

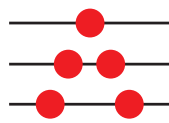


## Trading and Demat Account Opening Form - Non Individual

**Form No.** \_\_\_\_\_ **Client Code** \_\_\_\_\_

**Client Name** \_\_\_\_\_

**RM / SM Name** \_\_\_\_\_



**AMBIT**  
Acumen at work

**Ambit Capital Private Limited**

Ambit House, 449, Senapati Bapat Marg, Lower Parel, Mumbai 400 013 India

T +91 22 6623 3000 | F +91 22 6623 3100

[www.ambit.co](http://www.ambit.co)

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## INDEX

Sr.No.	Name of Document	Brief Significance of the Documents	Page Nos.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1.	Account Opening Form	<ul style="list-style-type: none"> <li>• KYC Form - Document captures the basic information about the constituent and an instruction/ check list.</li> <li>• Document captures the additional information about the constituent relevant to Trading/ Demat account and an instruction/check list.</li> <li>• Declaration for FATCA/CRS</li> </ul>	00-00
2.	Tariff Sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on stock exchange(s) & DP Service charges/ Fee Structure	00
<b>VOLUNTARY DOCUMENTS</b>			
3.	Terms and Conditions (Voluntary)	Terms and Conditions other than those stated in the mandatory part	00-00
4.	Running Account Authorization (Voluntary)	Authorisation letter to Ambit Capital Pvt. Ltd. facilitates maintaining of funds/ securities on running account basis	00
5.	Power of Attorney (POA) (Voluntary)	POA provided by the client to Ambit Capital Pvt. Ltd. for settlement/ margin obligation	00-00
6.	Office use	Acknowledgement and Office use copy	00

**BOOKLET 1  
MANDATORY AND VOLUNTARY**

<b>MANDATORY AND VOLUNTARY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1.	Rights and Obligations	Rights & Obligations for Trading on Exchanges.	00-00
2.	Risk Disclosure Document (RDD)	Know the risks of the Equity & Derivatives Market	00-00
3.	Guidance Note	Do's & Don'ts for Trading on the Exchanges	00-00
4.	Policies and Procedures	Policies and Procedures of Ambit Capital Pvt. Ltd. for dealing with Clients (for Brokers)	00-00
5.	Rights & Obligations of Beneficial Owners & Depository Participants:	Document stating the Rights & Obligations of Beneficial Owners and Depository Participants.	00-00
6.	Mutual Fund Service Request	Mutual Fund Service Facilities of Recognised Stock Exchanges	00-00

**BOOKLET 2 MANDATORY  
AND VOLUNTARY**

**Note:** Booklet 1 to be filled by client and returned to ACPL. Booklet 2 to be read, understood by the client for future reference.

<p>Name of Stock Broker / Trading Member / Clearing Member: <b>AMBIT CAPITAL PRIVATE LIMITED,</b> CIN NO.: U74140MH1997PTC107598</p> <p style="text-align: center;"><b>SEBI Registration No. &amp; Date</b></p> <p style="text-align: center;">Common SEBI Registration No. : INZ000259334- 7th May 2019</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;">NSE Membership Code-12476</td> <td style="width: 50%; border: none;">BSE Membership Code 3081</td> </tr> <tr> <td style="border: none;">Research Analyst-INH000000313</td> <td style="border: none;">Merchant Banker-INM000012379</td> </tr> <tr> <td style="border: none;">CDSL DP-IN-DP-CDSL-374-2006</td> <td style="border: none;">AMFI ARN- 36358</td> </tr> <tr> <td style="border: none;">Portfolio Manager-INP000002221</td> <td style="border: none;">AMFI-registered Mutual Fund Distributor</td> </tr> </table> <p style="text-align: center;"><b>Registered and Correspondence Office Address:</b> Ambit Capital Private Limited, Ambit House, 449, Senapati Bapat Marg, Lower Parel, Mumbai - 400013, India. Phone: +91-22-66233000 Fax:+91-22-66233100 Website: www.ambit.co</p>	NSE Membership Code-12476	BSE Membership Code 3081	Research Analyst-INH000000313	Merchant Banker-INM000012379	CDSL DP-IN-DP-CDSL-374-2006	AMFI ARN- 36358	Portfolio Manager-INP000002221	AMFI-registered Mutual Fund Distributor
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CDSL DP-IN-DP-CDSL-374-2006	AMFI ARN- 36358							
Portfolio Manager-INP000002221	AMFI-registered Mutual Fund Distributor							
<p style="text-align: center;"><b>Compliance Officer :</b> Mr. Sanjay Shah, Phone No.: +91-22-39821965, Email id:sanjay.shah@ambit.co</p>								
<p style="text-align: center;">For any grievance / dispute please contact, Ambit Capital Private Limited at the above address or email id: investorgrievance.acpl@ambit.co and Phone No.+91-22-66233000.</p>								
<p style="text-align: center;">In case not satisfied with the response, please contact - BSE Limited (Tel.:+91-22-22728097; E-mail: is@bseindia.com); National Stock Exchange of India Limited (Tel.:+91-22-26598190; E-mail: ignse@nse.co.in)</p>								

## CHECK LIST FOR FILLING KYC FORM (List of documents to be Submitted) - For Non-individual

Types of Entity	Documentary requirements	Please Tick
Corporate	Copy of the balance sheets for the last 2 financial years (to be submitted every year).	
	Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).	
	Photograph, Proof of Identification, Proof of Address, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 25% of shares/capital/profits	
	Copies of the Memorandum and Articles of Association and certificate of incorporation.	
	Copy of the Board Resolution or Declaration (on the Letterhead) naming the persons authorised to deal in securities on behalf of company/firm/others and their specimen signatures for investment in securities market.	
	Authorised signatories list with specimen signatures alongwith photo.	
Partnership Firm	Copy of the balance sheets for the last 2 financial years (to be submitted every year)	
	Certificate of Registration (for registered partnership firms only).	
	Certified copy of partnership deed	
	Authorised signatories list with specimen signatures alongwith photo.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 15% of capital/profits	
Trust	Copy of the balance sheets for the last 2 financial years (to be submitted every year).	
	Certificate of registration (for registered trust only).	
	Certified copy of Trust deed.	
	List of trustees certified by managing trustees/CA.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 15% of property/capital/profits	
HUF	PAN of HUF.	
	Deed of declaration of HUF/ List of coparceners.	
	Bank pass-book/bank statement in the name of HUF.	
	Photograph, Proof of Identification, Proof of Address, PAN of Karta.	
Unincorporated association or a body of individuals	Proof of Existence/Constitution document.	
	Resolution of the managing body & Power of Attorney granted to transact business on its behalf.	
	Authorized signatories list with specimen signatures alongwith photo.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 15% of property/capital/profits	
Banks/Institutional Investors	Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.	
	Authorized signatories list with specimen signatures alongwith photo.	
Foreign Institutional Investorts (FII)	Copy of SEBI registration certificate.	
	Authorized signatories list with specimen signatures alongwith photo.	
Army/Government Bodies	Self-certification on letterhead.	
	Authorized signatories list with specimen signatures alongwith photo.	
Registered Society	Copy of Registration Certificate under Societies Registration Act.	
	List of Managing Committee members.	
	Committee resolution for persons authorised to act as authorised signatories with specimen signatures.	
	True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.	
Photograph (Passport Size)	Promoters (more than 5% stake)/ Partners/ Whole time Directors/ Authorised Persons/ Trustees/Beneficiary owners	
PAN Card	Certified photo copy of PAN Card of the Non Individual Promoters (more than 5% stake)/ Partners/ Whole time directors/ Authorised Persons	

Types of Entity	Documentary requirements	Please Tick
Bank Proof (Any One)	Bank Statement (not more than 3 months old & seal and signature of the bank official in case no latest transaction)	
	Banker's Certificate on letter head of the bank certifying the account number and date from which the account is operational	
	Cancelled Personalized (in the name of the Non Individual Applicant) Cheque leaf	
Address Proof (Any One)	For the Non Individual Applicant	
	Bank Statement (not more than 3 months old & seal and signature of the bank official in case no latest transaction)	
	Ack. Copy of the IT Return	
	Leave & License Agreement/ Agreement for sale	
	Certified copy of Form No.18 filed with the Registrar of Companies along with filing fee receipt	
	For Promoters (>5 % stake)/ Partners/ Whole time directors/ Authorised Persons/ Trustees/ Beneficiary owners	
	Unique Identification Number (UID) (Aadhaar)	
	Valid Passport (Name, Address & photo page)	
	Voter ID (front and back)	
	Valid Driving License (Name, Address & photo page)	
	Bank Passbook/ Statement (not more than 3 months old seal and signature of the bank official in case no latest transaction)	
	Banker's Certificate on letter head of the bank	
	Electricity Bill (not more than 2 months old)	
Resident Landline Tel. Bill (not more than 2 months old)		
Notarized Leave & License/ Rent Agreement/ Flat Sale Agreement		
Other* (Pls. Specify) _____		
Income Proof of the Corporate Client (Any One)	Copy of ITR Acknowledgement (for the last three years)	
	Copy of Annual Accounts (for the last three years)	
	Net worth certificate (for the last three years)	
	Bank account statement for last 6 months	
	Copy of demat account Holding statement	
Any other relevant documents substantiating ownership of assets		
Identity Proof of Promoters (more than 5% stake )/ Partners/Whole time Directors/ Authorised Persons /Trusties/ Beneficiary owners (Any One)	Valid Passport (Name, Address & photo page)	
	Voter ID (front and back)	
	Valid Driving License	
	PAN card	

\*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 | Self declaration by High Court & Supreme Court Judges giving the address in respect of their own account | The proof of address in the name of the spouse may be accepted | Ration Card | Flat Maintenance Bill | Insurance Copy | Gas Bill | 1[Identity Card or Document with address, issued by Central or State Govt. & its dept., Statutory or Regulatory Authorities, Public sector undertaking, Schedule Commercial Bank, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWA, ICSI, Bar Council etc. to their members]

## IMPORTANT INSTRUCTIONS

### GENERAL:

- Trading Account will be in the name of First/Sole holder of Demat and/or Bank A/c only
- Thumb impression and signatures other than English, Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a special Executive Magistrate
- Witness should be a person other than co-holder/ joint holder
- The applicant should authenticate any corrections/ alteration in the account opening form
- All the fields in the Form must be filled up by the applicant otherwise the Form may be rejected
- In case of Non Individual Applicant, signature shall be alongwith the Applicant's seal. Signature should be preferably in black ink.
- In case of any correction/cancellation, please provide counter signature on the left side of the page.

### BANK DETAILS:

- Cheque/DD towards Registration fees & other charges should be drawn in favour of "Ambit Capital Pvt. Ltd."
- It is mandatory to provide complete All Bank Accounts' details. In absence of complete details, form may be rejected.

## INSTRUCTIONS/GUIDELINES FOR FILLING KYC APPLICATION FORM

### General Instructions:

1. Self-Certification of documents is mandatory.
2. KYC number of applicant is mandatory for update/change of KYC details.
3. For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
4. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the list mentioned under [I].
5. If any proof of identity or address is in a foreign language, then translation into English is required.
6. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
7. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
8. Sole proprietor must make the application in his individual name & capacity.
9. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
10. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
11. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Certificate must be provided.

### A. Clarification / Guidelines on filling 'Identity Details' section

1. Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

### B. Clarification/Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

1. Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/ insurance number, citizen/personal identification/services code/number, and resident registration number)

### C. Clarification / Guidelines on filling 'Proof of Identity [PoI]' section, if PAN Card copy is not enclosed/For PAN exempt Investors

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if 'Z - Others (any document notified by the central government)' is ticked.
3. Others - Identity card with applicant's photograph issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.
4. Letter issued by a gazetted officer, with a duly attested photograph of the person.

### D. Clarification / Guidelines on filling 'Proof of Address [PoA] section

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3. Others includes - Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

### E. Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

1. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2. In case of multiple correspondence / local addresses, Please fill 'Annexure A1'
3. Others includes - Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

### F. Clarification / Guidelines on filling 'Contact details' section

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

### G. Clarification / Guidelines on filling 'Related Person details' section

1. Provide KYC number of related person if available.

### H. Clarification / Guidelines on filling 'Related Person details - Proof of Identity [PoI] of Related Person' section

1. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

### I. List of people authorized to attest the documents after verification with the originals:

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. 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).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.
6. Government authorised officials who are empowered to issue Apostille Certificates.

### J. List of people authorized to perform In Person Verification (IPV):

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (for investors investing directly).
5. In case of NRI applicants, a person permitted to attest documents, may also conduct the In Person Verification and confirm this in the KYC Form.

### K. PAN Exempt Investor Category

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.

**Know Your Client / CKYC & KRA KYC Form  
Application Form (For Non-Individuals Only)**

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

**A. Identity Details (Please see guidelines overleaf)**
**1. Name of Applicant** (Please write complete name as per Certificate of Incorporation/ Registration. Please do not abbreviate the Name). \_\_\_\_\_

**2. Date of Incorporation** DD/MM/YYYY **Place of Incorporation** \_\_\_\_\_

**3. Registration No. (e.g. CIN)** \_\_\_\_\_ **GST No.** \_\_\_\_\_

**Date of commencement of business** DD/MM/YYYY
**4. Status** Please tick (✓)  Private Ltd. Co.  Public Ltd. Co.  Body Corporate  Partnership  Trust / Charities / NGOs  HUF  FI  FII  FPI Category I  FPI Category II  FPI Category III  AOP  Bank  Government Body  Non-Government Organisation  Defence Establishment  Body of Individuals  Society  LLP  Others \_\_\_\_\_ (please specify)

**5. Permanent Account Number PAN (Mandatory)** \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card
**B. Address Details (please see guidelines overleaf)****1. Address for Correspondence**

City/Town/Village \_\_\_\_\_ Postal Code \_\_\_\_\_

State \_\_\_\_\_ Country \_\_\_\_\_

**2. Contact Details**

Tel. (Off.) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_ Mobile \_\_\_\_\_

Fax \_\_\_\_\_ E-Mail Id. \_\_\_\_\_

**3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Bank Account Statement  Registered Lease / Sale Agreement of Office Premises  Any other proof of address document (as listed overleaf). \_\_\_\_\_ (please specify)

 \*Not more than 3 months old. **Validity/ Expiry date of proof of address submitted** DD/MM/YYYY
**4. Registered Address (If different from above)**

City/Town/Village \_\_\_\_\_ Postal Code \_\_\_\_\_

State \_\_\_\_\_ Country \_\_\_\_\_

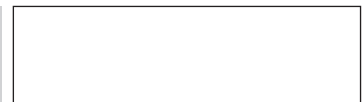
**5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Bank Account Statement  Registered Lease / Sale Agreement of Office Premises  Any other proof of address document (as listed overleaf). \_\_\_\_\_ (please specify)

 \*Not more than 3 months old. **Validity/ Expiry date of proof of address submitted** DD/MM/YYYY
**C. Other Details (please see guidelines overleaf)**
**1. Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/ Partners/ Karta/ Trustees/ whole time directors** (Please use the Annexure to fill in the details)

**2. Any other information:** \_\_\_\_\_
**DECLARATION**

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.

Place: \_\_\_\_\_ Date: \_\_\_\_\_

**NAME &  
SIGNATURE(S)  
OF AUTHORISED  
PERSON(S)**


**FOR OFFICE USE ONLY**AMC/Intermediary name **OR** code \_\_\_\_\_

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

 Seal/Stamp of the intermediary  
 should contain Staff Name/ Designation/  
 Name of the Organization/  
 Signature/ Date

## Ambit Capital Private Limited

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

Name of Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

Sr. No.	PAN	Name	DIN (For Directors)/ UID (For Others)	Residential/ Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

Name & Signature of the Authorised Signatory(ies) \_\_\_\_\_

Date : DD/MM/YYYY

PEP: Politically Exposed Person RPEP: Related to Politically Exposed Person



## COMMON AADHAAR LINKING FORM ACROSS AMBIT GROUP SERVICED PRODUCTS

**Name of the Non-Individual** \_\_\_\_\_

**PAN of the Non-Individual** \_\_\_\_\_

### Consent of Individual Authorized Signatories

I/we hereby give my/our consent in accordance with Aadhaar Act, 2016 and regulation made there under for (i) Collecting, storing and usage (ii) validating/authenticating and (iii) updating my/our aadhaar number in accordance with Aadhaar Act, 2016 and as per the amendment to the Prevention of Money Laundering (Maintenance of Records) Rules, 2005. I/we hereby give my/our consent for sharing of above aadhaar details to Ambit group companies where I/we have an account.

Details of Authorized Signatories as available in Aadhaar (Kindly use another form in case of > 6 signatories)

Sr. No.	Name of the Authorized Signatory	PAN of the Authorized Signatory	Aadhaar of the Authorized Signatory	Date of Birth of the Authorized Signatory (DD/MM/YYYY)	Mobile Number of the Authorized Signatory	Pin code of the Authorized Signatory	Gender of the Authorized Signatory (M/F/Others)	Signature of the Authorized Signatory
1								
2								
3								
4								
5								
6								

### Certificate from Company Secretary / any other competent authority of the Organization

The above specified list of personnel covers all authorized signatories on behalf of our organization and this list will supersede all our earlier Authorized Signatory List. We will let you know the changes / modifications from time to time, if any, through appropriate means. Above signatories have consented for sharing the above information with Ambit in corporate & individual capacity and also for validating the same with UIDAI wherever warranted.

For

**Company Secretary / Authorized Signatory (ies)**



3/14

**Company Seal**

**Note:** Please submit latest Board Resolution or equivalent document authorizing signatories alongwith duly filled & signed Common Aadhaar linking form."

## TRADING & DP ACCOUNT RELATED DETAILS

### For Non Individuals

A. Bank Account(s) details		
	Bank 1 (Default)	Bank 2
Bank Name:		
Branch Address:		
Bank Account No.:		
Account Type: Saving/Current/Others -In case of NRI/NRE/NRO/PIS:		
MICR Number:		
IFSC Code:		
City:		
State:		
Country:		

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO (or)
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.

B. Depository Account(s) details		
	DP 1	DP 2
Depository Participant Name:		
Depository Name (NSDL/CDSL):		
Beneficiary Name:		
DP ID:		
Beneficiary ID (BO ID):		

**Note :** Leave this field blank if you are opening DP A/c with Trading A/c.

C. Other Details (Please see guidelines overleaf)
<p><b>1. Gross Annual Income Details</b>            Please tick <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25-50 Lac <input type="checkbox"/> 50-1 Cr <input type="checkbox"/> &gt;Cr</p> <div style="border: 1px solid black; padding: 5px; margin: 5px 0;">             Net worth in Rs. (*Net worth should not be older than 1 year) _____ as on (Date) _____           </div> <p><b>2. Status :</b> Please tick (✓) <input type="checkbox"/> Private Ltd. Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust / Charities / NGOs <input type="checkbox"/> HUF <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> FPI Category I <input type="checkbox"/> FPI Category II <input type="checkbox"/> FPI Category III <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organisation <input type="checkbox"/> Defence Establishment <input type="checkbox"/> Body of Individuals <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Others _____</p> <p><b>3. Please (✓) tick, if applicable:</b> Politically Exposed Person <input type="checkbox"/> Related to a Politically Exposed Person <input type="checkbox"/></p> <p><b>4. Is the entity involved/providing any of the following services YES [ ] NO [ ]</b>            For Foreign Exchange/Money Changer Services - YES <input type="checkbox"/> NO <input type="checkbox"/> - Gaming / Gambling / Lottery Services (E.g. Casinos, Betting Syndicates) - YES <input type="checkbox"/> NO <input type="checkbox"/> - Money Lending / Pawning YES <input type="checkbox"/> NO <input type="checkbox"/></p>

### C1. TRADING PREFERECES (SIGNATURE PURPOSE):

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

Exchange	Segments	
NSE	Cash	4a/14 <input checked="" type="checkbox"/>
	Mutual Fund	4b/14 <input checked="" type="checkbox"/>
	F & O	4c/14 <input checked="" type="checkbox"/>
	Currency Derivatives	4d/14 <input checked="" type="checkbox"/>
BSE	Cash	4e/14 <input checked="" type="checkbox"/>
	Mutual Fund	4f/14 <input checked="" type="checkbox"/>

**Note:** If, in future, you wants to trade on any New Segment/ New Exchange, separate authorization/ letter will be required.

### D. PAST ACTIONS

- Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock Exchange/any other authority against the applicant/constituent or its Partners/ Promoters/ Whole-Time Directors/ Authorized Persons in charge of dealing in securities during the last 3 years: \_\_\_\_\_

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

- If Client is dealing through the Sub-Broker, provide the following details:  
 Sub-Broker's Name: \_\_\_\_\_ SEBI Registration Number: \_\_\_\_\_  
 Registered Office Address: \_\_\_\_\_  
 \_\_\_\_\_  
 Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Website: \_\_\_\_\_
- Whether dealing with any other Stock Broker/Sub-Broker (in case dealing with multiple Stock Brokers/ Sub-Brokers, provide details of all)  
 Name of Stock Broker: \_\_\_\_\_ Name of Sub-Broker, if any: \_\_\_\_\_  
 UCC (Client Code:) \_\_\_\_\_ Exchange: \_\_\_\_\_

Details of disputes/ dues pending from/ to such Stock Broker/ Sub-Broker:

### F. ADDITIONAL DETAILS

- Whether you wish to receive \*standard documents in electronic form  or physical form
- \*Rights & Obligations of stock broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading), Uniform Risk Disclosure Documents, Guidance Note, Policies and Procedures and Rights & Obligations of Beneficial Owners and Depository Participants.
- Whether you wish to receive the confirmation, account statements and any other correspondence electronically or physically? (please specify) Physical  Electronic
- Whether you wish to receive Physical Contract Note  Electronic Contract Note (ECN)   
 (please specify) \_\_\_\_\_  
 Specify your Email id, if applicable: \_\_\_\_\_
- Whether you wish to avail of the facility of internet trading (please specify): \_\_\_\_\_
- Number of years of Investment/Trading Experience: \_\_\_\_\_
- Any other information: \_\_\_\_\_
- Please specify your choice of receiving a copy of this form Physical  Electronic

**\*Exchange ID**

Name *											
*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.											
SMS Alert Facility Refer to Terms & Conditions given as (available on our website www.ambit.co)	MOBILE NO. +91 _____ [[Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option)										
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2.6 (available on our website www.ambit.co)	<p>I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I/We have read and understood the Terms and Conditions prescribed by CDSL for the same.</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST</p> <table border="1" style="width:100%; border-collapse: collapse; margin-top: 5px;"> <thead> <tr> <th style="width:33%;">Stock Exchange Name/ID</th> <th style="width:33%;">Clearing Member Name</th> <th style="width:33%;">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>		Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)									
<i>Easi</i>	To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.										

I/We instruct the DP to receive each and every credit in my/our account (If not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any further instruction from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to receive the Annual Report <input type="checkbox"/> Physical/ <input type="checkbox"/> Electronic/ <input type="checkbox"/> Both Physical and Electronic (Tick (✓) the applicable box. If not marked the default option would be in Physical)	
I/We wish to receive dividend/ interest directly in to my/or bank account as 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

I/We hereby opt for : Regular Demat Account  / BSDA Account

**G. INTRODUCTION DETAILS (Optional)**

Name of the Introducer: \_\_\_\_\_  
(Surname)
(Name)
(Middle Name)

Status of the Introducer: Sub-Broker/ Remisier/ Authorized Person/ Existing Client/ Others, please specify: \_\_\_\_\_

Address and Phone No. of the Introducer: \_\_\_\_\_

Signature of the Introducer:

# DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/ We are aware that I/We may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the Stock Broker and the Tariff Sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on Stock Broker's designated website, if any.
4. I/We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me/ us in this form. I/We further agree that any false/ misleading information given by me/ us or suppression of any material information will render my/ our account liable for termination and suitable action.

## AUTHORISED SIGNATORY



5/14

Place: \_\_\_\_\_

Date: \_\_\_\_\_

## KYC Information & FATCA-CRS Declaration - Non Individual

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

**PAN\*** \_\_\_\_\_ **Name** \_\_\_\_\_

**City of incorporation** \_\_\_\_\_

**Country of incorporation** \_\_\_\_\_

**Net Worth in INR. In Lakhs** \_\_\_\_\_ Net Worth as on DD/MM/YYYY

<b>Is the entity involved in/ providing any of these services:</b>	Foreign Exchange/ YES <input type="checkbox"/>	Gaming/ Gambling/ YES <input type="checkbox"/>	Money YES <input type="checkbox"/>
	Money Changer Services NO <input type="checkbox"/>	Lottery Services [e.g. casino betting syndicates] NO <input type="checkbox"/>	Laundrying/ Pawning NO <input type="checkbox"/>

Any other information [if applicable] \_\_\_\_\_

<b>Entity Constitution Type</b> (Please tick as appropriate)	a) Partnership Firm <input type="checkbox"/>	b) Private Limited Company <input type="checkbox"/>	c) Public Limited Company <input type="checkbox"/>
	d) Society <input type="checkbox"/>	e) AOP/BOI <input type="checkbox"/>	f) Trust / Liquidator <input type="checkbox"/>
	g) Limited Liability Partnership <input type="checkbox"/>	h) Artificial Juridical Person <input type="checkbox"/>	i) Others specify _____

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India YES  NO

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Country	Tax Identification Number	Identification Type (TIN or Other, please specify)

% In case Tax Identification Number is not available, kindly provide its functional equivalent or Company Identification Number or Global Entity Identification Number.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here \_\_\_\_\_

### FATCA-CRS Declaration

(Please consult your professional tax advisor for further guidance on FATCA classification)

PART A (to be filled by Financial Institutions or Direct Reporting NFFEs)	
1. We are a, Financial institution <sup>6</sup> <input type="checkbox"/> or Direct reporting NFFE <sup>7</sup> <input type="checkbox"/> (please tick as appropriate)	GIIN _____ <b>Note:</b> If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity _____
<b>GIIN not available</b> (please tick as applicable) <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <sup>10</sup> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Not obtained - Non-participating FI	

PART B (please fill any one as appropriate to be filled by NFEs other than Direct Reporting NFEs)	
1. Is the Entity a publicly traded company <sup>1</sup> that is, a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange _____

3. Is the Entity an active <sup>3</sup> NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please fill UBO declaration in the next section) Nature of Business _____ Please specify the sub-category of Active NFE (Mention code - refer 2c of Part D)
4. Is the Entity a passive <sup>4</sup> NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please fill UBO declaration in the next section) Nature of Business _____

<sup>1</sup>Refer 2a of Part D | <sup>2</sup>Refer 2b of Part D | <sup>3</sup>Refer 2c of Part D | <sup>4</sup>Refer 1 of Part D | <sup>7</sup>Refer 3(vii) of Part D | <sup>10</sup>Refer 1A of Part D

### UBO Declaration

**Category** (Please tick applicable category):  Unlisted Company  Partnership Firm  Limited Liability Partnership Company  Unincorporated association/ body of individuals  Public Charitable Trust  Religious Trust  Private Trust  Listed Company (Need not provide UBO details sought under)  Others (please specify \_\_\_\_\_)

Please list below the details of controlling person(s), confirming ALL countries of tax residency/ permanent residency/ citizenship and ALL Tax Identification Numbers for EACH controlling person(s).

Owner-documented FFI's<sup>5</sup> should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner/ Controlling person #Country - Tax Residency* #Tax ID No.- or functional equivalent for each country%	#Tax ID Type - TIN or Other, please specify Beneficial Interest - in percentage #Type Code <sup>11</sup> - of Controlling person	Address - Include State, Country, PIN/ ZIP Code & Contact Details
1. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Beneficial Interest _____ Type Code _____	Address _____ ZIP _____ State: _____ Country: _____
2. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Beneficial Interest _____ Type Code _____	Address _____ ZIP _____ State: _____ Country: _____
3. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Beneficial Interest _____ Type Code _____	Address _____ ZIP _____ State: _____ Country: _____

**If passive NFE, please provide below additional details.** (Please attach additional sheets if necessary)

PAN City of Birth Country of Birth	Occupation Type - Service, Business, Others Nationality Father's Name - Mandatory if PAN is not available	DOB - Date of Birth Gender - Male, Female, Other
1. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB : <u>DD/MM/YYYY</u> Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
2. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB : <u>DD/MM/YYYY</u> Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
3. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB : <u>DD/MM/YYYY</u> Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others

# Additional details to be filled by controlling persons with tax residency/ permanent residency/ citizenship/ Green Card in any country other than India:

\* To include US, where controlling person is a US citizen or green card holder

% In case Tax Identification Number is not available, kindly provide functional equivalent

<sup>4</sup>Refer 3(iii) of Part D | <sup>5</sup>Refer 3(vi) of Part D | <sup>11</sup>Refer 3(iv) (A) of Part D

**FATCA Terms and Conditions**

Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s). If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010. Please note that you may receive more than one request for information if you have multiple relationships with ABC. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

**Certification**

I/We have understood the information requirements of this Form (read along with the Instructions & Definitions) and hereby confirm that the information provided by us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA Terms and Conditions above and hereby accept the same.

Name \_\_\_\_\_

Designation \_\_\_\_\_

Signature

  
6/14

Place \_\_\_\_\_

Date DD/MM/YYYY



# TARIFF SHEET (FOR ALL EXCHANGE & SEGMENT)

## Brokerage

	1st Leg		2nd Leg (Same Day)	
	%Age	Min.	%Age	Min
Trading				
Delivery				
Derivatives				
Futures				
Options				
Option Flat				
CDS Derivatives				
CDS Futures				
CDS Options				
CDS Option Flat				
MFSS				

### Note:

The member shall charge in addition to the Brokerage mentioned herein above, other charges like Stamp Duty, Securities Transaction Tax, Goods & Service Tax, Turnover Charges, Clearing Charges etc. as may be applicable and as prescribed by SEBI/Exchange from time to time. Auction charges @ 1% of auction value will be charged.

## Charges for Depository Services through CDSL

## Charges

Charges Head	Transaction Type	
Account Charges	Account Maintenance Charges (Accounting year)	<input type="checkbox"/> Rs.2500/- Lifetime AMC <input type="checkbox"/> Normal DP Rs.1500/- AMC <input type="checkbox"/> DP for PMS Account AMC charges will be applicable as per PMS Tariff Signed by client.
Transaction Charges	On-Market	Purchase/Sale through Ambit Capital - NIL Sale transactions done through other Brokers: charges @0.03% of value (minimum Rs. 20/-)
	Off-Market (within Ambit DP)	Sale transactions - only CDSL charges on actual
	Off-Market/Inter-Depository	Sale transactions - @0.03% of value (minimum Rs. 20/-)
Pledge	Pledge Creation	
	Pledge Closure	Rs. 25/- each leg (Creation/ Closure/ Invocation)
	Pledge Invocation	
	Pledge/Un-Pledge/Invocation	@0.02% of value, minimum Rs. 25/- per ISIN outside Ambit Capital
Other Charges	Dematerialization	Rs. 5/- per certificate + Rs. 30/- towards courier charges

## Other Terms

- Stamp Duty Charges on Agreement & automated POA will be charged on actual in the first bill.
- Notary Charges on automated POA Rs. 100/- will be charged in the bill.
- Rematerialization Charges @Rs10/- per certificate plus Rs. 30/- towards courier charges.
- Any service not quoted above will be charged separately.
- GST will be charged as applicable.
- All payments to be made in the name of "Ambit Capital Pvt Ltd." via a cheque/DD.

DP ID	1	2	0	4	7	5	0	0	Client ID	0	0	0					
-------	---	---	---	---	---	---	---	---	-----------	---	---	---	--	--	--	--	--

## AUTHORISED SIGNATORY


  
7/14

## VOLUNTARY TERMS AND CONDITIONS

The following clauses are not part of model formats of Uniform Set of Documents prescribed by SEBI vide its circular number CIR/MIRSD/16/2011 dated August 22, 2011. These clauses have been added in order to ensure smooth functioning of trading and to enhance the transparency of Member-Client relation. The Client is further informed that these clauses are voluntary and at the discretion of Member and Client. The Client and the Member, in addition to Mandatory clauses, also voluntarily agree to the Terms and Conditions stated herein below. The Client is further informed that he/she/it may strike out any of these clauses, if he/she/it does not wish to accept the same.

Types of services offered: The Stock Broker agrees to provide, and the Client agrees to avail of, the following services:

a. Trading facilities for Cash Segment/ Derivatives Segment/ Currency Derivatives Segment

### 1. GENERAL TERMS AND CONDITIONS GOVERNING THE SERVICE

#### (a) COMPLIANCE WITH LAWS

- (i) All transactions that are carried out by and on behalf of the Client shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye-laws of the Exchange that may be in force from time to time, and their Clearing Houses, if any, on which such transactions are executed and / or cleared by the Member that may be in force from time to time, the Reserve Bank of India and the NSDL and CDSL, the Securities Contracts Regulation Act and the rules made thereunder, and any other applicable statutory provisions and/ Rules or Regulations. The Member is under no obligation to inform the Client of changes in these rules, regulations or guidelines.
- (ii) The Client hereby confirms that the Stock Broker has disclosed that it undertakes Proprietary trading primarily as Investments in addition to Client Based Trading
- (iii) The Client has read and understood Risk Disclosure Document issued by BSE and NSE.

The Client further confirms that they are aware of the Rules and Regulations on Prevention of Money Laundering Act (PMLA), 2002 and that

the Client has not violated any of the Rules and Regulations of the said act and hereby indemnify the Stock Broker from any liability arising from my/our transactions executed with the Stock Broker.

- (iv) The Client hereby confirms that he / she himself/ herself for none of its Directors/ Partners/ Trustees/ Promoter/ Karta/ Whole -Time Directors and/ or, Shareholders holding majority stake are/ were debarred from dealing in securities market by any statutory authority including SEBI/ NSE/ BSE. The Client also confirms that he is not the member of the any Stock Exchanges including NSE/ BSE nor he is Sub-Broker or remiser to any other member of the Exchange.
- (v) Unless otherwise agreed in writing by the Member, Client agrees and confirms that the Member and the Client shall in no circumstances be considered as persons acting in concert or as persons co-operating with each other (directly or indirectly) or as persons having a common objective or purpose of substantial acquisition of shares or voting rights or gaining control over any company, whose shares are purchased by the Member for and on behalf of and on account of the Client.
- (vi) The Client understands, agrees and confirms to provide copies of Annual Accounts, Returns or any other document that may be asked for by the Member to comply with Prevention of Money Laundering Act, 2002, as amended. If the Client fails to provide the documents, as may be required by the Member, the Member reserves the right to terminate the relationship forthwith.

#### (b) ACTING AS A SUB-BROKER

The Client agrees not to act as a Sub Broker without prior written permission of the Member and without obtaining certificate of registration from SEBI.

#### (c) DISCLAIMER

The Client agrees that all investments and disinvestment decisions are based on the Client's own evaluation of financial circumstances and investment objectives. This extends to any decision made by the Client on the basis of any information that may be made available by the Member/ Sub-Broker through its website [www.ambitcapital.com](http://www.ambitcapital.com) or through any

other media. The Client will neither hold, nor seek to hold the Member/ Sub-Broker, as the case may be, or any of its Officers, Directors, Employees, Agents, Subsidiaries, Affiliates or Business Associates liable for any trading losses, costs or damage incurred by the Client consequent upon relying on investment information, research opinion or advice or any other material/ information provided by the Member/ Sub-Broker as the case may be. The Client is aware that any information provided by the Member through any medium based on the research of the Member or other external sources is subject to variations in the stock market and is merely an estimation of the availability of certain investments. The Client should seek independent professional advice regarding the suitability of any investment decision before acting on such reports and Member shall not be liable under any circumstances for any losses, costs, charges, expenses incurred/suffered by the Client based on such reports.

(d) AUTHORISED PERSON

The Client confirms and agrees to inform to the Member in writing any change in the name of authorised representative, subject to applicable guidelines of SEBI/Exchange if any, failing which the Client shall be responsible for the trade obligations arising out of the actions of both the old representative as well as the new representative.

2. RISK DISCLOSURE

The Client confirms, declares and agrees that:-

(a) Client shall deposit with the Member such monies, securities "Fixed deposit, Bank Guarantee or any other securities as may be permitted by Exchanges", which may be required to open and/or maintain his account with the Member.

(b) All monies, securities "Fixed Deposit, Bank Guarantee or any other securities as may be permitted by Exchanges", which the Member may hold on Client's account shall be held subject to a general lien for the discharge of Client's obligations to the Member.

(c) The Client shall not exercise a long or short position where, acting alone or in concert with others, directly or indirectly the Client will have exercised in excess of the number of permitted derivatives contracts as may be fixed from time to time by the Exchange.

3. MARGINS

3.1 The Client shall make the prescribed initial margin in

the form of cash and/or in the form of securities (the "Margin") with the Member simultaneously with the opening of the Account and prior to commencement of trading. The Client shall be permitted to trade upto a predetermined number of times of the MARGIN (the "Multiple") and the quantum of the Multiple on the Margin shall be decided at sole option or discretion of the Member who shall have the irrevocable right to set off a part or whole of the Margin i.e. by way of appropriation of the relevant amount of cash or by Sale or Transfer of all or some of the Securities which form part of the margin, against any lawful dues of the Client in the event of the failure of the Client to meet any of their respective obligations under these Terms.

3.2 Any reference in these terms to Sale or Transfer of Securities by the Member shall be deemed to include Sale of Securities which form part of the Margin maintained by the Client with the Member. In exercise of the Member's Right to Sell Securities, the Client agrees that the choice of specific securities to be sold shall be solely at the Member's discretion.

3.3 The Client confirms that the Member is permitted in its sole and absolute discretion to collect additional margins (even though not imposed by the Exchange, the Clearing House or SEBI) and the Client shall be obliged to pay such margins.

(a) Margin on Purchase:

Client confirms and agrees to deposit interest-free margin as may be intimated by the Member from time to time on the price of the securities proposed to be purchased.

(b) Margins on Sales:

The Client confirms and agrees to deposit interest free margin as may be intimated by the Member from time to time on the price of securities proposed to be sold.

(c) Margins in Derivative Contracts

In the Derivative Segment/ Currency Derivatives Segment, the Client agrees to pay an initial margin upfront on or before creating a position. Such margin shall be decided upon by the Member or the Exchange from time to time. Further more, the Client is liable to pay (or receive) daily margins depending on whether the price of the Derivatives Contract moves for or against the position undertaken. The Client may also be liable to pay withholding margins, special margins or such other margins as are

considered necessary by the Member or the Exchange(s) from time to time.

(d) Mark to Market Margin in Derivative Contracts/  
Currency Derivative Contracts

For Derivative Contracts, the Client agrees that the Member shall raise bills on daily basis. The Client also agrees to pay an upfront margin at the beginning of the day that will be sufficient to cover the daily margins if at any time during the day, the cumulative Mark to Market (MTM) margin falls short of the margin available in the Client's account, the Client agrees to heed the Member's additional margin calls. As the upfront daily market margin calls are purely for operational convenience, the Client will ensure that the margins are adequate at all times and will immediately make good any shortfall that the Member may communicate.

(e) Payment through Cheque/ Demand Draft:

Client understands that in case where the payment by the Client towards the margin is made through a cheque issued in favour of the Member, trade(s) will be executed by the Member only upon the realisation of the funds of the said cheque or at the discretion of the Member. The Client agrees to mention his/her/its Client code along with his name on the reverse of any instrument through which he makes the payment to the Member. Client further understands and agrees that the Client shall prepare Demand Draft/ Pay Order out of his own funds and agrees to provide Banker Certificate and/or source of the funds in case of any request made by the Member. However, the acceptance of pay order/demand draft will be on exceptional circumstances and at the sole discretion of member based on the satisfactory explanation received from the Client regarding the source of funds.

(f) Margin in the form of Securities:

The Client may place margin with the Member in form of securities as approved by the Member. Such securities may at the discretion of the Member be marked as lien in favour of the Member from the Depository Account of the Client or such securities may be placed in a separate Depository Account of the Member. Client confirms that the Member may, at its own discretion, treat the securities lying in the Depository Account of the Client, as margin,

where the Client has executed a Power of Attorney in favour of the Member, for operating the said Depository Account.

The Client may place/ deposit only those securities, which are acceptable to the Member. If at any time, a particular security ceases to be on the list of approved securities, the Client shall provide such other margins as may be required in place of such security.

The Client agrees and authorises that the Member will determine the market value of securities placed as Margin after applying a haircut at least at the rate prescribed by SEBI/ Exchange that the Member deems appropriate. The Client's positions are valued at the latest market price available ('marked to market') on a continuous basis by the Member. The Client undertakes to monitor the adequacy of the collateral and the market value of such securities on a continuous basis. If due to price fluctuations, there is erosion in the value of the Margins, the Client agrees to replenish any shortfall in the value of the Margins immediately.

The Client understands that the Member may grant exposure to the Client at its sole discretion based on the securities purchased by the Client through the Member after paying entire purchase price and which securities are kept in the Demat Account of the Client with Power of Attorney executed by the Client in favour of the Member with a request to treat such securities as Margin.

(g) Type of Margin:

The Client confirms that the Member has a sole discretion to prescribe the payment of Margin in the form of cash instead of securities. The Client accepts to comply with the Member's Right of Payment of Margin in the form of cash immediately failing which the Member may sell, dispose, transfer or deal in any other manner the securities already placed with it as Margin or square off all or some of the positions of the Client as it deems fit in its discretion after intimation of shortfalls and debits and any resultant or associated losses/profit that may occur due to such square off/sale shall be borne by/ paid to the Client, and the Member is hereby fully indemnified and held harmless by the Client in this behalf.

(h) Margin with Exchanges/ Clearing Corporation/  
Clearing Member:

The Client agrees and authorizes that any securities placed by him/her it as Margin may

in turn be placed as Margin by the Member with the Exchanges or Clearing Corporation or Clearing House/ Clearing Member as may be permitted by Exchange/ SEBI from time to time.

#### Other Provisions:

- (i) The Client confirms and agrees that Client is responsible for all equity orders, including any orders that may be executed without the required Margin in the Client's account. If the Client's order is executed despite a shortfall in the available Margin, the Client shall, whether or not the Member intimates such shortfall in Margin to the Client, instantaneously make up the shortfall either through delivery of shares from his own Demat Account in the event of a sale, or credit the required funds in the Bank Account via RTGS or Wire Transfer or Personal Cheque, Cashier's Cheque or Money Order or Account Transfer or any other mode as may be required by the Member.
- (ii) The Client confirms that any reference in these terms to sale or transfer of securities by the Member shall be deemed to include sale of the securities, which form part of the Margin and/ or such securities of the Client which are in possession or control of the Member, maintained by the Client with the Member. In exercise of the Member's right to sell securities, the Client agrees that the choice of specific securities to be sold shall be solely at the Member's discretion.
- (iii) For the purpose the term "Dues of Client" shall include the amount of money payable to the Client including, but not limited to, the purchase price of the Securities, Brokerage, Margin Money, Service Tax, Turnover Tax, Auction Debit and Lawful Charges, Service Charge and other Lawful Amounts agreed to and payable by the Client to the Stock Broker. Any incentive, rebate, rounding of amounts, collected from the Client on account of such taxes and charges or offered by the Exchanges may not be passed on to the Client and retained by the Stock Broker.

#### Amendment in Margins

Any amendment in the percentage of Margins as required to be maintained under these Terms and Conditions, shall be intimated by the Member to the Client over the telephone or in writing and by posting the details on its website of the Member as may be intimated. The Client is required to replenish the shortfall in such Margins, if any, on demand of the same by the Member or otherwise immediately.

- (i) All margins provided by the Client shall be interest free and the Member shall not be liable to pay any interest on the same irrespective whether the same

forms part of any investment by the Member in Fixed Deposits with the Bank or in any other instrument as may be approved by the Exchange or SEBI from time to time.

- (I) In the event of any change in Margin percentage by the Exchange, the Member may change the applicable Margin percent immediately and shortfall in Margin on Client's open position as a result of the same shall be dealt with in the same manner as specified in shortfall in Margins specified here in above.

#### 4. EXECUTION OF ORDERS

- (a) The Client confirms and agrees that placing an order with the Member including a Market Order, does not guarantee execution of the order. The Member has the absolute right to reject any order that may be made by the Client for any reason such as insufficient margin, debit balance, anti-money laundering requirement/ policy, risk perceptions/ policy etc.
- (b) The Client agrees that if, under any circumstances or for any reason, the market closes before the acceptance of the order by the Exchange, the order may be rejected. The Client agrees further, that the Member may reject orders if the same are rejected by the Exchange for any reason. In case of rejection of an order due to rejection by the Exchange, the Client agrees that the order shall remain declined and shall not be reprocessed, in any event.
- (c) The Client agrees that he shall not enter into trades at unrealistic prices from the current market price or at manipulates prices or cross/ synchronized trading, etc. The Client further understands and agrees that Member shall have right to reject the orders placed by the Client and/or put circuit breakers to discourage trades getting executed at unrealistic prices from the current market price of the contracts which creates artificial liquidity or manipulates prices or to discourage Client from cross/ synchronised trading and Member shall not be liable for any loss arising out of non acceptance or rejection of the Client orders by the Member for any such reason if the Client fails to give sufficient reason for placing such orders.
- (d) The Client is aware that the Electronic Trading System either at the Exchange or in the Member's office is vulnerable to disruptions, breakdown or failures, in the event of non-execution of trade orders or trade cancellation due to the

happening of such events or vulnerabilities due to failure/ disruption/ breakdown of system or link, the Client may not be able to execute the desired transactions. In such an event the Member does not accept responsibility for the losses, costs, expenses or damages that may be incurred by the Client due to such eventualities.

## 5. CANCELLATION OR MODIFICATION OF ORDERS

The CLIENT confirms and agrees that:-

- (a) The execution of order cancellations or modifications is not guaranteed. Cancellation of orders is possible only if the original order remains pending at the Exchanges. Market orders are subject to immediate execution. The Client shall not presume that an order has been executed or cancelled or modified and the Client is required to verify the status of his/its orders with the Trade confirmations by the Member.
- (b) Unless otherwise specified by the Member, any order not executed at the end of the day shall stand cancelled.
- (c) In the event of trade cancellation due to such events or vulnerabilities, Member shall be entitled to cancel relative contract(s) with the Client. At times, due to unforeseen circumstances the Member may not be able to execute the desired transactions (either the Clients own transactions or transactions for enforcing margins as provided under this terms and conditions) on a timely basis. The Member does not accept responsibility for any losses that the Client may incur on such eventualities beyond the control of the Member.
- (d) The Member shall have Right to Reject any order based on its risk perceptions.

## 6. PAYOUT OF FUNDS

- (a) The Client agrees that the Member shall not be obliged to pay to the Client his share of money unless and until the same has been received by the Member from the Exchange, the Clearing Corporation/ Clearing House. Unless the Member otherwise determines, and subject to the Member's rights to set off and other rights as mentioned in these Terms and Conditions, the sale proceeds to be paid by the Member to the Client will be deposited in the designated account of the Client.
- (b) The Client understands and undertakes that he will give the funds from only his own Bank to

honour pay-in obligations.

- (c) At all times, the Client agrees to make the payment of funds only in the name of the Member titled "M/S. Ambit Capital Pvt. Ltd." vide a Account Payee Cheque/ Demand Draft drawn on a Scheduled Bank from his/her own account, with details of the Client code and the name of the Client mentioned on the reverse of the instrument. However, acceptance of Demand Draft is under exceptional circumstances and to the sole discretion of the Member as specified in clause.
- (d) The Client agrees that the Member shall not be responsible for any loss, damages in respect of any funds which are deposited/ transferred to any Account other than that of the Member's designated Account.
- (e) In the event of Client's Account receiving an incorrect credit/debit by reason of a mistake, the Member shall be entitled to reverse such incorrect credit/debit at any time whatsoever. The Client shall be liable and continue to remain liable to the Member for any incorrect gain obtained as a result of the same and the Member reserves the right to take such remedial measures against the Client for recovery of the erroneous credit.

## 7. MEMBER CLIENT COMMUNICATION

Change of Address and Email ID:

Unless the Client informs the Member of the change of the address and E-mail id for communication in writing, all notices, circulars, communication or mail sent to the existing address shall be deemed to have been received by the Client.

## 8. MISCELLANEOUS PROVISIONS:

(a) LIMITATION OF LIABILITY:

The Member does not guarantee, and shall not be deemed to have guaranteed, the time liness, sequence, accuracy, completeness, reliability or content of market information, or messages disseminated to the Client or the execution of the orders placed by the Client. The Member shall not be liable for any inaccuracy, error or delay in, or omissions of,

- 1) Any such data, information or messages, or
- 2) The transmission or delivery of any such data, information or messages, due either to any act or omission by the Member or to any "Force Majeure" event (e.g. flood, extraordinary we at her condition, earthquake or other any act of

God, fire, war, insurrection, riot, labour dispute, accident, action of government communication, power failure, shut down of the systems for any reason (including on account of computer viruses), equipment or software malfunction);

- 3) Cancellation or non execution of the order placed by the Client with the Member.

The Member shall not be liable for any inaccuracy, error, false statement, misrepresentation or fraud committed by third parties engaged by the Member to promote the services offered by it. The Client agrees that in case of any error or inaccuracy found or in case of any doubt about representation made by any sales or other associates or such third parties then Client will communicate with MEMBER's Head Office and confirm the same. The Client agrees that he/ she/ it will exercise due care and diligence in relying on any statements made by any person.

(b) SHARING OF INFORMATION:

The Client agrees and confirms that the member, without diluting any confidentiality obligation and sharing and information from Brokers' system, may make available Account related details to Lawyers, Consultants, Auditors, Vendors, IT software applications requirement etc.

The member hereby confirms that it will not share any Client information unless required by authority under law.

(c) TAPE-RECORDING OF CONVERSATION

The Client is aware that the Member can taperecord the conversations between the Client's representative and the Member, either personally or over the telephone, and hereby specifically permits the Member to do so. Such recordings may be relied upon by the Member as and when required to resolve disputes in connection with the trading transactions.

(d) CONCLUSIVENESS OF RECORDS

The Member's own record of the trades/transactions maintained through computer systems or otherwise shall be accepted by the Client for all purposes.

(e) ASSIGNMENT:

The Client confirms and agrees that Client shall not assign or transfer all or any of its Rights or Obligations.

(f) SEVERABILITY:

The Client confirms and agrees that in case anyone or more of the Terms and Conditions confirmed by the Client becomes invalid, illegal or unenforceable

in any respect under any law, the validity, legality and enforceability of the remaining provisions contained herein shall not in anyway be affected or impaired thereto.

9. MUTUAL FUND SERVICE SYSTEM FACILITY / BSE STAR MF:

Client is registered with Ambit Capital Pvt. Ltd. and has executed Know Your Form and certain other documents for the purpose of trading in securities market on the recognized Stock Exchange (herein after referred as "Exchange"). In case client opts for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the SEBI recognized Stock Exchanges (Mutual Fund Transaction Facilities). Know Your Client details as submitted by the client for the stock broking shall be considered for the purpose of Mutual fund transaction facilities and abide by the terms and conditions as mentioned in the circulars as may be specified by the Exchanges from time to time in this regard. Client shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). Client shall read & understand the contents of the Scheme Information Document and Key Information Memorandum, addendum issued regarding each Mutual Fund Schemes with respect to which client choose to subscribe / redeem. Client further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. Client confirm to have read & understood the terms & conditions for using Mutual Fund transaction facility as stated in KYC handout (customer copy). Client is aware that he/she can transact directly with the AMC without recourse to Distributor's name at any time under the folio(s) tagged with the Distributor's name/ broker code. The Client agrees and authorizes Ambit as distributor of mutual funds to communicate on his/her behalf with the AMCs for financial and/or non-financial transactions including for receiving investment details from the AMC.

10. ADDRESS FOR COMPLAINT/ INVESTOR GRIEVANCES AND COMMUNICATION:

The Client understands and confirms to send all the Complaints and queries in case of any grievance or complaint arising out of and in the course of trading in securities on the email address at [investorgrievance@ambitcapital.com](mailto:investorgrievance@ambitcapital.com). Alternatively, the Client shall send the written complaint marked to Investor Grievance

Cell, Ambit Capital Pvt. Ltd., Ambit house, 449, Senapati Bapat Marg, Lower Parel, Mumbai 400013, Maharashtra.

11. DISPUTE RESOLUTION

The Client agrees and confirms that except for the claims/disputes which are subject to the Rules and Regulations of the respective Exchanges on which the trades have been executed, any and all claims and disputes arising out of or in connection with the trading account or its performance shall be settled by arbitration by a single arbitrator to be appointed by the Member. The arbitration shall be governed by the provisions of the Arbitration and Conciliation Act, 1996.

12. JURISDICTION

(a) The Member and the Client declare and agree that the transactions executed on the Exchange are subject to the Rules, Bye-laws and Regulations and Circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Bye-laws and regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the Circulars issued thereunder.

(b) The Member hereby agrees that it shall ensure

faster settlement of any arbitration proceedings arising out of the transactions entered into between the Member and the Client and that it shall be liable to implement the arbitration awards made in such proceedings.

13. PROPRIETARY TRADING:

The Client confirms and acknowledge that the Member undertakes Proprietary Trading in addition to Client-based trading. The Client confirms having read and understood the terms and conditions and those relating to various services and products and accepts and agrees to be bound by the terms and conditions including those excluding / limiting the Member's and Exchanges' liabilities.

14. TERMINATION OF VOLUNTARY TERMS:

The Client may terminate this confirmation/document at any time by giving a prior notice of 30 days to Member. Provided however that all the obligations of the Client prior to the Termination of Voluntary Terms shall continue to subsist.

15. SUPPLEMENTAL TO MANDATORY RIGHTS AND OBLIGATIONS:

These terms and conditions are supplemental to, and does not supersede, the Right and Obligations.

**DISCLAIMER**

I/We, \_\_\_\_\_, (herein after referred to as "Client") voluntarily and unconditionally hereby state and declare that I/We have read and understood the voluntary Terms and Conditions mentioned herein above governing the services of Ambit Capital Pvt. Ltd. (hereinafter referred to as "Member" or "Stock-Broker") and agree to be bound by the same.



8/14

Date : \_\_\_\_\_

Place : \_\_\_\_\_



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## VOLUNTARY RUNNING ACCOUNT AUTHORISATION LETTER

To,  
**Ambit Capital Pvt. Ltd.**  
Ambit House, 449, Senapati Bapat Marg,  
Lower Parel, Mumbai - 400 013

**Subject: Collection of Payments and Delivery of Securities/Funds Voluntary Authorization  
for Running Account maintenance.**

**Ref.: Client Code No.:** \_\_\_\_\_

Dear Sir/Madam,

This is in reference to your instructions on the above matter

I/We am/are one of the Clients registered with you for executing my/our Trades from time to time in the capital market segment, F&O segment and Currency Derivatives of NSE and BSE.

I/We would like to state that I/We have regular business operations with you and I/We have at times credit balances with you and I/We appreciate that you are ensuring to repay me/us as per the normal terms and the regulations of The Stock Exchange. However, I/We, am/are also required to make payments to you as per my/our further transactions for purchase of shares or margin requirements. Therefore to suit my/our convenience in business transactions, operations, you may treat my/our Credit Balance as funds provided to you on account and you are hereby authorized to utilize the said funds for the said purpose or keep in trust for me/us with you. Under this arrangement at my/our specific request, I/We shall not claim any interest on the Funds and Securities kept in Running Account with you.

I/We also request to hold the securities on my/our behalf as I/We am/are not in position to collect it from you and again give deliveries at appropriate time.

These instructions on my/our behalf may be treated as standing instructions unless otherwise cancelled/revoked by me/us at any time. The revocation of this authorization is effective once a written revocation request is received by you at your Registered Office.

I/We agree and authorize you to settle the Funds and Securities atleast once in a calendar quarter/ month as specified by me/us below. However, in case of outstanding obligations in the Capital Market Segment/ F&O segment/ Currency Derivative Segment on the settlement date, you shall retain requisite Securities/ Funds towards such outstanding obligations and may also retain the funds expected to be required to meet margin obligations for next five trading days or upto Rs. 10000/- by regulatory authority from time to time.

Quarterly  Monthly

I/We agree to bring any dispute arising from the Statement of Account or settlement so made to your notice preferably within 7 days from the date of receipt of Funds/ Securities or Statement as the case may be.

Consequent upon the execution of my/our trades, I/We have to either pay/ receive Funds and/or Securities depending upon the trades executed. In the event, I/We have to receive Funds/ Securities from you upon receipt of pay out from the Exchanges, I/We hereby authorize you to retain the payout received from the Exchanges, in the form of funds and/ or securities, towards margin/transfer to Exchange, Bank, Stock Broker or any other PCM towards Capital Market Segment Margin/ F&O Margin/ and/or pay-in obligation that may arise for my/our ongoing transactions with you from time to time for any segments in any of the Exchanges.

The above authorization is not with standing the fact that you are required to make the payment of Funds and/or Transfer Securities to my/our Account within one working day from the declaration of payout from the Clearing Corporation.

You are requested to follow the above mentioned standing instructions until further written notice.

Thanking you

Name : \_\_\_\_\_

Date : \_\_\_\_\_

  
9/14

# VOLUNTARY DOCUMENT - POWER OF ATTORNEY

TO ALL OF WHOM THESE PRESENTS SHALL COME I / WE, \_\_\_\_\_, (hereinafter referred to as the "The Client") (which expression shall unless repugnant to the context or meaning hereof include his/its nominees/heirs/executors/administrators/ successors and assign) as an individual/ partnership firm/ trust/ AOP/ a Company incorporated under the Companies Act, 1956, son/ daughter/ spouse of \_\_\_\_\_ having address/ Registered Office at \_\_\_\_\_, SEND GREETINGS:

**WHEREAS**

- (i) I/ We am/ are an investors / traders engaged in the buying and selling of securities through Ambit Capital Private Limited, a member of Bombay Stock Exchange Ltd., bearing SEBI registration No. INB011247633 and a member of The National Stock Exchange of India Limited, bearing SEBI registration No. INB231247637.
- (ii) Whereas due to exigency and paucity of time, I/we am/are desirous of appointing an agent / attorney to operate the beneficiary demat account (referred to in Schedules) on my / our behalf for the purpose mentioned hereinafter.
- (iii) I/We am/are sufficiently entitled and duly regarded as the Owner and/or registered as the holder of certain shares, debentures, bonds and other marketable securities lying in the depository accounts, details whereof are given in the Schedule I hereto ("the said securities") which expression shall mean and be deemed to include all the additional/other shares / bonds / debentures and other marketable securities from time to time delivered or handed over or transferred by us or on our behalf as also those securities handed over or transferred in lieu or in addition to or in substitution of any of the said securities;
- (iv) Ambit Capital Pvt. Ltd (ACPL or Ambit or Stock Broker) having its office at Ambit House, 449, Senapati Bapat Marg, Lower Parel. Mumbai 400 013 is registered as Trading Member with Bombay Stock Exchange (registration/membership No. INB011247633) and National Stock Exchange (registration/membership No. INB231247637) for cash market segment and for derivatives market segment (F & O) registered with National Stock Exchange (registration/membership No. INF231247637) and also registered as Depository Participant (DP) with CDSL/NSDL (registration / membership No.12047500) (hereinafter referred as 'Ambit') I / We have opened a trading account & DP account with Ambit.
- (v) I/We am/are beneficial owner(s) of account(s) held by me/us with Ambit as Depository Participant, the detail whereof are given in Schedule I hereto. I/We have also taken note of certain demat accounts of Ambit, the details whereof are given in schedule hereto, which may be used by Ambit for interse transfer of securities from my/our demat accounts to the aforesaid demat accounts of Ambit.
- (vi) Ambit has agreed to clear and settle my / our obligations arising out of our dealings in the Securities in Capital Market Segment or Derivatives Segment of The National Stock Exchange of India Limited (NSE) and / or The Bombay Stock Exchange ( BSE) (hereinafter referred to as the "Exchange") on the terms and conditions agreed with the client.
- (vii) One of the terms and conditions of the above clearing and settlement of obligations, is that the due payment of the principal amount payable to Ambit together with interest, charges and other mon- ies payable by the Trading Member shall be secured by transfer of the said securities in favour of Ambit on the understanding that the said securities shall be re-transferred to the Trading Member on the full repayment and discharge by the Trading Member of all its obligations in respect of the dealings on the Derivatives segment of the Exchange and further that all costs incurred for and arising out of the same shall be to the account of the Trading Member;
- (viii) I / We are desirous of executing in favour of Ambit, a Power of Attorney authorising Ambit interalia to deal with the said securities and exercise all rights in the manner hereinafter appearing.

3RD HOLDER

2ND HOLDER


1ST HOLDER


10/14


**1ST HOLDER**

**2ND HOLDER**

**3RD HOLDER**

  
11/14





NOW KNOW ALL AND THESE PRESENTS WITNESS that, I/we for myself / ourselves and my / our heirs, executor, administrators and I or successors, do hereby nominate, constitute and appoint Ambit (hereinafter referred to as "the said Attorney"), to be my I our true and lawful attorney for me I us, in my I our name and on my/our behalf and at my I our cost and risk to from time to time do, execute and perform all or any of the following acts, deeds, matters and things, and exercise all or any of the following powers and authorities and continue to do so, until this Power of Attorney is revoked by melus by giving a written notice and is duly acknowledged by Ambit, that is to say:

1. To transfer the said securities or any of them to the name of Ambit to meet the Stock Exchange related margin/delivery obligation arising out of trades executed on my/our behalf by Ambit and for the aforesaid purpose endorse the same or sign and execute all transfer instruction slips, contracts, declarations, and rectify, remedy and remove any defect in any instruments and writings as may be necessary or expedient for giving delivery thereof;
2. To provide limits for trading/margin based on the securities in the designated demat accounts, to create pledge on the said securities/transfer the said securities to the designated demat account of Ambit inter alia for the purpose of meeting margin requirements in respect of the trades executed by Ambit on the Stock Exchange on our behalf and for this purpose sign the pledge form, transfer instruction slips and other documents and do all such acts as may be necessary to effect pledge / sale of such Securities in favour of Ambit. Provided that necessary audit trail shall be maintained by Ambit for such transactions and made available to me I us on my I our request.
3. To apply for various products like mutual funds, public issues (shares as well as debentures), rights, offer of shares, tendering shares in open offer etc. pursuant to my/our instructions. Provided that a proper audit trail shall be maintained by Ambit to prove the necessary application or act done pursuant to receipt of instruction from melus.
4. To debit securities and I or to transfer securities from my I our DP account for the purpose of delivering the same to the clearing house of the recognized Stock Exchange toward any segment in respect of securities sold by me I us through Ambit.
5. To apply, demand and receive all interests, dividends, warrants, letters of offer, duplicate share certificates, maturity proceeds of non-convertible debentures, preferential allotments, split shares, endorsed share certificates and all accretions to the said securities whether by way of bonus or rights or otherwise and to sign and execute proper receipts and give valid and effectual discharges for, or in relation to the same; Provided that Ambit shall return to me/us the securities or fund that may have been received by Ambit erroneously or those securities or fund that Ambit was not entitled to receive from me/us.
6. To send consolidated summary of scrip-wise buy and sell positions taken by melus with average rates by way of SMS / email on a daily basis notwithstanding any other document that may be disseminated as specified by SEBI from time to time.
7. To retain all originals of the documents executed by me I us.
8. Additional Point 8. "POA can be revoked at any time."

My attorney Ambit shall not be liable for any loss that may result from failure / inability in electronic connectivity or rejection of my/ our application for any reason beyond its control.


For the better doing / performing and executing all the matters and things aforesaid I/we hereby further grant into the said Attorney's full power and authority to substitute and appoint one or more employee of Ambit as authorised signatories to exercise for melus all powers and authorities hereby conferred.

AND GENERALLY to do, perform and execute all acts, deeds, matters and things relating to or connecting or touching these presents as fully and effectually as if I/ we were personally present and had done, performed or executed the same myself / ourselves.

AND I/We further agree and confirm that the revocation of this Power of Attorney shall not prohibit Ambit to exercise the powers and authorities granted by this POA with respect to matters/actions/ transactions carried out/concluded prior to or on the day of acknowledgement of such written notice of revocation by Ambit.

AND I/WE, hereby agree to ratify all lawful acts and things done by the said Attorney in pursu- ance of the powers herein contained.


**1ST HOLDER**

  
12/14

**2ND HOLDER**



**3RD HOLDER**



**SCHEDULE I ABOVE REFERRED TO:** (Details of beneficial owner(s) account(s)) with Ambit)


**DEPOSITORY ACCOUNT WITH AMBIT (DP ID 12047500)**

Sr.No.	Name of Beneficial Owner(s)	Client ID No.	Name of the Depository (CDSL/NSDL)
1.		12047500	
2.			

SR. No.	Name of the Account Holder	DP ID	CLIENT ID NO	REMARK
1	Ambit Capital Pvt. Ltd. (ACPL)	12047500	1204750000002144	CDSL - BSE PRINCIPAL A/C
2	ACPL	12047500	1204750000002159	CDSL - BSE CM POOL A/C
3	ACPL	12047500	1204750000002182	CDSL - NSE CM POOL A/C
4	ACPL		IN630818	NSDL - BSE CM POOL A/C
5	ACPL		IN513422	NSDL - NSE CM POOL A/C
6	ACPL	12047500	1204750000031414	CDSL - CUSA A/C
7	ACPL	12047500	1204750000039924	CDSL - Margin Pledge- Unpledge A/C
8	ACPL	IN301348	20132845	NSDL - CUSA A/C
9	ACPL	IN301348	20154842	NSDL-Margin Pledge-Unpledge A/C
10				

IN WITNESS WHEREOF I/We have hereunto set and subscribed our respective hands to this writing on the day of \_\_\_\_\_, 20\_\_\_\_\_.

**1ST HOLDER**

  
13/14

**2ND HOLDER**



**3RD HOLDER**



**Witnesses:**

1) Name: \_\_\_\_\_ Signature :



Address: \_\_\_\_\_

\_\_\_\_\_

2) Name: \_\_\_\_\_ Signature :



Address: \_\_\_\_\_

\_\_\_\_\_

For Notary Stamp

**OPTION FORM FOR ISSUE OF DIS BOOKLET**

Date   D  D/M  M/YYYY  

DP ID	1	2	0	4	7	5	0	0	Client ID	0	0	0				
First Holder Name																
Second Holder Name																
Third Holder Name																

To,  
**Ambit Capital Pvt. Ltd.**  
 Ambit House, 449, Senapati Bapat Marg,  
 Lower Parel, Mumbai - 400 013

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

**OPTION 1:**




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

**OR**

**OPTION 2:**

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

Yours faithfully

	First/ Sole Holder	Second Holder	Third Holder
Name			
Signature	 12/14		

# ACCOUNT CLOSURE REQUEST FORM

# Annexure 10.1

Application No.											Date :	D	D	M	M	Y	Y	Y	Y
Closure Initiated by	<input type="checkbox"/> BO			<input type="checkbox"/> DP			<input type="checkbox"/> CDSL												

(To be filled by the BO (in case of BO-initiated closure). Please fill all the details in **Block Letters** in English)

To,  
**Ambit Capital Private Limited**  
 449, Ambit House, Senapati Bapat Marg,  
 Lower Parel, Mumbai - 400013.

Dear Sir/ Madam,

I/We the Sole Holder/ Joint Holders/Guardian (in case of Minor)/ Clearing Member request you to close my/our account with you from the date of this application. The details of my/our account are given below:

Account Holder's Details																	
DP ID										Client ID							
Name of the First/ Sole Holder																	
Name of the Second Holder																	
Name of the Third Holder																	
Address for Correspondence																	
City						State						PIN					

Details of remaining security balances in the account (if any)																	
Reasons for Closing the Account																	
Balance remaining in the account (if any) to be :																	
<input type="checkbox"/> partly rematerialised and partly transferred. <input type="checkbox"/> Rematerialised																	
<input type="checkbox"/> Transferred to another account (Number given below) <input type="checkbox"/> Not applicable																	
DP ID										Client ID							
Balance present in account for (To be filled by DP, if applicable)										<input type="checkbox"/> Ear - marked				<input type="checkbox"/> Pledged			
										<input type="checkbox"/> Pending for Dematerialisation				<input type="checkbox"/> Frozen			
										<input type="checkbox"/> Pending for Rematerialisation				<input type="checkbox"/> Lock-in			

### DECLARATION: In case of Account Closure due to SHIFTING OF ACCOUNT:

I/We declare and confirm that all the transactions in my/our demat account are true/ authentic.

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature *			

\*If DP or CDSL initiates account closure, Signature(s) of account holder(s) not required.

XXX (Please Tear Here) XXX

### Acknowledgement Receipt

Application No.

Date :

We hereby acknowledge the receipt of the your instruction for Closing the following Account subject to verification:-

DP ID										Client ID							
Name of the First / Sole Holder																	
Name of the Second Holder																	
Name of the Third Holder																	
Reason for Closure																	

### Depository Participant Seal and Signature

#### Instructions to Account Holder(s)

- Submit a duly-filled RRF if the balances are to be rematerialized.
- Submit a duly-filled Delivery Instruction Slip [DIS] (off market instruction slip) if the balances are to be transferred to another Account. This requirement is not applicable in the case of "SHIFTING OF ACCOUNT".

## ACKNOWLEDGEMENT (OFFICE COPY)

### Ambit Capital Private Limited

Ambit House, 449, Senapati Bapat Marg, Lower Parel, Mumbai - 400 013,

India Phone: +91-22-6623 3000 Fax: +91-22-6623 3102

Date: \_\_\_\_\_

Form No.: \_\_\_\_\_

Dear Sir/Madam,

We hereby acknowledge the receipt of the Account Opening Application form, received from Mr./Ms \_\_\_\_\_ as the Sole/ First holder.

Your DP ID and/ or trading code will be intimated to you once your account gets opened successfully.

Initial cheque details: Amount : \_\_\_\_\_ Cheque No.: \_\_\_\_\_

Bank Name : \_\_\_\_\_ Date of Cheque : \_\_\_\_\_

<b>Entity Name</b>	
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**AMBIT CAPITAL PRIVATE LIMITED**

**I/We confirm receipt of DP/ Trading Form**

  
 14/14

**DP & Trading Member Seal and Signature**

You may contact us at : +91-22-66233000 • Email : accountinfo@ambitcapital.com

**FOR OFFICE USE ONLY (TO BE FILLED BY RELATIONSHIP MANAGER)**

UCC Code allotted to the Client: \_\_\_\_\_

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

I/We undertake that I/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.

Date: \_\_\_\_\_

**Seal/Stamp of the Stock Broker/ DP**

**IMPORTANT:** Password for your account will be sent on your registered email ID only, login ID and alerts on mobile no. as mentioned in KYC form.



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The Ambit identity© comprises an abacus - in the shape of the letter 'A' - a simple yet powerful tool that helps users perform complex mathematical equations at high speeds. At Ambit, the business tool we use in our acumen.