



AFFINITY SECURITIES PRIVATE LIMITED



Members of :

- National Stock Exchange of India Limited (NSE)
- BSE Limited (BSE)
- Metropolitan Stock Exchange of India Limited (MSEI)
- Multi Commodity Exchange of India Limited (MCX)

Exchange	TM ID
■ NSE	90003
■ BSE	5159
■ MSEI	11140
■ MCX	56305

CLIENT REGISTRATION FORM

CLIENT NAME

CLIENT CODE

BRANCH CODE



AFFINITY SECURITIES PRIVATE LIMITED

Registered & Correspondence Office address:

Shaila Tower, 9th Floor, Room No. 903, J1/16 EP & GP Block, Salt Lake, Sector-V, Kolkata - 700 091
Telefax : +91 33 4004-2356, Email : customercare@theaffinity.in, Website : www.theaffinity.in
CIN : U67190WB2010PTC153468

	Name	Phone Number	Email Id
Compliance Officer	Sandip Kumar Singh	+91 33 4004 2356	sandipsingh@theaffinity.in
Managing Director	Manish Chandak	+91 33 4004 2356	manishchandak@theaffinity.in

SEBI REGISTRATION NUMBER & DATE

Single Registration for all Exchanges	INZ000181836 (19.06.2018)
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For any grievance/dispute please contact us at the above address or email id - 'customercare@theaffinity.in' or call us at above mentioned numbers. In case not satisfied with the response, please contact the concerned exchanges(s)

Exchange	Contact Details
NSE	Investor Services Cell, National Stock Exchange of India Ltd, Exchange Plaza, Plot No. C/1, G Block, Bandra-Kurla Complex Bandra (E) Mumbai - 400 051. Email id- ignse@nse.co.in , Ph: +91 22 26598190.
BSE	Department of Investors Services (DIS), Bombay Stock Exchange Ltd, P J Towers, Dalai Street, Mumbai - 400 001. Email id- is@bseindia.com , Ph: +91 22 22721233/22728097.
MSEI	Investor Services Centre, Metropolitan Stock Exchange of India Ltd., Vibgyor Towers, 4th Floor, Plot No. C 62, G - Block, Opp. Trident Hotel, Bandra, Kurla Complex, Bandra (E), Mumbai - 400 098. Email id- investorcomplaints@msei.in , Ph: +91 22 61129028.
MCX	Investor Services Dept., Multi Commodity Exchange of India Ltd., CTS No. 255, Exchange Square, Suren Road, Andheri East, Mumbai - 400093. Email id- grievance@mcxindia.com , Ph: +91 22 66494070.

Details of Clearing Member

(For NSE-F&O, BSE-F&O and MSEI-F&O Segments only)	(For MCX-Commodity Segment only)
SMC GLOBAL SECURITIES LTD., 11/6B, Shanti Chambers, Main Pusa Road, New Delhi - 110 005. Phone: +91 11 3011-1000, Fax: +91 11 2575-4365. Email id: smc@smcindiaonline.com Website: www.smcindiaonline.com SEBI Regn. No. INZ000199438 (Dt. 12.09.2018)	SMC COMTRADE LTD., 11/6B, Shanti Chambers, Pusa Road, New Delhi - 110 005, Phone: +91 11 3011-1000, Fax: +91 11 2575-4365, Email id: smc@smcindiaonline.com , Website: www.smctradeonline.com , SEBI Regn. No. INZ000035839 (Dt. 22.03.2016)

Disclosure of Proprietary Trading

We, AFFINITY SECURITIES PRIVATE LIMITED, are also engaged in proprietary trading apart from client based business.

SIGNATURE OF CLIENT TO BE OBTAINED ON FOLLOWING PAGES

Type of Client	Pages on which signature is required	No. of signature
INDIVIDUAL		
Resident Individual (Major)	Pg. no. 1,2,8,10,12,16 to 27, 38	20
Resident Individual (Minor)	Pg. no. 1,2,8,10,12, 16 to 27, 38	20
Non-Resident Indian	Pg. no. 1,2,8,10,12, 16 to 27, 36 to 38	22
NON-INDIVIDUAL		
HUF	Pg. no. 4,6,8,10,14 to 28, 33, 34, 38	25
Partnership Firm	Pg. no. 4,6,8,10,14 to 28, 38	23
Body Corporate	Pg. no. 4,6,8,10,14 to 28, 38	23
SIGNATURE OF CLIENT'S INTRODUCER		
Any type of account	Pg. no. 9	1
SIGNATURE OF GUARDIAN		
Minor	Pg. no. 10, 34	2

Sl. No.	Name of documents and its brief significance	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES		
1	Account Opening Form <ul style="list-style-type: none"> ● KYC Form - Document captures the basic information about the constituent and an Instruction/checklist. - Document captures the additional information about the constituent ● FATCA/CRS Declaration Form 	1-15
2	Policies and Procedures Document describing significant policies and procedures of the stock/commodity broker	16-18
3	Tariff Sheet Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock/commodity exchange(s).	19
4	Consent form for receiving trade alerts through SMS and / or E-mail The document deals with the option for receiving transaction alerts through SMS and/or Email from Exchange(s).	20

Note: Standard Mandatory Documents viz. Rights & Obligations of Stock Broker, Authorized Person and Client for trading on exchanges, Uniform Risk Disclosure Documents, and Guidance Note detailing Do's and Don'ts for trading, are available in physical/electronic mode as per your choice marked in on Page 9.

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER/ TRADING MEMBER

1	Authority Letter for Running Account The Documents deals with an option given to client to settle their obligation towards funds and securities and/or commodities on a running basis and settle the same at monthly/quarterly interval at client discretion.	21
2	Letter of Understanding The document contains various authorizations and standing instruction given by Client	22-23
3	Information provided by client in relation to the PML Act, 2002 The document deals with other additional information to be provided by the client in relation to Prevention of Money Laundering Act, 2002	24
4	Declaration for Electronic Contract Note (ECN) The Documents deals with the clauses relating to issue of electronic contract notes.	25
5	Mandate to issue Contract Notes and other documents in Electronic format The documents deals with the clauses relating to issue of Contract Notes, daily margin statement, quarterly statement and other documents in electronic format.	26
6	Consent Letter for Balance and Trade Alert through SMS Facility The document is meant to enable mobile alert facility i.e. any information/alert/SMS/call.	27
7	Declaration of Ultimate Beneficial Ownership Document deals with identification of beneficial owner of the Non-Individual Constituent	28-29

ANTI MONEY LAUNDERING / COMBATING FINANCING OF TERRORISM

8	AML/CFL – Literature The Document gives an overview of what is Money Laundering, its objectives, its effect on economy and society and local regulations to fight Money Laundering.	30-32
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FORMATS OF ANNEXURES

9	Declaration in case of HUF Account Declaration by Guardian Declaration by Partnership Firm Board Resolution for Corporate Share Holding Pattern for Corporate Declaration in case of Non-Resident Individual (NRI) Account Terms and Conditions in derivatives in case of Non-Resident Individual (NRI) Account	33-37
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INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or

Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

AFFINITY SECURITIES PRIVATE LIMITED

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

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- d) For particular section update, please tick(✓) in the box available before the section number and strike ffo the sections not required to be updated.



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

1. PERSONAL DETAILS

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others	<input type="text"/>	
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector)	
	<input type="checkbox"/> O-Others (<input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)	
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorized			

PHOTO

(1)

2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA

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

3. PROOF OF IDENTITY (PoI)*

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

<input type="checkbox"/> A- Passport Number <input type="text"/>	Passport Expiry Date <input type="text"/>
<input type="checkbox"/> B- Voter ID Card <input type="text"/>	
<input type="checkbox"/> C- PAN Card <input type="text"/>	
<input type="checkbox"/> D- Driving Licence <input type="text"/>	Driving Licence Expiry Date <input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar) <input type="text"/>	
<input type="checkbox"/> F- NREGA Job Card <input type="text"/>	
<input type="checkbox"/> Z- Others (any document notified by the central government) <input type="text"/>	Identification Number <input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type <input type="text"/>	Identification Number <input type="text"/>

4. PROOF OF ADDRESS (PoA)*

4.1 CURRENT/PERMANENT/OVERSEAS ADDRESS DETAILS

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

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

Address

Line 1*
 Line 2
 Line 3 City /Town / Village*
 District* Pin / Post Code* State / U.T Country
 Validity / Expiry Date of proof of address submitted / /

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

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- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for tie directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- 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.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

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

- Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

Residence/Driving License/Flat Maintenance bill/Insurance Copy.

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill-Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- 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.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below :

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> * 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, POL POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations * Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly * Copies of the Memorandum and Articles of Association and certificate of incorporation * Copy of the Board Resolution for investment in securities market * Authorised signatories list with specimen signatures
Partnership firm	<ul style="list-style-type: none"> * Copy of the balance sheets for the last 2 financial years (to be submitted every year) * Certificate of registration (for registered partnership firms only) * Copy of partnership deed * Authorised signatories list with specimen signatures * Photograph, POI, POA, PAN of Partners
Trust	<ul style="list-style-type: none"> * Copy of the balance sheets for the last 2 financial years (to be submitted every year) * Certificate of registration (for registered trust only). Copy of Trust deed * List of trustees certified by managing trustees/CA * Photograph, POI, POA, PAN of Trustees
HUF	<ul style="list-style-type: none"> * PAN of HUF * Deed of declaration of HUF/List of coparceners * Bank pass-book/bank statement in the name of HUF * Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> * Proof of Existence/Constitution document * Resolution of the managing body & Power of Attorney granted to transact business on its behalf * Authorized signatories list with specimen signatures
Banks/Institutional Investors	<ul style="list-style-type: none"> * Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years * Authorized signatories list with specimen signatures
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> * Copy of SEBI registration certificate * Authorized signatories list with specimen signatures
Army/Government Bodies	<ul style="list-style-type: none"> * Self-certification on letterhead * Authorized signatories list with specimen signatures
Registered Society	<ul style="list-style-type: none"> * Copy of Registration Certificate under Societies Registration Act * List of Managing Committee members * Committee resolution for persons authorised to act as authorised signatories with specimen signatures * True Copy of Society Rules and Bye Laws Certified by the Chairman/Secretary

ANNEXURE-A

**DETAILS OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS AND
PERSONS AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF COMPANY / FIRM / OTHERS FORMING
A PART OF KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS**

Name of the Applicant: _____

PAN No. of the Applicant: _____

Particulars	1st Signatory	2nd Signatory	3rd Signatory
Name			
Residential / Registered address with City, State and Pin code			
Telephone No.			
Designation/Relationship with Applicant (i.e. promoters, whole time directors etc.)			
Qualification			
Experience			
Income Tax No. (PAN/GIR) DIN No.* (For Directors) UID/Aadhaar No. (For Others) Passport No. Voter ID No. Ration Card No.			
Equity Stake (%)			
Name of Bank			
Savings / Current A/c No.			
Address of the bank with City, State and Pin code			
Whether Politically Exposed Person	<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
Photograph of the Signatory			

* Mandatory

Name of the Authorised Signatory: _____

Signature with Seal: _____

Note : Please use additional sheet, if necessary.

PEP : Politically Exposed Person **RPEP :** Politically Exposed Person

Date : ___/___/___

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TRADING ACCOUNT RELATED DETAILS**FOR INDIVIDUAL & NON-INDIVIDUAL****A. OTHER DETAILS**

Gross Annual Income Details (please specify) : Income Range per annum :

 0-1 Lacs 1-5 Lacs 5-10 Lacs 10-25 Lacs >25 Lacs

Networth as on (date)/...../..... (dd/mm/yyyy) Rs.(*Net worth should not be older than 1 year)

Occupation (For Individuals only) (Please tick anyone and give brief details):

 Private Sector Public Sector Government Sector Business Professional
 Agriculturist Retired Housewife Student Others (please specify).....

Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors : (Please refer Annexure -A)

DIN/UID of Promoters / Partners / Karta and Whole Time Directors : (Please refer Annexure -A)

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:

 Politically Exposed Person (PEP) Related to a Politically Exposed Person (RPEP)

Any other information

B. BANK ACCOUNT(S) DETAILS (Through which transactions will be routed & for dividend)1. Bank Name:
 1. Bank Name: _____
 Branch Name: _____
 Branch address: _____
 Bank Account No. _____
 Account Type: Savings Current Others – In case of NRI/NRE/NRO _____
 MICR No. _____ IFSC Code: _____

 2. Bank Name: _____
 Branch Name: _____
 Branch address: _____
 Bank Account No. _____
 Account Type: Savings Current Others – In case of NRI/NRE/NRO _____
 MICR No. _____ IFSC Code: _____
C. DEPOSITORY ACCOUNT(S) DETAILS
 1. DP Name: _____ DP Type NSDL CDSL
 Beneficiary Name: _____
 DP ID: _____ BO ID: _____

 2. DP Name: _____ DP Type NSDL CDSL
 Beneficiary Name: _____
 DP ID: _____ BO ID: _____

D. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. The segment(s) and/or exchange(s) not chosen should be struck off by the client.

EXCHANGE	Date of Consent	SEGMENTS		
NSE		<div style="border: 1px solid black; padding: 5px; text-align: center;"> Client Signature Cash Market </div>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Client Signature Futures & Options </div>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Client Signature Currency Derivative </div>
BSE		<div style="border: 1px solid black; padding: 5px; text-align: center;"> Client Signature Cash Market </div>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Client Signature Futures & Options </div>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Client Signature Currency Derivative </div>
MSEI		<div style="border: 1px solid black; padding: 5px; text-align: center;"> Client Signature Cash Market </div>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Client Signature Futures & Options </div>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Client Signature Currency Derivative </div>
MCX		<div style="border: 1px solid black; padding: 5px; text-align: center;"> Client Signature Commodity Futures & Options </div>		

If, in future, you want to trade on any new segment/ new exchange, separate consent letter / authorisation would be required.

E. INVESTMENT / TRADING EXPERIENCE

No Prior Experience _____ years in Equities _____ Years in Commodities _____ Years in other investment fields

F. GST REGISTRATION DETAILS (if applicable)

Name of State	Registration Number

G. PAST ACTIONS

Details of any action/proceedings initiated/pending/taken by SEBI / Stock exchange / Commodity exchange / any other authority against the applicant/constituent or its Partners / promoters / whole time directors / authorized persons in charge of dealing in securities/commodities during the last 3 years: _____

H. DEALING THROUGH AUTHORISED PERSONS (AP) AND OTHER STOCK BROKERS / MEMBERS

If client is dealing through the Authorised Person any other Member, provide the following details (in case dealing with multiple Members, provide details of all in a separate sheet containing all the information as mentioned below):

AP Name: _____ AP Registration Number: _____

Registered office address: _____

Phone: _____ Mobile: _____ Fax: _____

Website: _____

Whether dealing with any other Stock Broker / Authorised Person(in case dealing with multiple stock brokers /authorised persons, provide details of all in a separate sheet containing all the information as mentioned below):

Name of Stock Broker/ Authorised Person: _____

Exchange's Registration Number: _____ Client Code: _____ Exchange: _____

Concerned Member's name with whom AP is registered: _____

Registered office address: _____

Phone: _____ Mobile: _____ Fax: _____

Website: _____

Details of disputes/dues pending from/to such stock broker/AP: _____

I. ADDITIONAL DETAILS / STANDING INSTRUCTION

Whether you wish to receive Contract Notes, Statement of Accounts, Margin Reports, Standard KYC documents and other documents from Member in electronic form on your E-mail-id (If Yes, then please fill in Appendix-A): Yes No

Specify your email id, if applicable _____

Whether you wish to avail the facility of Internet Trading / wireless technology: Yes No

In case of non-individual, name, designation, PAN, UID, signature, residential address and photographs of the person authorized to deal in securities/commodities on behalf of the company/firm/others(Please refer Annexure-A).

Any other information: _____

J. INTRODUCER DETAILS (Optional)

Name of the Introducer: _____

Status of Introducer: Branch Manager Authorised Person Remisier

Existing Client Others (please specify) _____

Address of the Introducer: _____

City _____ Pincode _____ State _____

UCC of the Introducer (if any): _____ Branch/Employee Code: _____

Phone No. _____ Mobile No. _____ Email _____

Signature of the Introducer: _____

K. NOMINATION DETAILS (for individuals only)

PHOTOGRAPH

Please affix recent passport size photograph of nominee and sign across it

I / We wish to nominate I / We do not wish to nominate

Name of the Nominee _____

Relationship with the Nominee _____

PAN of Nominee _____ Date of Birth of Nominee _____

Address of the Nominee _____

Phone No. of the Nominee _____

If Nominee is a minor, details of guardian

Name of Guardian _____

Address of Guardian _____

Phone No. of Guardian _____ Signature of Guardian _____

WITNESS (Only applicable in case the account holder has made nomination)

Name _____ Name _____

Signature WITNESS - 1 Signature WITNESS - 2

Address _____ Address _____

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.

DATE _____
D D M M Y Y Y Y

PLACE _____

Signature of the Client / (All) Authorized Signatory (ies)

FOR OFFICE USE ONLY

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

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

Signature of the Authorised Signatory

D D M M Y Y Y Y



Seal / Stamp of the Stock Broker

FOR OFFICE USE ONLY

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 employee			
Date			
Signature of the Employee			

ADDITIONAL DETAILS

1. Additional documents in case of trading in derivatives segments - illustrative list:
 - Copy of ITR Acknowledgement Copy of Annual Accounts
 - Incase of salary income - Salary Slip, Copy of Form 16 Net worth certificate
 - Copy of demat account holding statement. Bank account statement for last 6 months
 - Any other relevant documents substantiating ownership of assets.
 - Self declaration with relevant supporting documents.

*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
2. Copy of cancelled cheque leaf / pass book / bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

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AFFINITY SECURITIES PRIVATE LIMITED (ASPL)

Registered & Correspondence Office Address :
 Shaila Tower, 9th Floor, Room No. 903, J1/16 EP & GP Block
 Salt Lake, Sector-V, Kolkata - 700 091
 Telefax : +91 33 4004-2356

FATCA / CRS DECLARATION FORM**FOR INDIVIDUALS****A. FATCA & CRS INFORMATION (SELF CERTIFICATION)**

Client Name			
Trading Account No.			
PAN			
Type of address given at KRA		<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Residential / Business <input type="checkbox"/> Registered Office	
Address for Tax purpose		<input type="checkbox"/> Same as mailing address <input type="checkbox"/> Same as permanent address	
Nationality	Gender	Date of Birth	
Mobile	Place of Birth	Country of Birth	
Father's Name			
Spouse's Name			
Document's required other than PAN	Please refer reverse page (Instruction)		
Identification Number of the document provided			
Is the applicant / guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India	Yes		No
If yes, please indicate all countries in which are you resident for tax purposes and associated Tax Id Numbers below			
S No.	Country of Tax Residency#	Tax Payer Identification Number^	Identification Type (TIN or other, please specify)

to also include USA, where the individuals is a citizen / green card holder of USA.

^ In case Tax Identification Number is not available, kindly provide its functional equivalent.

B. ADDITIONAL KYC INFORMATION

Occupation Details (Please tick)	Please refer reverse page (Instruction)		
Gross Annual Income (Rs.) [Please tick]	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1- 5 Lacs <input type="checkbox"/> 5 - 10 Lacs <input type="checkbox"/> 10 - 25 Lacs <input type="checkbox"/> > 25 Lacs		
Politically Exposed Person(PEP) Status *	<input type="checkbox"/> I am PEP <input type="checkbox"/> I am Related to PEP <input type="checkbox"/> Not Applicable		
* PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government / Judicial / Military Officers / senior executives of state owned corporations, important political party officials etc.			

C. DECLARATIONS

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

Name :	Signature	Date (dd-mm-yyyy)

Terms & Conditions

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

FATCA / CRS Indicia observed	Documentation required for Cure of FATCA / CRS Indicia
U.S. Place of birth	<ol style="list-style-type: none"> 1. Self-certification that the account holder is neither a citizen of USA nor a resident for tax purposes. 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below)AND 3. Any one of the following documents: <ol style="list-style-type: none"> a. Certified copy of Certificate of Loss of Nationality or b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain US citizenship at birth.
Residence / mailing address in a country other than India	<ol style="list-style-type: none"> 1. Self-certification that the account holder is neither a citizen of US nor a tax resident of any country other than India; AND 2. Documentary evidence (refer list below)
Telephone number in a country other than India	<p><i>If no Indian telephone number is provided</i></p> <ol style="list-style-type: none"> 1. Self-certification that the account holder is neither a citizen of US nor a tax resident of any country other than India; AND 2. Documentary evidence (refer list below) <p><i>If Indian telephone number is provided alongwith a foreign country telephone number</i></p> <ol style="list-style-type: none"> 1. Self-certification that the account holder is neither a citizen of US nor a tax resident of any country other than India; AND 2. Documentary evidence (refer list below)

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

1. Certificate of residence issued by an authorised government body.
2. Valid identification issued by an authorised government body

List of occupation

- Service
- Student
- Professional
- Housewife
- Retired
- Proprietorship
- Others (Please specify)

AFFINITY SECURITIES PRIVATE LIMITED (ASPL)**Registered & Correspondence Office Address :**

Shaila Tower, 9th Floor, Room No. 903, J1/16 EP & GP Block
Salt Lake, Sector-V, Kolkata - 700 091
Telefax : +91 33 4004-2356

FATCA / CRS DECLARATION FORM**FOR NON - INDIVIDUALS**

Details of ultimate beneficial owner including additional FATCA & CRS information
(please include other references for completeness sake)

Particulars	Details
Name of the Entity	
Customer ID	
Address of tax residence (including city, state, country and pin code)	
Address Type	<input type="checkbox"/> Business <input type="checkbox"/> Registered Office
City of Incorporation	
Country of Incorporation	
Entity Constitution Type	
A Partnership Firm, B HUF, C Private Limited Company, D Public Limited Company, E Society, F AOP/BOI, G Trust, H Liquidator, I LLP, J Artificial Juridical Person Z – Others specify	
Date of Incorporation (in DD/MM/YYYY format)	
Permanent Account Number (PAN)	
Identification Type & Identification Number (if TIN or US GIIN not provided)	Company ID No.:
	Global Entity ID No.:
	Others (please specify & provide):
Identification number issuing country	

Tax residence declaration (tick any one, as applicable)

- Entity is a tax resident of India and not resident of any other country OR
 Entity is a tax resident of the country/ies mentioned in the table below

Please indicate ALL the countries in which you are a resident for tax purposes and the associated Tax ID No. below

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

[%] In case Tax Identification Number is not available, kindly provide functional equivalent^{\$}^{\$} It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation & attach this to the form

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

(Refer 3(viii) of Part D)

FATCA & CRS declaration

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

PART A

(to be filled by Financial Institutions of Direct Reporting NFEs)

Entity is a	GIIN	Name of sponsoring entity
<input type="checkbox"/> Financial institution ¹		
OR	<i>Note: 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 :</i>	
<input type="checkbox"/> Direct reporting NFE ²		

In case the GIIN not available, please tick any one below (as applicable) :

Following options available only for Financial Institutions :

- Applied for**
 Not required to apply for (Please specify sub-category³ _____) Please provide with Form W8-BEN-E, duly filled in
 Not obtained - Non-participating FI

¹ Refer 1 of Part D² Refer 3(vii) of Part D³ Refer 1A. of Part D

PART B

(to be filled by NFEs other than Direct Reporting NFEs, please fill any one as appropriate)

<input type="checkbox"/> Entity is a publicly traded company ⁴ (i.e. a company whose shares are regularly traded on an established securities market)	Name of the stock exchange <i>(Please specify any one stock exchange upon which the stock is traded)</i>
<input type="checkbox"/> Entity is a related entity of a publicly traded company ⁵ If Yes, Nature of relation : <input type="checkbox"/> Subsidiary of the listed company <input type="checkbox"/> Controlled by a listed company	Name of such publicly traded company
	Name of the stock exchange <i>(Please specify any one stock exchange upon which the stock is traded)</i>
<input type="checkbox"/> Entity is an active NFE ⁶	Nature of business
	Sub-category of active NFE <i>(Mention doce - refer 2c of Part D)</i>
<input type="checkbox"/> Entity is an passive NFE ⁷	Nature of business

FATCA-CRS Terms and Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with ASPL or its group entities. Therefore, it is important that you respond to our request, event if you believe you have already supplied any previously requested information.

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number.

CERTIFICATION

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

Date : _____

Place : _____

Signature & Stamp

⁴ Refer 2a of Part D

⁵ Refer 2b of Part D

PART C*(to be filled only by Passive NFEs)*

Please list below the details of each controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling persons (Please attach additional sheets if necessary) :

	Controlling Person 1	Controlling Person 2	Controlling Person 3
Name			
Country of tax residency*			
Address (Include City State, Country & Pin code)			
Telephone / Mobile No. (with ISD code)			
TIN (or functional equivalent for each country identified in relation to each person [%])			
Identification Type (TIN or Other, please specify)			
Controlling person type code ⁸			

Additional details to be filled below **ONLY** by controlling persons having tax residency/permanent residency/citizenship in any country **other than India** Including green card holders

	Controlling Person 1	Controlling Person 2	Controlling Person 3
Customer ID (if allotted)			
Gender (Male, Female, Other)			
City of Birth			
Country of birth			
Occupation Type (Service, Business, Others)			
Nationality			
PAN			
Father's Name (if PAN not available)			
Date of Birth			
Address type for address mentioned above (Residence or business, Residential, Business, registered office)			
Identification Type (Documents submitted as proof of identity of the individual) [@]			
Identification Number (Mandatory if PAN or Aadhaar number is not reported)			
Spouse's name (optional)			
Aadhaar Number (optional)			

*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

@ Permissible values are :

- Passport
- Election ID card
- PAN Card
- ID Card
- Driving License
- UIDAI Letter
- NREGA Job card
- Others

⁸ Refer 3(iv) (A) of Part D

Signature & Stamp

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POLICIES AND PROCEDURES

Penny Stocks:

Clients may note that all the stocks and securities/commodities listed on the stock and/or commodity exchanges are not actively traded. In other words, there are no readily available sellers or buyers in those securities/commodities and/or there are not sufficient trades or volumes from which the market may be arrived at with some reliability. Such stocks are called 'illiquid securities/commodities' or 'Penny stocks'. They are comparatively more vulnerable to market manipulation and / price rigging. The spread, i.e., the difference between the offer price and the bid price is usually wide and their purchase or sale at a given time may be difficult and in any case uncertain. Exchanges bring out monthly list of such securities/commodities based on the volume during the last calendar month.

We do not encourage trading in penny stocks and trade is not allowed in illiquid securities/commodities. In exceptional cases, before allowing a trade in illiquid securities/commodities or less liquid securities/ commodities, we may make further enquiry, in case of instructions for sale, into the nature and duration for holding and in case of purchase instructions, into the client's trading experience, knowledge about the risk in penny stocks, risk appetite and proportion of such stocks to total investment, etc.. This may cause time gap between placing an order and its execution. The Clients will have to bear that risk of delay in execution or our rejection in respect of illiquid securities/commodities. Client's instructions for trading in illiquid securities/commodities may be rejected without assigning any reason.

Setting up Client's Exposure Limit:

The Exchange may from time to time fix client exposures limits in the interest of orderly working of the markets. Within that overall ceiling, a client can trade within the exposure limit set from time to time by the Broker/Member of the client. Exposure limit is fixed on the basis of the funds and value after hair cut of the securities/commodities provided by the client for margin. Clients are requested to adhere to the exposure limits as crossing the line may involve either a call for margin or restriction on further position/exposure. We may need to vary or reduce or impose new limits urgently on the basis of our risk perception, risk profile of the clients and other factor considered relevant including but not limited to limits on account of exchange/ SEBI directions/ limits (such as broker level/ market level limits in security specific / volume specific exposures etc.). Sometimes we may be unable to inform the clients of such variation, reduction or imposition in advance. We shall not be held responsible for such variation, reduction or imposition or the client's inability to route any order through our trading system on account of any such variation, reduction or imposition of limits. In the sole discretion of the Company, a client may be allowed trade beyond exposure limit or the limit may be increased. A client having availed such indulgence shall not be heard to complain about his trades only on this account and shall meet the margin shortfall at the earliest without waiting for reminder. The fair rule is Limit your exposure so as to limit your risk to your means.

Brokerage Rate:

We do not charge any brokerage in excess of the rate(s) provided by the SEBI/Exchange. The agreed rates of brokerage are part of this KYC and the clients are advised to fully satisfy themselves about the same before signing. The Brokerage is charges on both Buy & Sell, except otherwise indicated in the schedule of brokerage. Brokerage rates may be changed from time to time but shall not be increased without prior 15 (fifteen) days' notice. Only Head Office is competent to reduce the rates of brokerage and no employee or officer at Branches is not authorized to do so.

Delay Payment Charges and Penalties:

Clients are required and expected to meet their fund obligations immediately, when due, as per SEBI / Exchanges requirements and not make us use our funds to meet their fund obligation. For the clients who do not pay on time your broker/member has to pay or the client has to suffer penalties by the Exchanges. So as to be compensated in such an eventuality, we may levy Delay payment Charges on the amounts, not exceeding the debit balance in the ledger, for the period of delay. The present rate of delay payment charge is 18% per annum calculated on monthly basis for the period of delay.

We do not pay interest on the clients' funds and securities/commodities received towards margin. In exceptional cases, considering the value of margin, its utilization, the client's past history and the revenue generation from the client, we may agree to reverse Delay Payment Charges at such rate as determined from time to time but not exceeding the rate of Delay Payment Charges.

We may impose penalties for bouncing of cheque, bad deliveries, non-delivery, auction on failure of pay-in obligation, non-payment of margin money, actions or omission contrary to the Rules, regulations and Byelaws of the SEBI or Exchanges, to discourage such violations and recover the same from the Client's Account directly.

Where the company has to pay or suffer any penalty from any authority as a consequence of / in relation to / in connection with any orders/ instructions/ trades/ deals or actions of a client, the same shall be borne by the client.

The online clients are provided User ID and Internet Access to see their accounts online. Off-line clients will be provided with Back Office Access Code to see their accounts and upto-date positions.

Signature of the Client

We maintain specific banking and depository accounts, informed to the clients from time to time, for handling clients' funds and securities/commodities. The clients shall ensure timely availability of funds/securities/commodities in required form and manner, within stipulated time and in the designated bank and depository account(s) for meeting their liabilities and obtaining proper credit thereof. We do not undertake responsibility for any delay or other consequences arising from payment to any other account or non receipt in time and manner in the designated account(s).

Right to sell clients securities/commodities or close clients' positions, without giving notice to the client on account of non payment of dues. (Limited to settlement/margin obligations)

We do not believe in selling clients' securities/commodities or closing out their positions without sufficient notice to them. On the other hand, we expect our esteemed clients to be regular and punctual in meeting their fund obligations. The requirement of margin and the value of any security/commodity given/treated as Margin varies and multiplies with market volatility. For example – if the market goes down by 10%, not only an additional margin would be required equal to this 10%, but further margin would also be required to meet the erosion of value of the securities/commodities forming the margin. Higher is the margin deficit, shorter would be the time to make it up. However, in case the available margin falls below the given percentage, say 80%, informed in advance, we reserve the right to sell, dispose, transfer or deal in any other manner the securities/commodities already placed with it as Margin/lying in the beneficiary account of Affinity Securities Private Limited (hereinafter referred to as "Affinity" for the sake of convenience) or square-off all or some of the outstanding derivatives/commodity derivatives positions of the CLIENT as it deems fit at its sole discretion without further reference to the client and any resultant or associated losses that may occur due to such square-off/sale shall be borne by the Client and Affinity shall be fully indemnified and held harmless by the client in this behalf at all times.

Any reference in these terms to sale or transfer of securities/commodities by Affinity shall be deemed to include sale of securities/commodities which form part of the Margin maintained by the CLIENT with Affinity.

In exercise of the rights of Affinity to sell securities/commodities, the client agrees that the choice of specific securities/commodities to be sold shall be solely at the discretion of Affinity.

We would have the discretion to square off the position of Client, with no obligation of communicating the same to the Client, in following circumstances:

- (a) If the open position is neither squared off nor converted to Delivery by Client/s within the stipulated time or where Mark to market loss on the open position has reached the stipulated percentage of the margins placed with us.
- (b) In all other cases where the margin or security placed by the Clients falls short of the requirement or where the limits given to the Client have been breached or where the Client has defaulted in his existing obligation within the stipulated time.

The resultant or associated losses that may occur due to such squaring-off or sale of such securities/commodities shall be borne by the client, and Affinity shall be fully indemnified and held harmless by the client in this behalf. Such liquidation or close out of positions shall apply to any segment/exchange in which the client does business with Affinity.

The provisions specified herein do not confer any liability on Affinity to square off the clients positions. It shall be the responsibility of the client to pay to Affinity any due payable to Affinity irrespective of whether Affinity exercises its right to square off the positions of the client in accordance with the provisions given herein above.

Shortages in obligations (arising out of internal netting of trades or otherwise):

Stock/Commodity broker shall not be obliged to deliver any securities/commodities to the client unless and until the same has been received by the stock/commodity broker from the exchange, the clearing corporation/ clearing house or other entity liable to deliver the securities/commodities and the client has fulfilled his/her/its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a) The internal shortage delivery is purchased in Internal Shortage Covering A/c on T+2 day which is the delivery day on exchange (subject to availability of quantity short delivered) or in certain unavoidable circumstances on the T+3 day. The purchase consideration + penalty charge (2% of purchase amount) is debited to short delivering client A/c.
- b) If the security cannot be purchased from market due to any force majeure condition within T+4 days then short delivery seller is debited at T+4 day's closing rate + 10% (of closing rate) and purchaser is credited by the same amount.
- c) In case corporate action like split bonus etc. exists in the particular scrip then original short quantity is purchased in Internal Shortage Covering A/c as procedure followed in short delivery case as mentioned above in point "a" and corporate action quantity is purchased in sellers account, however in case of non-availability of the security in the market, the procedure as laid down in point "b" above is followed.

Where a client buys securities in one settlement, and sells the same in a subsequent settlement, without having received the payout of the securities, any resulting auction / losses will be the sole responsibility of the client.

Signature of the Client

Conditions under which a client may not be allowed to take further position or his existing position may be closed:

Subject to a client's KYC verification and his meeting initial margin and other margin requirements, a client may take positions. However, he may not be allowed to take further position under any of the following circumstances:

- a. SEBI or Exchange imposing restrictions on further exposures in cases of extreme volatility in the market or in a security/commodity or group of securities/commodities.
- b. Client or the Broker/Member exceeding or touching exposures limits set by the Exchange in the particular scrip/contract.
- c. Reasonable doubt as to bonafide of the transaction or identity of the client in the light of the financial status and objectives as disclosed in the KYC form.
- d. Reasonable doubt as to the transaction being cross trade, circular trade, fraudulent practice or connected with price manipulation or market rigging.
- e. SEBI or other competent authority issuing a debarment order against the client from buying, selling or dealing in securities/commodities, unless the order is vacated.

Temporary Suspension or Closing of Account at Client's Request:

The client may, at times, like to suspend his account for some time due to reasons like – illness, holidaying or pilgrimage. Affinity may temporarily suspend the transactions and close the account on receipt of a written request by the client. However, the client will be responsible for all his positions till that time and shall make arrangements for due discharge of his obligations in respect of such transactions.

A suspend account may be made active by another instruction in writing by the client.

The client, subject to his meeting all obligations regarding pending positions, may seek closure of his account by a letter in writing duly signed by him. Such request shall be effective from the time it has been noted in Affinity's computer system and the client shall be liable to meet all his obligations.

The request for suspension, re-activation or closure of account should be made by the client and not by his Power of Attorney Holder (POA).

The Company may also withhold any payouts of client or suspend his trading account due to any surveillance action or judicial/regulatory direction.

De-registering a Client:

Affinity may de-register a client in any of the following events:

- a. Death of a client who is a natural person;
- b. Liquidation or winding up of a client who is a corporate;
- c. Insolvency or bankruptcy of the client;
- d. The client being debarred from dealing in securities/commodities by an order of SEBI, other Regulatory Authority or Court;
- e. The client is convicted of fraud or other offence in relation to securities/commodities and the said conviction is not stayed by that authority or court or superior thereto.
- f. The account being inactive has not been got reactivated within two years of inactivation.

De-registering a client will not absolve him from his obligations for transactions at the time of de-registration.

Policy for Inactive Accounts:

Inactive accounts are more vulnerable to fraud or manipulation and the clients are advised to be careful not to allow their accounts to be inactive. An inactive account is one in which there is no operation during the last one year. Such accounts may be marked as "inactive" in the Back Office without any request by the client. No operation shall be permitted in an inactive account except collection of dividend on securities and debiting of charges, if any.

An inactive account may be activated only on written request of the client (Not of a POA). Before activating, Affinity may like to re-verify the client's particulars as an abundant caution.

If a request for re-activation is not received within four years of its being noted as "inactive", Affinity may deregister it, after informing the client at his last known address by the available means, i.e., telephone, post, e-mail; and return the available balance, if any, to the person(s) entitled to it. In case the client cannot be traced or the persons entitled to the balance cannot be ascertained or they do not come forward, the balance shall be transferred to "suspense account".

Client Acceptance of Policies and Procedures stated herein above:

I/We have fully understood the above Policies and Procedures and agree to the same as applicable to my client membership relationship with the Broker/Member.

Signature of the Client

CONSENT FORM FOR RECEIVING TRADE ALERTS THROUGH SMS and/or E-mail

To
AFFINITY SECURITIES PRIVATE LIMITED
 Shaila Tower, 9th Floor, Room No. 903,
 J1/16 EP & GP Block, Salt Lake, Sector-V
 Kolkata - 700 091

Dear Sir,

I/We, _____, a client with Affinity Securities Private Limited, member of National Stock Exchange of India Limited (NSE), BSE Limited (BSE), Metropolitan Stock Exchange of India Limited (MSEI) and Multi Commodity Exchange of India Limited (MCX) undertake as follows:

- I/We am/are aware that NSE/BSE/MSEI/MCX provides the details of the trades executed on its trading platforms to the concerned clients / constituents through SMS and Email Alerts.
- I/We am/are aware that the Exchanges have to provide the trade details through SMS/E-mail alerts for my convenience at my request only.
- I/We hereby confirm that I/We wish to receive the trades alerts through:

a) SMS:

b) E-mail:

c) SMS and E-mail:

- The alerts should be sent on

Mobile Number:

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Email address: _____

I/We hereby agree to the terms and conditions specified by the Exchanges and circulars / notices/ clarifications issued by the Exchanges from time to time in this regard. We are also aware that this is an additional facility provided by the Exchange and we shall not solely rely or use such data for any purpose and, Exchanges shall not be liable for any direct or indirect loss of any nature because of providing this additional facility.

Client Name: _____

Unique Client Code: _____ PAN: _____

Add: _____

Date: _dd_/_mm_/_yyyy_

Place: _____

Signature of the Client

AUTHORITY LETTER FOR RUNNING ACCOUNT OF FUNDS AND SECURITIES AND/OR COMMODITIES

To
AFFINITY SECURITIES PRIVATE LIMITED
 Shailla Tower, 9th Floor, Room No. 903
 J1/16 EP & GP Block, Salt Lake, Sector-V
 Kolkata - 700 091

Date : / /

Dear Sir,

I/We am/are aware that as per the SEBI/ Exchange requirements, the settlement of funds/securities/commodities shall be done within one working day of the payout. However, I/we request you to kindly maintain my/our account as a running account, which will entail that securities/commodities and funds due to me/us on payout shall be withheld with yourselves on ongoing basis to be utilized for meeting my/ our settlement / margin obligations / exposure limits as and when required and given to me/us only on demand. I/We understand and agree that:

- a) You shall transfer the funds / securities / commodities lying in my/our credit within one working day of the request if the same are lying with you and within three working days from the request if the same are lying with the Clearing Member/ Clearing Corporation.
- b) I/We also confirm that the funds so held/retained by you should be considered as margin deposit / collateral. You can pledge my shares/securities/commodities withheld with yourselves with the Clearing Member/Exchange/Custodian, at your discretion. In case any of the shares/securities/commodities are sold in subsequent settlements, you may take this as a standing instruction to adjust against my/our previous purchase positions.
- c) I/We understand and agree that no interest will be payable to me/us on the funds/ securities/ commodities so retained with you. I/we understand and agree that whenever I/we require delivery of any shares/securities/commodities, I/we shall send you a written request. I/We understand that such payout of securities/commodities will be made subject to your risk management policies.
- d) In case there is a debit balance in my/our account, you are authorized to sell at any point of time the shares/securities/commodities purchased by me in previous settlements, at your sole discretion. Any profit or loss made on such transactions will be posted to my/our account as it would have occurred on normal purchase/sale made by me. I/We also agree to pay the balance amount, if any after deducting credit of sale of shares/commodities.
- e) I/We authorize you to set off/adjust any of my/our debits/dues in any segment of any exchange with credits of any other segment(s) of any exchange(s) in my/our account within the period of settlement of my/our account (securities and/or commodities and funds) as opted by me/us.
- f) I/We agree that fund given towards collaterals/margins in form of bank guarantee (BG) / Fixed Deposit Receipts (FDR) may not be periodically settled.
- g) I/We can revoke this running account authorization at any time by giving a notice in writing. I/We also undertake to clear all my/our dues to you before serving revocation of this authorization else the member will recover all my/our dues in my/our ledger till date and then effect the revocation.
- h) I/We agree/understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.
- i) I/We shall bring any dispute arising from the statement of account or settlement so made to the notice of the Trading Member within 30 working days from the date of receipt of funds/securities/commodities or statement.

I/We further wish to have settlement of my account (funds and securities and/or commodities) once in a month (30days) /quarter (90days). I/We understand that settlement amount shall be subject to retention of requisite securities/commodities/funds towards outstanding obligations and margins in my/our account calculated in the manner specified by SEBI/Exchanges and details mentioned in the "Statement of Account/Retention Statement" at the time of settlement. I/We authorize you to send the Statement of Account/Retention Statement of funds and securities and/or commodities as on date of settlement via email/hand delivery/post or courier. I/We understand the I/we can obtain copy of the same from any of your branch offices.

My/Our preference for compulsory periodic settlement of funds and securities and/or commodities is as follows:

Once in a quarter (90 days)

Once in a month (30 days)

Signature of the Client

Client Name: _____

Client Code: _____

LETTER OF UNDERSTANDING

To

Date : dd / mm / yyyy**AFFINITY SECURITIES PRIVATE LIMITED**

(Member of NSE, BSE, MSEI & MCX)

Regd. & Corp. Off: Shaila Tower, 9th Floor, Room No. 903

J1/16 EP & GP Block, Salt Lake, Sector-V

Kolkata - 700 091

Dear Sir,

Ref: Trading Code: _____

I/We hereby agree/undertake/authorize as follows:

1. I/We understand and agree that I/we am/are liable to pay the initial margins up-front on or before creating a position in Cash, Futures and Options, Currency and/or Commodity contract. Affinity Securities Private Limited (hereinafter referred to as "ASPL") or the Exchange(s) shall decide upon such margin from time to time. Furthermore I/we am/are liable to pay daily margins depending on whether the price of the Cash, Futures and Options, Currency and/or Commodity contract moves for or against the position undertaken. I/We hereby agree to make all margin payments as demanded by ASPL failing which ASPL can square up all or any outstanding position of sale and/or purchase without any notice to me/us.
2. I/We hereby undertake to deposit monies, securities, commodities or other property which may be required to open and/or maintain my/our account with ASPL.
3. I/We undertake that I/we shall not, acting alone or concert with others, directly or indirectly, hold and control excess number of permitted derivatives contracts and shares as fixed from time to time.
4. I/We hereby undertake that I/we shall not exercise a long or short position where, acting alone or in concert with others, directly or indirectly that it shall have exercised/take delivery in excess of the number of permitted derivatives contracts and shares as fixed from time to time by the said Exchanges.
5. I/We agree that all monies, securities or other property that may be held by ASPL on the client's account shall be held subject to a general lien for the discharge of my/our obligation to ASPL under this letter of understanding.
6. I/We agree and acknowledge that I/we will not held ASPL and/or its agents/employees liable for losses caused directly or indirectly by Government restriction, Exchanges or market rulings, acts of God, commotion, insurrection, embargo, industrial dispute, suspension of trading, computer, communication, telephone or system failure, war, earthquake, flood, accident, power failure, equipment or software malfunction, strikes or any other condition.
7. I/We understand that in the event of ASPL or any employee or official of ASPL, providing any information, recommendation or advice to me/us, I/we may act upon the same at my/our sole risk and cost, and ASPL shall not be liable or responsible for the same. I/We assume full responsibility with respect to my/our investment decision and transactions. ASPL, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to my/our investment decision or transaction.
8. I/We authorize and instruct ASPL to issue summarized contract note instead of detailed contract note for the trades executed in Capital Market (CM) Segment.
9. I/We hereby agree and understand that ASPL shall deliver contract note of the trades executed by me/us via email/digitally signed/post or courier. The contract note shall be final and binding proof of the order placed by me/us if I/we do not object to it within 24 hours from the receipt of contract note. For the purpose of sending digitally signed contract notes by e-mail, the e-mail id specified by me/us in the account opening form or send by any later communication would be used.
10. I/We authorize ASPL to deliver the contract note or any other documents at the address provided by me/us to any person available at that address.
11. I/We undertake that I/we will make payment of all the dues of my/our account to ASPL within the due date. I/We hereby agree and understand that in case of non-payment by me/us to ASPL on its due date, ASPL in respect of such late payment will levy delay/late payment charges on the outstanding amount. The said late payment shall include amounts payable by me/us to ASPL in respect of daily margin, mark to market and other related margins, pay-in obligations and such other dues payable to ASPL. Delay/Late payment charges will be levied at a maximum rate of 21% per annum for the delayed period.
12. I/We hereby agree to furnish such details as regards financial position assets, liabilities etc. as and when required to do so by ASPL.
13. I/We hereby agree to ensure that before selling any shares, I/we have the same in hand. Any loss arising of auction/close-out on account of shares not cleared in the ASPL account will be borne by me/us. I/We also agree to bear any loss arising out of auction due to incomplete instructions, illegal instructions, unclear instructions and instructions not received on time.
14. I/We hereby authorize ASPL to transfer shares, lying in ASPL's pool account for meeting pay-in obligations of my/our account in previous settlements.

Signature of the Client

15. I/We understand that ASPL will not be liable to me/us for loss arising due to fire, theft or loss due to human error in case of dematerialised shares, or any other unforeseen circumstances if the shares are in the custody of ASPL beyond the stipulated time. In case of dematerialised shares, ASPL will be entitled to recover the custody charges from me/us, if the deliveries are not transferred out of the ASPL's depository account within the stipulated time. ASPL will not be responsible in case pay-in is not done in the proper settlement.
16. I/We hereby authorize ASPL to maintain my/our account on running basis and also authorize ASPL to hold my/our credit in anticipation of future debts.
17. I/We hereby authorize ASPL to maintain records/books of accounts for me/us collectively for different exchanges/segments of the exchanges and/or any other service which I/we may be availing. I/We hereby authorize ASPL to transfer, make adjustment and/or set off a part of whole of the securities and/or commodities placed as margin and/or any surplus fund in any segment/exchange(s) of my/our above account maintained with ASPL against the outstanding dues payable if any, by me/us in other segment/exchange(s) of my/our above account. Any entries passed by you in accordance with this authorization shall be binding on me.
18. I/We hereby declare that I/we do not have any link directly or indirectly with promoters of any of the companies as far as my/our transactions are concerned. Also I/we do not have any involvement, whatsoever, with regards to the increase or decrease in the price of share dealt by me/us.
19. I/We agree that I/we will not act as Stock Broker/Authorized Person without prior written permission of ASPL and without obtaining certificate of registration from SEBI/Exchanges, as applicable.
20. I/We agree and understand that it is advised and preferred that I/we give instructions for order placement / modification / cancellation in writing to avoid disputes. However, as the fluctuations in market are so rapid it is not practical to give written instructions for order placement/modification/cancellation, hence I/we hereby authorize ASPL to accept my/our authorized representative's verbal instructions for order placement/modification/cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/We shall not be entitled to disown orders and consequent trades (if any) under the plea that same were not under my/our instructions.
21. I/We understand that ASPL undertakes proprietary trading in addition to client based trading. I/We have noted the same and have no objection to ASPL doing the same.
22. I/We hereby declare that I/we shall indemnify and keep indemnified the ASPL harmless from and against all claims, demands, actions, proceedings, loss, damages, liabilities, charges, and or expenses that are occasioned to ASPL directly or indirectly, owing to bad delivery of shares/securities/commodities as a result of fake/forged/stolen shares / securities / commodities/transfer documents that are introduced or that may be introduced by or through me/us during the course of my / our dealings / operations on the Exchanges.
23. I/We understand and agree that ASPL reserve the right to transfer my/our funds lying in the client account of one exchange to the client account of other exchange(s) to satisfy the debit balance of my/our account in that exchange. I/we authorize ASPL:
 - a. To apply for, subscribe to or enter into correspondence with respect to any Initial Public Offers/Offer for Sale of
 - b. Securities of the companies or any other "Investment Products" offered through the website www.theaffinity.in (owned by ASPL) or any other means as per the instructions made available to them by me/us by electronic mail or through any other mode as specified on the website or otherwise.
 - c. To sign all applications or any other documents relating to such Initial Public Offers/Offer for Sale or any other investment products.
 - d. To make payment to any party on my/our behalf to fulfill the transaction requested by me/us.
 - e. To forward and such applications placed through the website to the online-IPO module of the concerned Exchange or owner/issuer of "Investment Product".
 - f. To receive intimation from the Exchange and any other party regarding the application/allotment/rejection/regret of the securities or such other "Investment Product" applications/subscriptions/withdrawal or any other communications.
 - g. To deposit/transfer on allotment, the securities, debentures, units of the mutual funds and/or all other investments products applied through ASPL, on allotment, to my/our Beneficiary Ownership Demat Account registered with ASPL.
 - h. To do all other acts and things as may be necessary to effect the subscription/purchase/redemption or any other transaction in any Investment Product for which services availed from ASPL.
 - i. To debit my/our trading account towards monies/securities/commodities/fees/charges etc. due to ASPL and to discharge all obligations in this regards on my/our behalf to ASPL.

Signature of the Client

INFORMATION PROVIDED BY CLIENT IN RELATION TO THE PREVENTION OF MONEY LAUNDERING ACT, 2002
Date: dd / mm / yyyy

Client Name: _____ Client Code: _____

If Business / Profession: Nature of Business: _____

Industry: _____

Details of my/our Relatives, having account with Affinity Securities Private Limited (ASPL):

Sl.No.	Name	Relationship	UCC (Client Code)

Details of the Corporate / Partnership Firm / Trust etc. where I/we am/are affiliated:

Sl.No.	Name	Entity Type	Nature of business	Relationship	UCC (Client Code)

I/We agree to submit every year any one of following documents to ASPL:

- | | |
|--|--|
| 1. Profit and Loss Account and Balance Sheet | 2. Form No. 16 (Salary Certificate) |
| 3. Networth Certificate | 4. Self attested copy of ITR |
| 5. Bank Statement and Demat Statement (for 6 months) | 6. Any other documents providing financial details of client |

I/We confirm that I/we will immediately inform ASPL in case I/we am/are convicted under any grounds or any action is taken against me/us by any authority(ies).

- I/ We hereby declare that I / We do not fall under the Clients of Special Category as defined in Prevention of Money Laundering Act, 2002, or
- I/ We declare that I/ We fall under Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 (choose the relevant category as under):

Non resident Client High Net-worth Clients Trusts, Charities, Non- Governmental Organizations (NGOs) and organizations receiving donations Companies having close family share holdings or beneficial ownership Politically Exposed Persons Companies offering foreign exchange offerings Clients in high risk countries where existence / effectiveness of money laundering controls is suspect etc. Non face to face client Clients with dubious reputation as per public information available etc.

I/We intend to invest in the stock market with: Own Funds: Borrowed Funds
(If Borrowed Funds, then please specify below Sources of Funds):

Sources of Borrowed Funds (if any)	Amount (Rs.)

I/We hereby declare that I/we am/are the beneficial owner of the Trading/Online Account opened with ASPL.

Signature of the Client**FOR OFFICE USE ONLY**Risk Category: High Risk Medium Risk Low Risk

ISSUE OF CONTRACT NOTES AND OTHER DOCUMENTS IN ELECTRONIC FORM

Date : dd / mm / yyyy

To
AFFINITY SECURITIES PRIVATE LIMITED
 (hereinafter referred to as "ASPL")
 Shaila Tower, 9th Floor, Room No. 903
 J1/16 EP & GP Block, Salt Lake, Sector-V
 Kolkata - 700 091

Dear Sir,

This is with reference to my/our registration for trading in the Cash and/or F&O and/or CD and/or Commodity Derivatives segment of NSE, BSE, MSEI and/or MCX and the facility offered to receive the Contract Notes and other documents in electronic form. In this connection, I/we give my/our consent and authorize you to send the digitally signed Contract Notes / Statement of Funds and Securities and/or Commodities / Ledger Statements / Margin Statements / Confirmations / any other documents and correspondence to my/our email id as given hereunder:

Email Id : _____

I/We hereby confirm and certify that I/we am/are fully aware of the provisions of the Information Technology Act, 2000 and the rules & regulations as framed by SEBI and Exchange(s) in this regard. I/We agree that digitally signed Contract Notes (ECN) / Statements / Documents / Correspondence sent to my/our email id as above shall be binding upon me/us and shall be deemed to have been given as if in the paper form. I/We undertake to check the contract notes and other documents send to me in electronic form and bring the discrepancies, if any, to your notice within 24 hours and 7 days respectively of such issuance of contract notes and other documents. My/our non-verification or not accessing the contract notes other documents on regular basis shall not be a reason for disputing the contracts note and other documents at any time. The mandate is subject to terms and conditions mentioned herein below.

Terms and conditions for issuance of contract notes and other documents in electronic form:

1. The ECNs and other documents will be issued in electronic form in compliance with the guidelines issued by SEBI/Exchange(s) from time to time.
2. ECNs and other documents will be mailed to the E-mail address provided to ASPL in the format as may be prescribed by the Exchange(s) from time to time.
3. It will be client's responsibility to regularly check the mailbox and keep the storage space for new email messages.
4. Discrepancies, if any, should be sent to the branch or to E-mail at customer@theaffinity.in within the time frame mentioned above.
5. ECNs and other documents will also be available at URL www.theaffinity.in
6. Clients can view the ECNs and other documents using the username & password through the above URL in a secured way apart from the ECNs and other documents sent to the client through email.
7. The ECNs will be archived at an interval of 15 days. If the client intends to view the ECNs for a period prior to 15 days client may request for the same in writing. We may charge client for the same.
8. In case of any failure in system or errors in ECNs or other documents, ECNs and/or other documents will be issued in the physical form, which shall be binding on the client.
9. The client is responsible for promptly intimating to ASPL through a letter or email, any change in email ID on which the client wants to receive the ECNS and other documents from ASPL.
10. I/We confirm that this mandate has been given at my/our discretion and I/we have the right to terminate this mandate at anytime by giving a notice in writing.
11. Any changes in the terms and conditions shall be intimated from time to time.

 Signature of the Client

Client Name: _____

Client Code: _____

CONSENT LETTER FOR BALANCE AND TRADE ALERT THROUGH SMS FACILITYDate : dd / mm / yyyy

To

AFFINITY SECURITIES PRIVATE LIMITED

(hereinafter referred to as "ASPL")

Shaila Tower, 9th Floor, Room No. 903

J1/16 EP & GP Block, Salt Lake, Sector-V

Kolkata - 700 091

Dear Sir,

This is with reference to my/our registration for trading in the Cash and/or F&O and/or CD and/or Commodity Derivatives segment of NSE, BSE, MSEI and/or MCX and the facility offered to receive Trade and Account balance alerts vide SMS facility. In this connection, I/we give my/our consent and authorize you to send SMS alert for trades and account balance for transaction carried on by me/us with you to my/our mobile number as given hereunder:

Mobile Number: +91

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Signature of the Client

I/We undertake to check the SMS alerts and bring the discrepancies, if any, to your notice by a letter or email within 24 hours of the receipt of SMS. My/our non-verification or not checking the SMS alerts on real time basis shall not be a reason for disputing the Trade and Account balance alerts at any time. The mandate is subject to terms and conditions mentioned herein below.

Terms and conditions for issuance of contract notes and other documents in electronic form:

- The service will be available to those clients who have provided their mobile number to ASPL. The service may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as maybe warranted. ASPL may also discontinue the service at any time without giving any prior notice for any reason whatsoever.
- The SMS facility will be provided to the clients only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider. The readability, timeliness and accuracy of providing the service depend on many factors including the infrastructure, connectivity of the service provider. ASPL shall not be responsible for any non-delivery/delay in delivery or distortion of the alert in anyway whatsoever. The service is currently available to the clients residing in India.
- In case of non-individual clients the service will only be available to one mobile number registered at the time of registration/modification.
- The client acknowledges that the SMS alerts will be received only if the mobile number is 'Active/ON' and in a mode to receive 'SMS'. If the mobile number is in 'Inactive/OFF' mode i.e. unable to receive the alerts then the client may not get/get after delay the alerts sent during such period.
- The client is responsible for promptly intimating to ASPL through a letter or email, any change in mobile number or loss of handset, on which the client wants to receive SMS alerts from ASPL. ASPL shall make every effort to change/update the mobile number within a reasonable period of time. In case of change in mobile number not intimated to ASPL, the SMS facility will continue to be sent to the last registered mobile number. The client agrees to indemnify ASPL from any loss or manage suffered by it on account of account of such circumstances.
- The SMS alerts sent on the mobile number furnished above shall be deemed to have been received by the client and ASPL shall not be under any obligation to confirm the authenticity of the person(s) receiving the alerts. If the client finds that the information such as mobile number etc. has been changed without prior authorization, the client should immediately inform ASPL in writing.
- The client confirms that this mandate has been given by him/her/them and he/she/they have the right to terminate this mandate at any time by giving a notice to ASPL in writing.
- The client undertakes that the mobile number is registered in his/her/their name and he/she/they have written the same in the above box.
- Any changes in the terms and conditions shall be intimated from time to time.

Signature of the Client

Client Name: _____

Client Code: _____

DECLARATION OF ULTIMATE BENEFICIAL OWNERSHIP
(Mandatory For Non-Individuals)

Client Name: _____ PAN: _____

Part I - LISTED COMPANY / ITS SUBSIDIARY COMPANY [If applicable, Part II Not Applicable]

We hereby declare that the Applicant/ Owner of the controlling interest in the applicant

- is a Company listed on a Stock Exchange
 is a majority-owned subsidiary of a Company listed on a Stock Exchange

Name of the holding/ parent company (with % share) _____

Name of such Listed Company (if not the Applicant itself) _____

Stock Exchange where listed _____ ISIN No. _____

Part II - OTHER THAN LISTED COMPANY / ITS SUBSIDIARY COMPANY

Name & Address of the Ultimate Beneficial Owner [UBO]	PAN or any other identification proof where PAN not applicable	Country of tax residency	% of beneficial interest in the Applicant	Whether Politically Exposed?	UBO Code (see instruction next page)
(1)					
(2)					
(3)					

If UBO is already KYC compliant, KYC complied proof to be enclosed. Else PAN or any other valid identity proof and address proof must be attached (self certified by the UBO and certified by the Applicant)

Part III - DECLARATION

<p>We understand that Affinity Securities Private Limited is relying on this information for the purpose of determining the beneficial ownership of the account. We certify that the information we provided on this form is true and complete to the best of our knowledge and belief. We agree to submit a new form within 30 days if any information or certification on this form gets changed.</p>	<p>_____</p> <p>Signature of the Client</p> <p>Date: _____ Place: _____</p>
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In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit.

GENERAL INFORMATION & INSTRUCTIONS

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

Ultimate Beneficiary Owner [UBO]:

A. For Investors other than individuals or trusts:

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

B. For Investors which is a trust:

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

UBO Code Description

- UBO-1: Controlling ownership interest of more than 25% of shares or capital or profits of the Applicant, where the Applicant is a company.
- UBO-2: Controlling ownership interest of more than 15% of the capital or profits of the Applicant, where the Applicant is a partnership.
- UBO-3: Controlling ownership interest of more than 15% of the property or capital or profits of the Applicant, where the Applicant is an unincorporated association or body of individuals.
- UBO-4: Natural person exercising control over the Applicant through other means i.e., exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under UBO-1 to UBO-3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests].
- UBO-5: Natural person who holds the position of senior managing official [In case no natural person could be identified as above].
- UBO-6: The settler(s) of the trust.
- UBO-7: Trustee(s) of the Trust.
- UBO-8: The Protector(s) of the Trust [if applicable].
- UBO-9: The beneficiaries with 15% or more interest in the trust if they are natural person(s).
- UBO-10: Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership.

ANTI-MONEY LAUNDERING (AML) - COMBATING FINANCING OF TERRORISM (CFT) WHAT YOU MUST KNOW - FAQs

Help us in preventing money laundering / terrorist financing.....Your assistance really matters us.

Ever wondered why the broker is asking you certain personal information which has hitherto never been called for? Such information can include documents evidencing source of funds / income tax returns / bank records etc. by providing this information to the broker, at the time of account opening and subsequently as and when required, you are actually assisting the efforts in prevention of money laundering / terrorist financing. Here are the details, presented in the form of frequently asked question (FAQs) to let you know how.

What is Money Laundering?

Money Laundering is the process by which criminals attempt to hide and disguise the true origin and ownership of the proceeds of their criminal activities, thereby avoiding prosecution, conviction and confiscation of the criminal funds. The term Money Laundering is also used when the funds are used for terrorist financing, though the origins of the funds may be legitimate.

Money Laundering has acquired a global character that not only threatens security, but also compromises the stability, transparency, and efficiency of financial systems. Money Laundering techniques are becoming more sophisticated and complex with each passing day.

The objective of AML & CFT Program is to prevent financial intermediaries from being used as a tool for the purpose of money laundering and terrorist financing and to preserve the integrity of the Financial System.

In response to mounting concern over Money Laundering, the Financial Action Task Force on Money Laundering (FATF) was established by the G-7 summit in Paris in 1989 to develop a co-ordinated international response. One of the first tasks of the FATF was to develop Recommendations, 40 in all, which set out the measures national governments should take to Implement effective anti-money laundering programmes.

How much money is laundered per year?

The IMF has stated in 1996 that the aggregate size of money laundering in the world could be somewhere between two and five percent of the world's gross domestic product.

Using 1996 statistics, these percentages would indicate that money laundering ranged between USD 590 billion and USD 1.5 trillion. However it must be said that overall it is absolutely impossible to produce a reliable estimate of the amount of money laundered and therefore the FATF does not publish any figures in this regard.

How is Money Laundered?

In the initial - or placement - stage of money laundering, the launderer introduces his illegal profits into the financial system. This might be done by breaking up large amounts of cash into less conspicuous smaller sums that are then deposited directly into a bank account, or by purchasing a series of monetary instruments (cheques, money orders etc.) that are then collected and deposited into accounts at another location. After the funds have entered the financial systems, the second - or layering - stage takes place. In this phase, the launderer engages in a series of conversions or movements of the funds to distance them from their source. The funds might be channeled through the purchase and sale of investment instruments, or the launderer might simply wire the funds through a series of accounts at various banks across the globe. This use of widely scattered accounts for laundering is especially prevalent in those jurisdictions that do not co-operate in antimoney laundering investigations. In some instances, the launderer might disguise the transfers as payments for goods or services, thus giving them a legitimate appearance.

Having successfully processed his criminal profits through the first two phases the launderer then moves them to the third stage - integration - in which the funds re-enter the legitimate economy. The launderer might choose to invest the funds into real estate, luxury assets or business ventures.

Where does money laundering occur?

Money laundering can occur practically anywhere in the world. Generally, Money Laundering tend to seek out countries or sectors in which there is a low risk of detection due to weak or ineffective anti-money laundering programmes.

How does money laundering affect business, economic development & society at large?

Money Laundering damages the integrity of the financial institution, entire society and undermines democracy and the rule of the law as it rewards corruption and crime.

There is a damping effect on foreign direct investment when a country's commercial and financial sectors are perceived to be subject to the control and influence of organised crime. Fighting Money Laundering and terrorist financing is therefore a part of creating a business friendly environment which is a precondition for lasting economic development.

The possible social and political costs of money laundering, if left unchecked or dealt with ineffectively, are serious. Organised crime can infiltrate financial institutions, acquire control of large sectors of the economy through investment, or offers bribes to public officials and indeed governments.

The economic and political influence of criminal organisations can weaken the social fabric, collective ethical standards, and ultimately the democratic institutions of society.

How does fighting money laundering help fight crime?

Targeting the money laundering aspect of criminal activity and depriving the criminal of his ill-gotten gains means hitting him where he is vulnerable. Without a usable profit, the criminal activity will not continue.

What should individual governments be doing about it?

A great deal can be done to fight money laundering, and indeed, many governments have already established comprehensive anti-money laundering regimes. These regimes aim to increase awareness of the phenomenon - both within government and the private business sector - and then to provide the necessary legal or regulatory tools to the authorities charged with combating the problem.

Some of these tools include making the act of money laundering a crime; giving investigative agencies the authority to trace, seize & ultimately confiscate criminally derived assets; and building the necessary frameworks for permitting the agencies involved to exchange information among themselves and with counterparts in the countries.

What are local regulations on AML/CFT?

1. Prevention of Money Laundering Act, 2002 (PMLA) came in to force with effect from July 01, 2005 read with the prevention of Money Laundering (Amendment) Act, 2009.
2. SEBI Guidelines on PMLA vide circular issued in January, 2006 followed by latest Master circular issued in February, 2010.
3. Exchanges have also issued Guidelines on PMLA to be followed by all registered intermediary.

How is Money Laundering defined under PMLA 2002?

Section 3 of the Prevention of Money Laundering Act (PMLA) 2002 defines the "Offence of Money Laundering, as: "Whosoever directly or indirectly attempts to indulge or knowingly assists or knowingly is party or is actually involved in any process or activity connected with the **proceeds of crime** and projecting it as untainted property shall be guilty of the offence of money laundering."

"Proceeds of crime" has been defined in Section 2 of the PMLA as the property derived or obtained directly or indirectly by any person, as a result of criminal activity relating to a scheduled offence or the value of such property.

"Scheduled Offences", as per section 2 of PMLA, are specified in two parts of the schedule to PMLA. The value involved in offences specified in Part B should be Rs.30 lakhs or more.

Why KYC/AML Policy for Market/ Intermediary?

SEBI has instructed all Market Intermediary to adopt a KYC/AML Policy

- a. To prevent criminal elements from using the Capital Marker for money laundering activities
- b. To enable the Broker to know/understand the customers and their financial dealings better, which in turn would help the Broker to manage risks prudently.
- c. To put in place appropriate controls for detection and reporting of suspicious activities in accordance with applicable laws/laid down procedures.
- d. To comply with applicable laws and regulatory guidelines.
- e. To take necessary steps to ensure that the concerned staff is adequately trained in KYC/AML procedures.

What are the obligations of Market Intermediary under PMLA 2002?

Section 12 of PML Act 2002, places certain obligations on every banking company, financial institution and intermediary, which include:

- a. Maintaining a record of prescribed transactions

- b. Furnishing information of prescribed transactions to the specified authority (Financial Intelligence Unit- India (FIU-IND)).
- c. Verifying and maintaining records of the identity of its clients.
- d. Preserving records in respect of a, b, c above, for a period of 10 years from the date of cessation of transactions with the clients.

What is Financial Intelligence Unit-India (FIU-IND)?

Financial Intelligence Unit-India (FIU-IND) is a **central**, national agency, set up by Government of India on 18th November, 2004, responsible for receiving (and as permitted, requesting), **analyzing** and **disseminating** to the competent authorities, disclosures of financial information: (i) Concerning suspected proceeds of crime and potential financing of terrorism, or (ii) Required by national legislation or regulation, in order to combat **money laundering and terrorist financing**.

What are the transactions to be reported by Market Intermediary to Financial Intelligence Unit-India (FIU-IND)?

- a. All cash transactions of the value of more than Rs.10 lakhs or its equivalent in foreign currency.
- b. All series of cash transactions integrally connected to each other, which have been valued below Rs.10 lakhs or its equivalent in foreign currency (excluding individual transactions below Rs.50, 000/- in the reporting) where such series of transactions have taken place within a month and the aggregate value of such transactions exceeds Rs.10 lakhs.
- c. Counterfeit currency transactions.
- d. Suspicious transactions.

What are suspicious transactions?

Rule 2(1)(g) of PMLA-2002 defines suspicious transactions as:

A transaction whether or not made in cash which, to a person acting in good faith

- a. gives rise to a reasonable ground of suspicion that it may involve the **proceeds of crime**; or
- b. appears to be made in circumstances of unusual or unjustified complexity; or
- c. appears to have no economic rationale or bonafide purpose; or
- d. gives rise to a reasonable ground of suspicion that it may involve financing of activities relating to terrorism.

POLICY/DECLARATION ON AML/CFL

1	AML Policy	We have in place written policy & procedure as per guidelines issued by SEBI / Exchange.
2	Know Your Customer (KYC)	We have in place system for identification of our clients including KYC documentation.
3	Maintenance of Records	We update the client profile on a regular basis.
4	Screening against negative lists	We have in place record maintenance and retention procedures as prescribed. We screen the client database to ensure that it is not held by or linked to anyone included in the specified list.
5	Risk Assessment	We have in place system to place clients into high, medium & low risk category and apply enhanced due diligence for clients that pose a higher risk.
6	Clients of Special Category	We have in place policy to place clients of special category such as persons with political link, nonresidents, Trusts, NGOs, closely held Companies, etc. in high risk category.
7	Monitoring, Identification & Reporting	We have in place, systems and procedures for of Suspicious Transactions monitoring, detection and reporting of suspicious transactions to the relevant authorities.
8	Audit	We are subject to inspection by SEBI / Exchange. Additionally we are periodically audited by an independent internal auditor that assesses AML policies and procedures too.

DECLARATION BY KARTA & ALL CO-PARCENERS IN CASE OF HUF ACCOUNT

Date : dd / mm / yyyy

To
AFFINITY SECURITIES PRIVATE LIMITED
Shaila Tower, 9th Floor, Room No. 903
J1/16 EP & GP Block, Salt Lake, Sector-V
Kolkata - 700 091

1. WHEREAS the Hindu Undivided Family of _____
(hereinafter referred to as the said "joint family") carrying on business in the firm name and style of _____ at _____
_____ or elsewhere (hereinafter referred to as "the said H.U.F. firm") intend to deal, have or desire to have Trading Account with Affinity Securities Private Limited (hereinafter referred to as "Member") we, the undersigned, hereby confirm and declare:
 - (a) that we are the present adult co-parceners of the said joint family ;
 - (b) that Shri _____ is the present Karta of the said Joint Family;
 - (c) that we are entitled to trade in shares/securities/commodities and open Trading Account of the said Joint Family;
 - (d) that each one of us has full and unrestricted authority to act on behalf of, and bind, the said H.U.F. Firm and all the present as well as future members, both adults and minors, of the said joint family, howsoever constituted from time to time.

2. We confirm that the affairs of the said joint family and the business of the said H.U.F firm are carried on mainly by the Karta, the said Shri _____, on behalf and in the interest and for the benefit of all the co-parceners of the said joint family. We hereby authorise the Karta Shri _____, on behalf of the H.U.F., to deal on Capital Market Segment (CM), Futures & Options Segment (F&O), Currency Derivatives Segment (CD), Commodity Derivatives Segment (COMM) or any other Segment that may be introduced by NSE / BSE /MSEI/ MCX in future and the said Trading Member is hereby authorised to honour all instructions, oral or written, given by him on behalf of the H.U.F.

Shri _____ is authorised to sell, purchase, transfer, endorse, negotiate documents and / or other wise deal through Affinity Securities Private Limited on behalf of the H.U.F. _____. He is also authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are however jointly and severally responsible for all liabilities of the said H.U.F firm to the Member and agree and confirm that any claim due to Member from the said H.U.F firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parcener of the said joint family, including the share of the minor coparceners, if any.

3. We undertake to advise the Member in writing of any change that may occur in the Kartaship or in the constitution of the said joint family or of the said H.U.F. firm and until receipt of such notice by the Member, the member will be entitled to regard each of us as a member of the said joint family and as a partner of the said H.U.F. firm and all acts, dealings and transactions purporting to have been done on behalf of the said joint family or of the said H.U.F. firm before the Member shall have received notice in the manner aforesaid, shall be binding on the said joint family and the said H.U.F. firm and on our respective estate. We shall, however, continue to be liable jointly and severally to the Member for all dues and obligations of the said H.U.F. firm in the Member's book on the date of the receipt of such notice by the Member and until all such dues and obligations shall have been liquidated and discharged.

(Signature of Karta)

(Along with rubber stamp)

(Signature of Co-parcener)

(Signature of Co-parcener)

(Signature of Co-parcener)

4. We recognize that a beneficiary account can be opened with Depository Participant only in the name of Karta as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the shares/securities/commodities transfer obligations pursuant to the trading operations, we authorise you to recognize the beneficiary account no. _____ with Depository _____ opened in name of Shri _____ who is the Karta of this H.U.F.

5. We agree that obligations for shares/securities/commodities purchase and / or sale by the H.U.F. will be handled and completed through transfers to / from the above mentioned account. We recognize and accept transfers made by you to the beneficiary account as completion of obligations by you in respect of trades executed in the above trading account of the H.U.F.

6. The names and dates of birth of the present minor co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the said members attains the age of majority and is authorized to act on behalf of, and bind the said H.U.F. Firm

Name of the Minor	Father's Name	Date of Birth
_____	_____	_____
_____	_____	_____

7. We have received and read a copy of the Member's rules and regulations for the conduct of Trading Account and we agree to comply with and be bound by the said rules now in force or any changes that may be made therein from time to time.

Yours faithfully,

 (Signature of Karta) (Signature of Co-parcener) (Signature of Co-parcener) (Signature of Co-parcener)
 (Along with rubber stamp)

Name _____ Name _____ Name _____ Name _____

DECLARATION BY GUARDIAN (only in case of account opening for minor)

Date : dd / mm / yyyy

To
AFFINITY SECURITIES PRIVATE LIMITED
 Shailla Tower, 9th Floor, Room No. 903
 J1/16 EP & GP Block, Salt Lake, Sector-V
 Kolkata - 700 091

Client Code No.: _____

Dear Sir,

This is with reference to the above account opened in the name of Master/M/s _____ (name of the minor) with you for the purpose of dealing in securities on National Stock Exchange of India Limited/BSE Limited/Metropolitan Stock Exchange of India Limited.

With reference to the aforementioned trading account, you are requested to kindly accept issue/receipt of payments relating to funds/transfers of securities to/from the account of my son/daughter Master/M/s _____ (name of the minor) as per the details given below for all future dealings in the said trading account.

Bank Details	DP Details
Bank Account No.	Client ID No.
Bank Name	DP Name
Branch Address	DP ID

Kindly do the needful.

Yours faithfully,

 Signature of the Guardian

DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM (On the Letter head of the Partnership Firm)

From _____

To
AFFINITY SECURITIES PRIVATE LIMITED
Shaila Tower, 9th Floor, Room No. 903, J1/16 EP & GP Block
Salt Lake, Sector-V, Kolkata - 700 091

Dear Sir,
We refer to the trading account opened with your in the name of _____
and declare and authorise you as under.

We recognise that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities / commodities transfer obligations pursuant to the trading operations we authorised you to recognise the beneficiary account no _____ with depository _____ opened as a joint account in the name of partners of the firm. We agreed that the obligations for share / commodities purchased and/or sold by the firm will be handled and completed through transfers to/from the above mentioned account. We recognised and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

1st Partner's Signature
(With Stamp)

2nd Partner's Signature
(With Stamp)

3rd Partner's Signature
(With Stamp)

Note –In case of more than three partners, please attach separate sheet of Annexure “F” signed by all the partners.

Format of Board Resolution in case of Corporate
(To be obtained on pre-printed letterhead of the company)

Certified true copy of the resolution passed in the meeting of the board of directors of
M/s. Ltd. And having its registered office at
held on day of 201 at

Resolved that the company do agree to open an account with M/s. Affinity securities Private Limited, Member of the National Stock Exchange of India Ltd. (NSE), Bombay Stock Exchange Ltd. (BSE), Metropolitan Stock Exchange of India Ltd. (MSEI) and Multi Commodity Exchange of India Ltd.(MCX) for the purpose of dealing on Capital Market segment, Futures and Options segments, Currency derivatives segment and/or Commodity Derivatives Segment, and the said the said Trading Member be and is hereby authorized to honour instructions, verbal or written, given on behalf of the company by any of the under noted authorized signatories.

Sr. No.	Name	Designation
1.
2.
3.

Who is/are authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through M/s. Affinity Securities Private Limited on behalf of the company.

Resolved further that Mr. and/or Mr. Directors and/or Mr.Authorized signatory of the company be and is hereby authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this resolution.

Resolved further that the common seal of the company be affixed, wherever necessary in the presence of any Directors or of any one Director and company secretary, who shall sign the same in token of the presence.

ForLtd.,
(Chairman / Company Secretary)
Specimen signatures of the Authorized persons

SHARE HOLDING PATTERN OF CORPORATE CLIENT

AS ON
(On the Letter Head of the Company)

Name of the Shareholders	No. of Shares	% of Shares
A. Promoter Shareholders Holding more than 5%		
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
B. Non-Promoter Shareholders Holding more than 5%		
1.		
2.		
3.		
4.		
5.		
C. Other (holding less than 5%)		
Total		100%

Title :

D D M M Y Y Y Y

PLACE

Signature of the Client

FORMAT & DECLARATION OF NRI CLIENT CODE APPLICATION

To
AFFINITY SECURITIES PRIVATE LIMITED
 Shaile Tower, 9th Floor, Room No. 903, J1/16 EP & GP Block, Salt Lake, Sector-V, Kolkata - 700 091

D D M M Y Y Y Y

Dear Sir / Madam,

I wish to appoint you as my Clearing Member for clearing and settlement of trades done on the Futures & Options Segment NSE / BSE / MSEI . My details are as follows :

Name (as appearing in Passport) :	
Passport No. :	
NRE / NRO - Bank A/c. No. :	
Telephone No. :	E-mail ID :
Current Address :	
Permanent Address in India	

I request you to kindly get an NRI Client code allotted by NSE / NSCCL / BSE / ICCL / MSEI / MCCIL. for the same. I wish to open a Trading Account with you as an NRI and I confirm that I will abide by all FEMA rules and regulations formed by the Government of India and RBI. I undertake that all the trades executed through the above allotted NRI Client code will be on my* behalf.

(*If the NRI Client Code application is for an HUF then the details of the Karta (Manager) has to be given in the application and in the undertaking should be provided as follows : "I undertake that all the trades executed through the above allotted code will be on behalf of HUF")

Thanking You,
Yours Faithfully,

Signature of the NRI Client

NRI's SPECIAL TERMS & CONDITIONS IN DERIVATIVES - GUIDELINES

The NSE / BSE / MSEI, has laid down certain terms and conditions for trading by NRIs in exchange traded Derivatives Contract some of which are as under:

An NRI, who wishes to trade on the Futures & Options Segment of the Exchanges, is required to approach the Exchange through a Clearing Member, through whom the NRI would like to clear the trades, for allotment of unique Client code.

The Exchange would assign a unique Client code to each NRI, based on the application received from the Clearing Member of the NRI. A Trading Member placing an order on behalf of an NRI would be required to maintain the unique Client code of the NRI at the time of an order entry.

In case the NRI wishes to change his Clearing Member or wants to clear the trades from more than one Clearing Member, all such Clearing Members are required to give separate application to the Exchange, for allotment of a unique Client code. The date of expiry of the passport of an NRI shall be beyond 6 months from the date of application.

POSITION LIMITS

The position limits shall be:

1. For Index Based Contracts, a disclosure requirement for any person or persons acting in concert who together own 15% or more of the open interest of all derivative contracts on a particular underlying index.
2. For Stock Option and Single Stock Futures Contracts, the gross open position across all Derivative Contracts on a particular underlying stock of a NRI shall not exceed the **higher of**:
 - (a) 1% of the free float market capitalization (in terms of number of shares).
 - (b) 5% of the open interest in the Derivative Contracts on a particular underlying stock (in terms of number of contracts).

These position limits would be applicable on the combined position in all Derivative Contracts on an underlying stock at an exchange.

The NRIs position limits at the end of each trading day will be monitored by the Derivative Segment of the Exchange and its Clearing House / Clearing Corporation in the following manner:

1. The NRI would be required to notify the names of the Clearing Member/s and Custodian through whom the NRI would clear the derivative trades to the Exchange and its Clearing House / Clearing Corporation.
2. The NRI would be required to confirm all its positions and the positions of all its sub-accounts to the designated Clearing Members online but before the end of each trading day.
3. The designated Clearing Member/s would at the end of each trading day submit the details of all the confirmed NRI trades to the Derivative Segment of the Exchange and their Clearing House / Clearing Corporation.
4. The Exchange and its Clearing House / Clearing Corporation would then compute the total NRI trading exposure and would monitor the position limits at the end of each trading day. The cumulative NRI position may be disclosed to the market on a T +1 basis, before the commencement of trading on the next day.
5. In the event of an NRI breaching the position limits on any Derivative Contract on an underlying, the NRI would not be permitted by the exchanges and their Clearing House / Clearing Corporation / Clearing Member/s to take any fresh positions in any Derivative Contracts in that underlying. However, they would be permitted to execute offsetting transactions so as to reduce their open position.
6. The NRIs while trading for each sub-account would also assign a unique Client code with a prefix or suffix of the code assigned by the Exchange and their Clearing House / Clearing Corporation to the NRI. The NRI would be required to enter the unique sub-account code before executing a trade on behalf of the sub-account.

Dated : _____

From :

To
AFFINITY SECURITIES PRIVATE LIMITED
Shaila Tower, 9th Floor, Room No. 903
J1/16 EP & GP Block, Salt Lake, Sector-V
Kolkata - 700 091

Ref. : Acknowledgement for the receipt of documents

Dear Sir,

This is to acknowledge and declare that

I/We have received a photocopy of the KYC (full booklet), duly executed with you, to my/our satisfaction including my / our Unique Client Code (Trading Code).

I/We have (Physically Electronically) received, read and understood the Rights & Obligations, Risk Disclosure Documents, Guidance Note.

I/We have received, read and understood the Policies and Procedures.

The email id noted with you (for ECN and other purposes) is correct.

Thanking you,

Yours truly,

Signature of the Client

Client Code _____

This page intentionally kept blank



Telephonic Verification By

Name : _____

Office Address : _____

Date : _____ Time : _____

Sign. : _____

Approved : Rejected :

Reason if Rejected _____

Registered Office address :

Shaila Tower,9th Floor, Room No. 903

J1/16 EP & GP Block, Salt Lake, Sector-V, Kolkata - 700 091

Telefax : +91 33 4004-2356, **E.mail** : customercare@theaffinity.in

Website : www.theaffinity.in, **CIN** : U67190WB2010PTC153468