ledger of a client shows continuous debit balances and the dues are not settled by the client.

H) Temporarily suspending or closing a client's account at the client's request:

The account of the client shall be temporarily suspended or closed on receipt of written request from the client specifying the reasons to close the account. The member on being satisfied with the reasons given, shall suspend or close the account of that client after effecting the settlement of the account.

Accounts suspended on client's request can be reactivated only after receiving a written request from the client.

I) Deregistration of a client:

The conditions under which the Member may deregister a client include:

- 1) On receipt of the specific request from the client to deregister himself and to close his accounts.
- 2) On account of death or insolvency of the client.
- 3) On account of breach of terms and conditions of the agreement by the client.
- 4) On account of any action taken by SEBI/ Exchange/ any other statutory authority against the client.

On the happening of the above, the account of a client is deregistered after effecting settlement of the accounts and securities of the client.

J) Inactive accounts:

The account of a client who do not trade for a single day for two consecutive financial years shall be declared "inactive account" and will be temporarily suspended.

The Member reserves the right to ask for any documents in support of current address, bank account, demat account, financial status, etc. before reactivating such inactive accounts.

Client Acceptance of Policies and Procedures stated herein above :

I/We confirm having read and understood the same.



Signature of Client

Tariff Sheet (For Trading)

A. BROKERAGE*	NSE		BSE	
	%	Min. Paisa	%	Min. Paisa
1. Capital Market Segment Square up Brokerage (chargeable for each leg of transaction) Delivery Brokerage	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
2. Future & Options Segment Brokerage in Futures Brokerage in Options (per lot)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
3. Currency Derivative Segment Brokerage in Futures Brokerage in Options (per lot)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
4. Commodity Segment Brokerage in Futures Brokerage in Options (per lot)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

LIST OF CHARGES ON ACTUAL BASIS

B. OTHER CHARGES	
1. GST on Brokerage	6. Investor Protection Fund
2. GST on Turnover Charges	7. Securities Transaction Charges
3. GST on Delay Payment Charges	8. Investor Protection Fund (CDX only)
4. Stamp Duty	9. Minimum Processing Fees, in case of Brokerage being less than Rs. 30 in total Brokerage booked on a particular date
5. SEBI Turnover Charges	

Signature of Client _____ Date : _____

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

ACKNOWLEDGMENT TO KNA SHARE BROKERS PVT LTD. FROM CLIENT

To
KNA Share Brokers Pvt Ltd
 405 Todi Chambers 2 Lal Bazar Street Kolkata 700001

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 KSBPL.

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, Sub-Brokers, Authorised Person and Clients	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.	
4.	Risk and Disclosure document.	
5.	Guidance note - Do's and Don't for trading on the Exchange(s) for Investors.	
6.	Executed Copy of KYC	

For _____
 Client Code : _____ Client's Signature

(should be signed with Rubber Stamp, if applicable)

Note: The standard documents (Client Copy) are also available in vernacular language on our Website: www.knasharebroker.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.#	Type	<input type="checkbox"/> Scheme A	<input type="checkbox"/> Scheme B	<input type="checkbox"/> Scheme C	<input type="checkbox"/> Scheme D
1	Account Opening	NIL			
2	Annual Maintenance	₹ 450/- P.A.	₹ 699/- (for 5 years)	₹ 1299/- (for 10 years)	₹ 1000/-P.A. (only for Corporate)
3	Custodian Charges	Nil			
4	Buy	Nil			
5	Statement by Email	Nil			
6	Sell/Off Market / Interdepository	₹ 15/- Flat			
7	All kind of Pledge/Hypothecation request	₹ 35/- Flat			
8	All kind of lending/borrowing request	₹ 35/- Flat			
9	Dematerialisation	₹ 35/- per certificate + courier charges as per actuals			
10	Rematerialisation	₹ 35/- per certificate + courier charges as per actuals			
11	Easi Facility*	Nil			
12	Easiest Facility**	Nil			

NOTES

1. **Annual Maintenance Charges @ Rs. 450/- P.A will be applicable after completion of 05 years from the date of account opening/slab activation in case of Scheme B & C.**
2. In case of delays in payment of charges, the demat account can be frozen for all operations till such time all dues are cleared.
3. **“All market instructions for transfer must be received latest by 4.00 p.m. on the previous working day prior to the pay-in day as per SEBI guidelines. All off market instructions for transfer must be received at least 24 hours before the execution date. Late instructions would be accepted at the Account Holder’s sole risk and responsibility”.**
4. Charges are subjected to revision at the company’s sole discretion and as per revision in CDSL charges.
5. Any service not quoted above will be charged separately.
6. Value of transactions will be in accordance with rates provided by the depository.
7. GST and other statutory charges, as applicable will also be levied.
8. Charges may also be collected upfront, by the point of acceptance of Delivery instructions.
9. Charges for POA stamping will be charged extra.
10. I/We authorize KNA Share Brokers Pvt Ltd 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

I/we have read and understood the “Schedule of Charges” prescribed above and agree to abide by the same.

Signature of Account Holders:

I / We accept the above scheme	SCHEME A <input type="checkbox"/>	SCHEME B <input type="checkbox"/>	SCHEME C <input type="checkbox"/>	SCHEME D <input type="checkbox"/>
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Applicant Name _____

PART I - Please fill in the country for each of the following :

- 1. Country of :
 - a) Birth _____ b) Citizenship _____
 - c) Residence for Tax Purposes _____
- 2. US Person* : Yes No

PART II - Please note :

- a. If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to Part III for signature.
- b. If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent** as issued in the specific country in the table below :

i) TIN _____ Country of Issue _____

ii) TIN _____ Country of Issue _____

iii) TIN _____ Country of Issue _____

- a. In case any of the parameters in **Part I** indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in **Part IV**.
- b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate

_____ Please also fill **Part IV** Self-Certification.

PART III - Customer Declaration (Applicable for all customers)

- (i) Under penalty of perjury, I/we certify that :
 - 1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof.
(This clause is applicable only if the account holder is identified as a US person)
 - 2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. (This clause is applicable only if the account holder is a tax resident outside of India)
- (ii) I/We understand that KNA Share Brokers Pvt Ltd is relying on this information for determining the status of applicant named above in compliance with FATCA/CRS. KNA Share Brokers Pvt Ltd is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- (iv) I/We agree that as may be required by domestic regulators/tax authorities KNASBPL may also be required to report, reportable details to CDBT or close or suspend my account.
- (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature : _____

Name : _____ Date (DD/MM/YYYY) : _____

PART IV - Self-Certification :

To be filled only if-

- (a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or
- (b) US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.



Signature

Document Proof submitted (Please tick document being submitted)

- Passport Election Id Card PAN Card Driving License UIDAI Letter
- NREGA Job Card Govt. Issued ID Card

* **U.S. Person** means,

- (a) an individual, being a citizen or resident of the United States of America;
- (b) a partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
- (c) a trust if,-
 - (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and
 - (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust; or
- (d) an estate of a decedent who was a citizen or resident of the United States of America;

**** Functional Equivalent of TIN**

Many countries do not issue TIN to their taxpayers. However, such countries issue some other high integrity number with an equivalent level of identification (a functional equivalent). Examples of such numbers are-

- Social Security Number
- National Insurance Number
- Citizen Or Personal Identification Code Or Number
- Resident Registration Number



Applicant Name _____

PART I

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

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

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

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

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

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

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

CUSTOMER DECLARATION

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

1. The applicant is:

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

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

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

Name of the Entity _____

Signature 1 _____ Signature 2 _____

Signature 3 _____ (As per MOP)

Date : _____

Section 4 : Controlling person declaration

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

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

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

Section 5 : Declaration

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

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



Authorized Signatories and Company Seal (if applicable)

Name _____ Date (DD/MM/YYYY) _____

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

(Mandatory for Non-individual Investors)

(To be provided on Letter Head)

I. Investor Details:

Name of the Client

II. Category:

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

UBO / Controlling Person(s) details

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

Declaration

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

Client Signature 

Date: _____

Place: _____

INSTRUCTIONS ON CONTROLLING PERSONS / ULTIMATE BENEFICIAL OWNER

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

A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
- more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
 - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
 - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:

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

C. Exemption in case of listed companies / foreign investors

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

**MANDATE TO ISSUE CONTRACT NOTES, DAILY MARGIN STATEMENT
AND QUARTERLY STATEMENT IN ELECTRONIC FORMAT**

To
KNA Share Brokers Pvt Ltd
 405 Todi Chambers
 2 Lal Bazar Street Kolkata 700001

Date : _____

Dear Sir,

I/We hereby agree and consent to accept the contract notes, daily margin statement, Settlement details and the quarterly statements of funds and securities issued by you electronically in accordance with the terms and conditions specified herein below and the same shall be binding on me/us. This instruction to issue digital contract notes, daily margin statement, quarterly statements & statement pertaining to settlement of accounts is applicable with immediate effect.

The mandate is subject to terms and conditions mentioned herein below :

Yours faithfully,



Client's Signature

E-mail Id: _____

Client Name _____

Tel. No. _____

Mobile _____

Terms and conditions :

Terms and conditions for availing the facility of the electronic Contract Notes, Daily statement pertaining to settlement & Quarterly statements digitally signed are as follows.

1. The Client will ensure availability of the above mentioned e-mail ID at all times.
2. Non-receipt of bounced e-mail notification by KNASBPL can be safely taken of having been received.
3. The Client shall update for any change in e-mail ID through a duly executed physical letter.
5. Electronic Contract Notes, Daily margin statement & Quarterly statements will also be available on URL **<https://www.knasharebroker.com>**
6. Clients can view the electronic Contract Notes, Daily margin statement & Quarterly statements on URL by using the username & Password.
7. Electronic Contract Notes will be archived at an interval of 15 days. If the client intends to view the electronic Contract Notes for a period prior to 15 days, client may request for the same in writing.
8. In case of any failure in system or errors the same will be issued in physical form, which shall be binding on the client.

To
KNA Share Brokers Pvt Ltd (KSBPL)
405, Todi Chambers
2 Lal Bazar Street
Kolkata – 700 001

Sir,

1. I/We agree not to hold KSBPL liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion, earthquake, riots, war strikes, failure of systems, failure of internal links, government/regulatory actions or any other contingencies beyond your control.
2. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
3. All fines/penalties and charges levied upon KSBPL due to my acts/deeds or transactions may be recovered by KSBPL from my account.
4. Any queries related to my/our contract note shall be brought to the notice of KSBPL within 7 days of the receipt of the contract note.
5. I/We hereby authorize KSBPL not to provide me Order Confirmation /Modification/Cancellation slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We hereby request KSBPL to kindly accept my/our verbal orders/instructions over phone and execute the same. I/We understand the risk associated with placement of verbal orders and accept the same. In case I wish to withdraw this consent I shall inform KSBPL in writing and get the same acknowledged by KSBPL at least one week in advance from the date of withdrawal.
6. I/We will be extending all co-operation to KSBPL in their endeavor towards Anit Money Laundering. KSBPL may initiate any enquiry against me/us and/or my/our transactions any time without any legal implication whatsoever against them.
7. I/We understand the information about me/us and my/our transactions may be reported by KSBPL to FIU/concerned authorities without any intimation to me/us and have no objection to the same.
8. I/We undertake that if I/we fail to deliver any one or more securities to the pool account of KSBPL in respect of the securities sold be me/us before the pay-in date notified by the Exchange from time to time, such undischarged obligation in relation to delivering any one or more securities shall be deemed to have been closed out at the auction price or close-out price, as may be debited to KSBPL in respect of the security for the respective settlement, otherwise the close-out price on the date of pay-out in respect of the relevant securities, declared by the Exchange. The loss, if any, on account of the close-out shall be borne by me/us.
9. I agree to KSBPL tape-recording the conversation between my/us and KSBPL officers in its absolute discretion, whether personally or over the telephone. Such recordings may be relied upon in case of dispute.
10. I hereby authorize KSBPL to debit my account with depositary service charges, bank charges on account of dishonor of cheques, stop payment instruction charges, demand draft/pay order/PGP charges, NEFT/RTGS charges, call and trade charges, SMS charges, settlement/professional charges (for as may be applicable to NRIs), research service/message fees, trading platform charges, application money and processing charges for mutual funds, initial public offerings/follow on public offerings, right issue, fixed deposits(s), money market instruments etc. Generally various investment avenues / products, processing fess/charges towards contract note/statement of account etc. and any other such or similar fess / charges as may become applicable from time to time.
11. I/We hereby authorize KSBPL to retain the credit balance in my/our account for adjustment with the debit in subsequent Settlements.
12. I/We hereby authorize KSBPL to setoff outstanding in any of my/our account(s) against credits available or arising in any other account(s) maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of any Exchange and/or against the margins provided to you by me/us.

Client Signature



13. I/We hereby authorize KSBPL to release the payment partly of fully against the credit balance in my/our account on receiving any verbal or written instruction from me/us or any of the person authorized by me/us.
14. I/We hereby authorize KSBPL to retain the pay-out of the shares in your Demat account for our margin/future obligations at stock exchanges in any segment, unless you receive any verbal or written instruction from me/us to deliver the shares to my/our Depository Account.
15. Following person(s) is/are authorized to transact on my/our behalf:

- | | |
|----------|----------|
| 1. _____ | 2. _____ |
| 3. _____ | 4. _____ |

16. Following person(s) is/are authorized to receive Contract notes & Account statements on my/our behalf:

- | Name | Signature |
|----------|-----------|
| 1. _____ | _____ |
| 2. _____ | _____ |

17. I/We hereby also acknowledge receipt of your information that you do Client based trading as well as Proprietary Trading. I/we hereby unconditionally and irrevocably undertake that all the transaction done through you in every market segments are my/our proprietary transaction.

Client Signature  _____



DEPOSIT OF SECURITIES/FUNDS TOWARDS MARGIN

VOLUNTARY

To
KNA Share Brokers Pvt Ltd
 405 Todi Chambers
 2 Lal Bazar Street Kolkata 700001

Date :

Dear Sir,

I/We understand that the Member accepts deposit of securities 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 NSE/BSE/SEBI before placing any order. KNA Share Brokers Pvt Ltd (KNASBPL) 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 KNASBPL 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 KNASBPL has a clear and undisputed right to dispose of the margin securities 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
4. I/we shall when called upon to do so, provide additional margin money to KNASBPL as required by them or Stock Exchange in respect of positions taken by me/us

Your Sincerely,

Client Signature  _____



To
KNA SHARE BROKERS PVT. LTD.
405, Todi Chambers
2, Lalbazar Street
Kolkata - 700 001

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 and securities on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain all amounts and securities receivable by me/us until specifically requested by me/us to be settled within one working day of request, if the same is lying with KNA Share Brokers Pvt. Ltd. & within 3 working days from the request if the same is lying with clearing member / clearing corporation.
2. I/we understand and agree that no interest will be payable to me/us on the funds or securities so retained with you.
3. I/we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard I/we hereby authorize KNA Share Brokers Pvt. Ltd. to act at its discretion of adjusting any credit balance under my/ our various accounts against the debit in any account across segments/Exchange, without taking any further instruction from me/us.
4. I/we also confirm that the securities lying in my withhold A/c should be considered as margin deposit / collateral.
5. 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 or by sale of securities which form part of margin.
6. I/we hereby authorize you to pledge my / our securities deposited as margin or withheld by you as permitted in the running account and to deposit my / our funds deposited as margin to Exchanges / Clearing Corporations towards margin.
7. I/we may revoke the authorisation at any time by giving a written notice.
8. I/we also agree that the actual settlement of fund and securities shall be done by us, at least once in a quarter or month and the statement of account for the same will be provided to me by KNA Share Brokers Pvt. Ltd.
9. I/we agree that fund given towards collaterals/margins in form of bank guarantee (BG) / Fixed Deposit Receipts (FDR) may not be periodically settled.
10. I/We agree that (a) in respect of derivatives market transactions, the Trading Member may retain the requisite securities /funds on settlement date to take care of any margin obligation arising in next 5 days, calculated in the manner specified by the Exchange, (b) in respect of cash market transactions, the Trading Member may retain entire pay-in obligation of funds & securities due from me / us as on the date of settlement and for next day's business, the Trading Member may retain funds / securities / margin to the extent of value of transactions executed on the day of such settlement.
11. I/we authorise you to retain an amount upto Rs. 10,000/- (consolidated amount across segments and across stock exchanges) for actual settlement of that respective traded quarter / month.
12. I/we agree/understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.
13. I/we shall bring any dispute arising from the statement of account or settlement so made to the notice of the Trading Member preferably within 30 working days from the date of receipt of funds/securities or statement as the case may be.

PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT (FUNDS & SECURITIES)

Settlement Preferences	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly
------------------------	----------------------------------	------------------------------------

Thanking you,

Yours truly,

Client Signature _____



To,
KNA Share Brokers Pvt Ltd
405 Todi Chambers, 2 Lal Bazar Street Kolkata 700001

Date : _____

Sir,

This is with reference to my/our trading account opened with you; I/we request you arrange facility of receiving email and/or mobile alert facility issued by Exchange in compliance with regulation and guidelines issued by concern authorities from time to time.

Email Facility	Service Required - YES <input type="checkbox"/> NO <input type="checkbox"/>
Email ID	
Owned by - Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	✓
SMS Facility	Service Required - YES <input type="checkbox"/> NO <input type="checkbox"/>
Mobile Number	
Owned by - Name	
- PAN Number	
Relationship with Client	
Signature of the Client	✓

* Please specify the Name and PAN detail in case email id and/or Mobile Number is other than that of the client.

In this regards we state the following :

1. This is to further confirm that it will be my/our responsibility that my/our Email ID and/or Mobile Number are active and the relevant Inbox is not full. Further, the trading member will not be held liable for the mails and / or SMS alert not received.
2. I/we undertake that any change in my/our Email ID and/or Mobile Number shall be communicated to you in writing through a physical letter.
3. I/we agree that this authority shall be valid, until it is revoked by me/us at any time by giving a written notice to KNA SHARE BROKERS PVT. LTD.

Client Signature ✓ _____



Annexure 2.4
TERMS AND CONDITIONS-CUM-REGISTRATION / MODIFICATION FORM
FOR RECEIVING SMS ALERTS FROM CDSL
[SMS Alerts will be sent by CDSL to BOs for all debits]

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P. J.. Towers, Dalai Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository-in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent'during such period.

Signature of Client

3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.

4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the**

service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. 1/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

BOID

1	2	0	7	1	2	0	0
---	---	---	---	---	---	---	---

(Please write your 8 digit DPID)

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

(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent +91

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

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: _____

Email ID: _____

Signature

✓ _____
Sole / First Holder

✓ _____
Second Holder

✓ _____
Third Holder

Place : _____

Date : _____

DO's and DON'Ts

Do's and Don'ts which are relevant for operation of Trading / Demat account with KNASBPL


DO's

- Issue cheque(s) towards margin / pay-in obligation of funds only in the name of "KNA Share Brokers Pvt Ltd".
- Transfer securities against Pay-in obligations only in designated Demat Accounts of KNA Share Brokers Pvt Ltd).
- Any receivables from KNASBPL on account Pay-out shall be from Bank / Demat Account from KNASBPL only and not from sub- broker / Authorised Person /Advisor.
- Ensure that no separate fees, charges, commissions or any consideration is paid to Sub Broker / Authorised Person / Advisor; other than what is payable to KNASBPL.
- 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 KNASBPL.
- Ensure to read all the tariff / brokerage applicable to you, before placing your orders with KNASBPL.

DON'TS

- Do not give any discretionary rights to your advisor / Relationship Manager / Sub Broker /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 Sub Broker /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 / Sub Broker /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 Sub Broker / Authorised Person / Advisor in connection with your transaction in trading / demat account opened with KNASBPL.

(Above Do's and Don't's are in addition to Guidance Note prescribed by SEBI)

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 KNASBPL _____

(Tick the applicable)

- Yes Client Code _____ Name _____ No

Additional Comments (to be filled by Client) _____

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

Client Signature  _____



To
KNA Share Brokers Pvt Ltd
405 Todi Chambers
2 Lal Bazar Street Kolkata 700001

Sub :- Internet Trading

I/We wish to trade through internet in various segments as opted by me/us of NSE/BSE and confirm that I am / we are fully aware of and understands the risk associated with availing of a service of routing orders through internet including the risk of misuse and unauthorized use of my/our Username and/or Password by a third party and the risk of a person hacking into our account on your ITORS system and unauthorized routing order on behalf of us through the system. I/we agree that we shall be fully liable and responsible for any and all unauthorized use and misuse of my/our Password and /or Username and also for any and all acts done by any person through your ITORS system on our Username in any manner whatsoever.

I/We hereby confirm you to send our Username and Password on the below mentioned e-mail address.

Email Address : _____

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

Thanks and best regards,

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



To
KNA Share Brokers Pvt Ltd
405 Todi Chambers
2 Lal Bazar Street Kolkata 700001

Dear Sir,

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

Thanking You,

Yours truly,



Signature of the client

Name:

Client Code:

DECLARATION FORM BY PARTNERS FOR PARTNERSHIP FIRM (For DEMAT A/c)**FORMAT**

(To be obtained on Pre-Printed Letter Head of the Firm)

To,
KNA Share Brokers Pvt Ltd
 405 Todi Chambers
 2 Lal Bazar Street Kolkata 700001

1. I / We have submitted an application for opening a joint account in the name(s) of _____, _____ and _____ for opening a Beneficial Owner [BO] account in the category "INDIVIDUAL" for holding and carrying out transactions in respect of securities belonging to our firm, as per the clarification issued by the Department of Company Affairs vide its Circular No. 5/75 (8/18/75-CL-V) dated March 31, 1975, Partnership Firm is not capable of being a member within the meaning of Section 41 of The Companies Act, 1956.
2. We represent the firm.
3. In consideration of you having agreed to accept the Permanent Account Number [PAN] issued by the Income Tax Department [ITD] to the firm along with our individual identity documents, we acknowledge and undertake as under :-
 - a) the acceptance of the PAN number of our firm does not amount to you having taken notice of trust or recognize our firm
 - b) we shall continue to be responsible for complying with the relevant provisions of The Companies Act, 1956 and the Rules made thereunder and other applicable Laws, failing which we shall be responsible for the consequences thereof

Yours faithfully,

Signature	Signature	Signature
Partner's Name	Partner's Name	Partner's Name

DECLARATION TO BE GIVEN BY PARTNERSHIP (For Trading A/c)**FORMAT**

(To be obtained on Pre-Printed Letter Head of the Firm)

To
KNA Share Brokers Pvt Ltd
 405 Todi Chambers
 2 Lal Bazar Street Kolkata 700001

Dated :

Dear Sir,

We refer to the trading account opened with you in the name of and declare and authorize you as under:

We recognize that a beneficiary account can not be opened with a Depository Participant in the name of the partnership firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations, pursuant to the trading operations, we authorize you to recognize the beneficiary account No. With Depository: having DP ID opened as a joint account in the names of the partners of the firm.

We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfers to/from the above-mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Signature	Signature	Signature
Partner's Name	Partner's Name	Partner's Name

Instructions : Should be signed by all partners of the firm.

In case of Partnership / LLP Accounts
AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER/(S)

FORMAT

(To be obtained on Pre-Printed Letter Head of the Firm)

We the partners of M/s, a partnership firm, having its office at (office address) City State hereby authorize Mr./Ms. and Mr./Ms. to open a securities trading account in Capital Market Segment, F&O Segment, Currency Derivative Segment and Debt Market segment on behalf of the firm M/s with the Trading Member M/s KNA Share Brokers Pvt Ltd for sale and purchase of shares/debentures/derivative instruments in Capital Market Segment(CM) and/or Futures and Options Segment(F&O) and/or Currency Derivative Segment (CDX) or any other segment that may be introduced by NSE/BSE in future. He/She/They is/are **singly/jointly** authorized on behalf of the firm to deal in equities, derivatives, debentures, debt products and the said Trading Member is hereby authorized to honor all instructions oral or written, given on behalf of the firm by him/her/them.

Mr./Ms..... and Mr./Ms..... is/are authorized to sell, purchase, transfer, endorse, negotiate documents and /or/ otherwise deal through KNA Share Brokers Pvt Ltd on behalf of the firm M/s. He/She/They is/are also authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

However any partner/authorized signatory(ies) can issue cheques from bank account(s) in favor of KNA Share Brokers Pvt Ltd for credit to share trading account of the firm with KNA Share Brokers Pvt Ltd., even though his/their signatures may not be available on the records of KNA Share Brokers Pvt Ltd.

Note : Please affix rubber stamp of the firm for each signature

Signature	Signature	Signature
Partner's Name	Partner's Name	Partner's Name

RESOLUTION IN CASE OF LLP (for Demat A/c)

FORMAT

(To be obtained on Pre-printed Letter Head of the LLP)

We the partners of M/s (Name of LLP) a partnership firm, having its office hereby authorize one of the partner Mr. or Mr..... to open a Demat account with KNA Share Brokers Pvt Ltd Depository Participant of Central Depository Services (I) Ltd., on behalf of the firm Ms/ (Name of LLP) and to complete all account opening formalities, issue receipt/delivery instructions, Demat/Remat requests, cancellation of the aforesaid and all other acts as may be necessary for operations of the account and a copy of the said resolution to be delivered to "KNA Share Brokers Pvt Ltd for their reference and record."

RESOLVED FURTHER THAT Mr..... Or Mr....., designated partners are authorized to transfer, endorse, negotiate documents and/or otherwise deal with KNA SHARE BROKERS PVT LTD on behalf of the firm M/s(name of LLP). They are also **singly/Jointly** authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

However any partner/authorized signatories can issue cheques from bank account in favor of KNA Share Brokers Pvt Ltd for credit to Share trading account of the firm with M/s KNA Share Brokers Pvt Ltd, even though their signatures may not be available on the records of KNA Share Brokers Pvt Ltd These cheques may either be form the account of partnership firm or from individual account the said amount so given shall be solely / exclusively for the account of the firm maintained with KNA Share Brokers Pvt Ltd.

For (Name of LLP)

Signature with Seal	Signature with Seal	Signature with Seal
Name of Partner / Authorised Signatory	Name of Partner / Authorised Signatory	Name of Partner / Authorised Signatory

BOARD RESOLUTION IN CASE OF CORPORATE / REGISTERED TRUST (For Demat A/c)**FORMAT****To be typed on company's letter head and signed by majority of directors of the company.**

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF BOARD OF DIRECTORS OF _____ (Company Name)
 HAVING ITS REGISTERED OFFICE AT _____ (Company Address) HELD ON _____ (Meeting Date).

“Resolved that a (CDSL) depository account of the company be opened in the name and style of _____ (name of the account) with KNA Share Brokers Pvt Ltd [DPID : (CDSL) 12071200] and Mr./Mrs. _____ and Mr./Mrs. _____ Director(s) / Authorized Signatory(ies) are hereby **singly/jointly** authorized to complete all account opening formalities, issue receipt/delivery instructions, Demat/Remat requests, inter-settlement transfers, account closures/shifting/freeze/defreeze requests, pledge/hypothecation instructions, cancellation of the aforesaid and all other action as may be necessary for operations of the account and a copy of the said resolution to be delivered to “M/s.KNA Share Brokers Pvt Ltd” for their reference and record.”

RESOLVED further that KNA Share Brokers Pvt. Ltd being the POA holder on behalf of _____ is hereby authorized to sign as per authorization by KNA Share Brokers Pvt. Ltd the documents relating to be beneficiary account with KNA Share Brokers Pvt. Ltd. and the authority so given to KNA Share Brokers Pvt. Ltd. to act on behalf of M/s _____ shall not be withdrawn / revoked without prior intimation in writing with three weeks time.

For, {Company Name}

Chairman/Company Secretary

Signature	Signature	Signature
Name of the Directors / Trustees	Name of the Directors / Trustees	Name of the Directors / Trustees

Note : Please carefully use the **BOLD** matter**BOARD RESOLUTION IN CASE OF CORPORATE / TRUST (For Trading A/c)****FORMAT****(To be obtained on Pre-Printed Letter Head of the Company)**

Extracts of the Minutes of the Meeting of the Board of Directors of «COMPANY/TRUST NAME» at its Registered Office at _____ on _____.

“RESOLVED THAT the company/trust may invest / trade in Securities / Derivatives Market and be registered as CLIENT with KNA Share Brokers Pvt Ltd, a Member of NSE and BSE, for the purpose of dealing/trading in equities, equity derivatives, currency derivatives, debentures, debt products in NSE/BSE and the said member be and is hereby authorized to honor all instructions oral or written, given on behalf of the Company by any one of the under-noted authorized signatories:-

1. «Name of the authorised signatory» - «Designation»
2. «Name of the authorised signatory» - «Designation»

who are authorized to sell, purchase, transfer, endorse, negotiate and/or otherwise deal with KNA Share Brokers Pvt Ltd. on behalf of the Company/Trust.

RESOLVED FURTHER THAT «Authorised Signatory(ies), Designation» of the Company/Trust be and are hereby **singly/jointly** authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution.

RESOLVED FURTHER THAT «Authorised Signatory» is hereby authorized to submit the above resolution to KNA Share Brokers Pvt Ltd or Specimen Signatures of the above noted Authorised Signatory(ies) _____ Chairman/Company Secretary

Signature with Seal	Signature with Seal	Signature with Seal
Name of the Director / Trustees	Name of the Director / Trustees	Name of the Director / Trustees

Please Note: Attach list of Directors/Trustees' as on date

AUTHORITY-CUM-DECLARATION IN CASE OF HUF AND JOINT FAMILY**FORMAT**

(To be obtained on Pre-Printed Letter Head of the HUF)

To

Date: _____

KNA Share Brokers Pvt Ltd

405 Todi Chambers

2 Lal Bazar Street Kolkata 700001

As our HUF wishes to open a Trading and / or Demat account with your company in the name of _____

we hereby state that the first signatory to this letter, i.e. _____
 is the Karta of the joint family and other signatories are adult coparceners of the said family.

We hereby authorize the said Karta to open a Trading and / or Beneficiary Demat Account with KNA Share Brokers Pvt Ltd in the name and on behalf of the HUF. He is further authorized to sign, execute and submit such applications, undertakings and other requisite documents, writings and deeds as may be deemed necessary to expedient to open such account and give effect to this purpose. KNA Share Brokers Pvt Ltd (KNASBPL) is hereby authorized to honor all instructions oral or written, given on behalf of HUF by the said Karta.

We further confirm that the business of the said Joint family is carried on mainly by the said Karta in the interest and benefit of the entire body of coparceners and members of the joint family. We all undertake that claims due to KNA Share Brokers Pvt Ltd, from the said family shall be recoverable personally from all or any of us and also from the entire family properties of which the first signatory is the Karta, including the share of minor coparceners.

In view of the fact that ours is not a firm governed by the Indian Partnership Act, 1932, we have not got our said Family registered under the said Act. We hereby undertake to inform KNA Share Brokers Pvt Ltd of the death or birth of any coparcener or any change occurring at any time in the membership of our Joint Family during the currency of the account.

List of current members of the said HUF is as under noted,

Sr.#	Name	Designation & relation with Karta (Self, Spouse, Son, Daughter, Parent) 1. Karta 2. Coparcener 3. Adult Member 4. Minor Member	PAN Compulsory for Karta Coparceners & Adult Members For Minor member(s) mention their respective Date of Birth	Politically Exposed Person (PEP) / Non-PEP	Signature Compulsory for Karta, Coparceners & Adult Members For Minor members mention NA
1				<input type="checkbox"/> PEP <input type="checkbox"/> Non-PEP	
2				<input type="checkbox"/> PEP <input type="checkbox"/> Non-PEP	

 Stamped and signed by Karta of the said HUF

FOR OFFICE USE ONLY
(Only for Defective Forms)

Date of First Receipt of Agreement : _____

Reason(s) for Return, if any:

Rectified / Corrected (✓)

01. _____

02. _____

03. _____

04. _____

05. _____

06. _____

07. _____

08. _____

09. _____

10. _____

Name of Returning Official : _____

Signature of Returning Official : _____

Date of Return : _____

Corrected Form Received on : _____

Note: Please ensure that no point is left blank. In case there are no points to mention, write "N.A." in that point.

KNA SHARE BROKERS PVT. LTD.

REGD. OFFICE : 405, TODI CHAMBERS, 2, LAL BAZAR STREET, KOLKATA - 700 001

PHONE : 2230-1216 / 1136 ❖ FAX : (033) 2248-4164 ❖ E.mail : info@knasharebroker.com

CIN : U67120WB2004PTC098245

INVESTORS' COMPLAINTS REDRESSAL E.mail : complaint@knasharebroker.com