

NAME OF CLIENT



NIRMAL BANG
a relationship beyond broking

AT NIRMAL BANG
IT'S A
RELATIONSHIP
BEYOND
BROKING

Member : BSE / NSE / MCX / NCDEX
Depository Participant : NSDL & CDSL
Repository Participant : NERL & CCRL

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5.	Rights and Obligations	Document stating the Rights&Obligations of stock broker/trading member, Authorised person and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading).	Separate copy provided to client. Also made available at www.nirmalbang.com
6.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities / commodities market.	
7.	Guidance note	Document detailing dos and don'ts for trading on exchange, for the education of the investors.	
8.	Policies and Procedure	Document describing significant policies and procedures of the stock broker	
9.	Rights and Obligations	Rights and Obligations of Beneficial Owner and Depository Participant as Prescribed by SEBI and Depositories	

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IMPORTANT NOTE

 Signature of Client / First Holder	 Signature of Second Holder	 Signature of Third Holder	 Signature of Introducer
 Signature of Guardian	 Authorised Signatory of Member	 Signature of First Witness	 Signature of Second Witness

IMPORTANT INSTRUCTIONS

- All details to be filled in Capital Block letters in Black / Blue Ink Only.
- Email ID & Mobile number is mandatory for account related passwords and transaction details.
- Corrections in the KYC form should be counter signed.
- Strike off whichever option in the account opening form is not applicable.
- All Originals to be produced for physical verification.
- Name & address of the applicant mentioned on the KYC form should match with the documentary proof submitted.
- Form need to be initialized by all the authorized signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities/ Commodities on behalf of company/firm/others and their specimen signatures.
- In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

KYC CHECKLIST (PLEASE TICK WHEREVER APPROPRIATE)

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

FOR OFFICE USE ONLY

I hereby declare that I have met the client personally and verified the person with the photo provided in account opening form (In Person Verification) and have verified all the proofs with original (OSV). I am aware of Civil and Criminal liability that may devolve upon me (irrespective of whether I remain in employment or not) as per law and Company Policies, in the event of false declaration to this effect.

I hereby declare that I have made the client aware of 'Policy & Procedures', Tariff Sheet, 'Rights & Obligations', RDD, Guidance Note and all the non-mandatory documents. Any change in the 'Policy & Procedures', 'Rights & Obligations', RDD and Guidance Note would be made available on our website www.nirmalbang.com, for the information of the clients.

Details of Employee / Authorized Signatory	Documents verified with Originals	Client Interviewed By & In-Person Verification done by	
Name & E Code			
Designation			
Date	DD / MM / YYYY	DD / MM / YYYY	
Signature			





KNOW YOUR CLIENT (KYC) | APPLICATION FORM (FOR NON - INDIVIDUALS ONLY)

Please fill in ENGLISH & in BLOCK LETTERS with black/blue ink & tick the appropriate options

Application No. :

A. IDENTITY DETAILS

1. Name of Applicant	FIRST NAME	MIDDLE NAME	LAST NAME
2. Date of incorporation			Place of incorporation
3. Date of commencement of business			
4. a) PAN		b) Registration No. (e.g. CIN)	
5. Status (please tick any one):			
☐ Private Limited Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Trust ☐ NGO's ☐ Charities ☐ Bank ☐ BOI ☐ AOP ☐ Government Body ☐ Non Government Organization ☐ Partnership ☐ Defense Establishment ☐ Society ☐ LLP ☐ FI ☐ FII ☐ HUF ☐ FPI Category I ☐ FPI Category II ☐ FPI Category III ☐ Others Please Specify			

PHOTOGRAPH

Please affix your recent passport and sign across it

B. ADDRESS DETAILS

1. Correspondence Address			
City/Town/Village	District		
Pin Code	State	Country	
2. Contact/Mobile No	Tel (Res. / Off)		
Email id			
3. Specify the proof of address submitted for Correspondence Address:			
4. Registered Address			
(if different from above):			
City/Town/Village	District		
Pin Code	State	Country	

C. OTHER DETAILS

1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:	If space is insufficient, enclose these details separately [Illustrative format enclosed]
2. DIN of whole time directors:	
3. Aadhaar number of Promoters/Partners/Karta	

DECLARATION

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

Name & Signature of Authorized Signatory(ies)

Date: DD / MM / YYYY

FOR OFFICE USE ONLY

☐ Originals verified and Self-Attested Documents copies received

Name		
Date	DD / MM / YYYY	DD / MM / YYYY
Authorised Signatory		



**DETAILS OF PROMOTERS/ PARTNERS/ KARTA / TRUSTEES AND WHOLE
TIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC)
APPLICATION FORM FOR NON-INDIVIDUALS**

S.NO.	Name	Relationship with Applicant(i.e. promoters, whole time directors etc.)	Date of Birth	Qualification	PAN	Residential / Registered Address	DIN of whole time directors /Aadhaar number of Promoters/Partners/Karta	Photograph
1								
2								
3								
4								

Name & Signature of
Authorized Signatory(ies)

FH
3/28

Date: DD / MM / YYYY

ANNEXURE 1 - PART 2

A. TYPE OF ACCOUNT (Please tick whichever is applicable)

Status						Sub-Status						
☐ Body Corporate ☐ Bank ☐ Trust ☐ Mutual Fund ☐ OCB ☐ FII ☐ CM ☐ FI ☐ Clearing House ☐ Other (Specify _____)						To be filled by the DP						
SEBI Registration No. (If applicable)				SEBI Registration Date	D	D	M	M	Y	Y	Y	Y
RBI Registration No. (If Applicable)				RBI Approval Date	D	D	M	M	Y	Y	Y	Y
Nationality		☐ Indian ☐ Other (Specify)										
Nature of Business												
* Name												

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

B. COMMODITY CLIENT SUB CATEGORY

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

C. COMMODITY CATEGORIES

Please select () on the below appropriate category depending upon your proposed nature of your activity against each product type.

☐ Commercial		☐ Non Commercial	
Product Type	☐ Bullion	☐ Base Metals	☐ Energy ☐ Agri-Commodities
1. COMMERCIAL: Commercial Client values Chain/Physical market participant/exporter/importer/having direct/indirect Exposure to the underlying Commodity.			
2. NON-COMMERCIAL: Non-Commercial Clients Includes Trader/Arbitrageur.			

D. STOCK EXCHANGE ON WHICH ONLY YOU WISH TO TRADE

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges		NSE, BSE & MSEI			MCX, NCDEX, BSE & NSE
All Segments	Cash / Mutual Fund	F&O	Currency	Debt	Commodity Derivatives
FH 4/28	FH 5/28	FH 6/28	FH 7/28	FH 8/28	FH 9/28

If you do not wish to trade in any of segments / Mutual Fund, please mention here _____.

In case of allowing a client for trading on any other Exchange at a later date, which is not selected now, a separate consent letter is required to be obtained by the Member from client and to be kept as enclosure with this document

E. INVESTMENT / TRADING EXPERIENCE & PREFERENCE									
☐ No Prior Investment Experience ☐ Years in Equities ☐ Years in Derivatives ☐ Years in other investment related field									
F. NAME & DESIGNATION OF PERSONS AUTHORISED TO DEAL IN SECURITIES/COMMODITIES ON BEHALF OF THE COMPANY/FIRM/OTHER AND THEIR RESIDENTIAL ADDRESS									
NAME		DESIGNATION				RESIDENTIAL ADDRESS			
G. WHETHER REGISTERED WITH ANY OTHER BROKER-MEMBER (IF REGISTERED WITH MULTIPLE MEMBERS, PROVIDE ALL DETAILS)									
NAME OF BROKER		NAME OF EXCHANGE				CLIENT CODE NO.			
DETAILS OF ANY ACTION TAKEN BY SEBI/STOCK EXCHANGE/ANY OTHER AUTHORITY FOR VIOLATION OF SECURITIES/ COMMODITIES LAW/OTHER ECONOMIC OFFENCES (INCLUDING ACTION TAKEN AGAINST RELATIVES/ASSOCIATES) IN last 3 Years _____ (Notification No. / Circular No. _____									
H. BANK ACCOUNT DETAILS (BANK 1 WILL BE CONSIDERED FOR PAYOUT OF FUNDS)									
Bank Name									
Bank Address									
City/Town/Pincode								State/Country	
Account No.							MICR Code		
Account Type		Savings/Current/Others in case of NRE/NRO					IFSC Code		
(i) Photoy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) (ii) Photocopy of the Bank Statement having name and address of the BO and not more than 4 months old, (or) (iii) Photocopy of the Passbook having name and address of the BO, (or) (iv) Letter from the Bank. * In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it should be self-certified by the BO.									
I. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002									
Gross Annual Income		☐ Upto Rs. 1,00,000 ☐ Rs. 1,00,000 to Rs. 5,00,000 ☐ Rs. 5,00,000 to Rs. 10,00,000							
		☐ Rs. 10,00,000 to Rs. 25,00,000 ☐ Rs. 25,00,000 to Rs. 1,00,00,000 ☐ More than Rs.1,00,00,000							
		OR Net Worth in ₹ (*Net worth should not be older than 1 year) as on date DD / MM / YYYY							
		(* Net worth should not be older than 1 year)							
Please tick if you are / any of the authorised signatories / Promoters / Partners / Karta / Trustees / Time Directors is either, ☐ Politically Exposed Person (PEP) or ☐ Related to Politically Exposed Person (RPEP) Please provide details as per Annexure 2.2A									
J. DEPOSITORY ACCOUNT DETAILS									
Depository		☐ CDSL ☐ NSDL ☐ CP ☐ RP				DP ID		12013300	
DP/ CP/ RP Name		NBSPL				BO ID			
Client Name									

K. INTRODUCER															
Status of Introducer		☐ Remisier ☐ Authorised Person ☐ Employee ☐ Existing Client ☐ Others (Specify)													
Name of the															
Introducer Address															
Tel No.							Signature of the AP / Introducer								
Introducer PAN No.															
L. DEALING THROUGH AUTHORISED PERSON (AP) / OTHER STOCK BROKERS															
If Yes, please specify:															
Name of Stock Broker							Name of AP								
Name of Exchange							Client Code (as given by other broker)								
Details of disputes/dues pending from/to such stock broker:															
Whether you are a Member / AP of any Exchange															
If yes, provide SEBI REGISTRATION NO:															
M.CLEARING MEMBER DETAILS (TO BE FILLED UP BY CLEARING MEMBERS ONLY)															
1	Name of Stock Exchange														
2	Name of Clearing Corporation / Clearing House														
3	Clearing Member ID														
4	Trading ID														
N. PAST REGULATORY ACTIONS															
Details of any action / proceedings initiated / pending / taken by SEBI / Stock Exchange / Commodity Exchange / any other authority against the client or its Partners / Promoters / Whole time directors / authorized persons in charge during the last 3 years:															
O. GST REGISTRATION DETAILS															
Registration No :							Name of the State :								
P.FINANCIAL DETAILS															
	Name					P.A.N No.				UID					
Sole/First Holder															
Second Holder															
Third Holder															
Q. MODE OF OPERATION FOR SOLE/FIRST HOLDER (IN CASE OF JOINT HOLDINGS, ALL THE HOLDERS MUST SIGN. In case of HUF this is not applicable)															
☐ Any one singly							☐ As per resolution								
☐ Jointly by							☐ Others (please specify)								
Unique Client Code (UCC)															
☐ I/We request to add Unique Client Code (UCC)															
Unique Client Code (UCC)										Exch ID		Segment ID		CM ID	TM ID

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

	First/Sole Authorized Signatory	Second Authorized Signatory	Third Authorized Signatory
Name			
Designation			
Signatures	 TH 10/28	 SH 1/6	 TH 1/6
Passport size Photograph	 (Please sign across the photograph) FH 11/28	 (Please sign across the photograph) SH 2/6	 (Please sign across the photograph) TH 2/6

S. STANDING INSTRUCTIONS

Whether you wish to receive Physical Contract Note (PCN) or Electronic Contract Note (ECN)	☐ Electronic ☐ Physical
Whether you wish to receive rights & obligation, uniform RDD, Do's & Don'ts either in electronic form or physical note	☐ Electronic ☐ Physical
Whether you wish to avail of the facility of internet trading/ wireless technology	☐ Yes ☐ No
Margin Trading Facility (Refer Rights & Obligation document)	☐ Yes ☐ No
Account to be operated through Power of Attorney (PoA)	☐ Yes ☐ No
Whether you wish to receive communication from Member in electronic form on your Email-id (If Yes, then please fill in Appendix - A)	☐ Yes ☐ No
Whether you wish to receive 'Policy & Procedures', RDD, Rights & Obligations of Members and Guidance Note - Do's & Don'ts in electronic form on your Email-id.	☐ Yes ☐ No

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	Mobile No. <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> [(Mandatory , if you are giving Power of Attorney (POA)] [If POA is not granted & you do not wish to avail of this facility, cancel this option].											☐ Yes ☐ No
Transactions Using Secured Texting Facility (TRUST). Refer to Terms & Conditions Annexure - 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the terms and conditions prescribed by CDSL for the same. I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;">Stock Exchange Name/ID</th> <th style="width: 33%;">Clearing Member Name</th> <th style="width: 33%;">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)							☐ Yes ☐ No	
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)										
easi	To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	☐ Yes ☐ No										
Receive Delivery Instruction Slip	☐ OPTION 1: I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with _____(name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. ☐ OPTION 2: I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with _____(name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.											
I/We instruct the DP to receive each and every credit in my/our account (If not marked, the default option would be 'Yes')		[Automatic Credit] ☐ Yes ☐ No										
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be 'No')		☐ Yes ☐ No										
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____		☐ Yes ☐ No										
I/We would like to share the email ID with the RTA		☐ Yes ☐ No										
I/We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)		☐ Electronic ☐ Physical ☐ Both Physical and Electronic										
I/ We wish to receive dividend/interest directly in to my bank account as given below through ECS (If not marked, the default option would be Yes) [ECS is mandatory for locations notified by SEBI from time to time]		☐ Yes ☐ No										
Account Statement Requirement	☐ As per SEBI regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly											
* [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]												

Details of Politically Exposed Persons (PEP/Related to Politically Exposed Person (RPEP), (For Non-Individual)

Name of Holder

PAN of the Holder

Sr. No.	Name of the Authorised signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors	Relation with the holder (i.e promoters, whole time directors etc)	Please tick the relevant option.
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP

Name & Signature of Authorized Signatory(ies)



Date: DD / MM / YYYY

FH
12/28

(First/Sole Holder Signature)

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

DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/ we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / we are aware that I/we may be held liable for it.
- I/We confirm having read/been explained & understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document', 'Guidance Note and Policies and Procedures'. 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 www.nirmalbang.com
- I/We further confirm having received the following documents by way of a separate booklet :
 - Rights and Obligations**
 - Risk Disclosure Documents**
 - Guidance Note**
 - Policies and Procedures**
- The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, we are aware that we may be held liable for it. I/ we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

FH
13/28

(First/Sole Holder Signature)

SH
3/6

(Second Holder Signature)

TH
3/6

(Third Holder Signature)

Date: DD / MM / YYYY

Place :

Annexure A

Most Important Terms and Conditions (MITC) (For non-custodial settled trading accounts)

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

FH
14/28

(First/Sole Holder Signature)

SH
4/6

(Second Holder Signature)

TH
4/6

(Third Holder Signature)

Date: DD / MM / YYYY

Place :

Name of Client: _____

Client Code: _____

Commodity Categorization Form :

Client Category	Description
Farmers/ FPOs	It includes participants such as farmers, farmers cooperatives, Farmers Producers Organisations (FPOs) and such entities of like nature. FPO/Farmers consists of collectivization of producers especially small and marginal farmers
Value chain participants (VCPs)	It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/ FPOs.
Foreign participants	It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets.
Domestic financial institutional investors	It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives.
Others	All other participants which cannot be classified in the above categories.

☐ I declare that I am categorized under option 'Others' for each of the commodity mentioned below.

Or

Field Name	Farmers/FPOs	Value Chain Participant (VCP's)	Foreign Participants	Domestic financial institutional investors	Others
aluminium	☐	☐	☐	☐	☐
bajra	☐	☐	☐	☐	☐
barleyjpr	☐	☐	☐	☐	☐
brass	☐	☐	☐	☐	☐
cardamon	☐	☐	☐	☐	☐
castoroil	☐	☐	☐	☐	☐
castorseed	☐	☐	☐	☐	☐
chana	☐	☐	☐	☐	☐
cocudakl	☐	☐	☐	☐	☐
COFFEE	☐	☐	☐	☐	☐
copper	☐	☐	☐	☐	☐
cotton	☐	☐	☐	☐	☐
cpo	☐	☐	☐	☐	☐
crudeoil	☐	☐	☐	☐	☐
dhaniya	☐	☐	☐	☐	☐
gold	☐	☐	☐	☐	☐
GUAREX	☐	☐	☐	☐	☐
guargum5	☐	☐	☐	☐	☐

Field Name	Farmers/FPOs	Value Chain Participant (VCP's)	Foreign Participants	Domestic financial institutional investors	Others
guarseed10	☐	☐	☐	☐	☐
ISABOL	☐	☐	☐	☐	☐
jeeraunjha	☐	☐	☐	☐	☐
kapas	☐	☐	☐	☐	☐
lead	☐	☐	☐	☐	☐
maizekhrif	☐	☐	☐	☐	☐
maizerabi	☐	☐	☐	☐	☐
mcxbulldex	☐	☐	☐	☐	☐
mcxenrgdex	☐	☐	☐	☐	☐
mcxmetldex	☐	☐	☐	☐	☐
menthaoil	☐	☐	☐	☐	☐
moong	☐	☐	☐	☐	☐
natural gas	☐	☐	☐	☐	☐
nickel	☐	☐	☐	☐	☐
nkrishi	☐	☐	☐	☐	☐
padypb1121	☐	☐	☐	☐	☐
pepper	☐	☐	☐	☐	☐
redpmolein	☐	☐	☐	☐	☐
rmseed	☐	☐	☐	☐	☐
rubber	☐	☐	☐	☐	☐
sbmealidr	☐	☐	☐	☐	☐
SESAMESEED	☐	☐	☐	☐	☐
silver	☐	☐	☐	☐	☐
STEEL	☐	☐	☐	☐	☐
sugar	☐	☐	☐	☐	☐
msybeanidr	☐	☐	☐	☐	☐
syoref	☐	☐	☐	☐	☐
tmcfgnzm	☐	☐	☐	☐	☐
wheatfaq	☐	☐	☐	☐	☐
zinc	☐	☐	☐	☐	☐

BROKERAGE DETAILS

Cash Market / Capital Market						
Jobbing				Delivery		
Brokerage on Side	Min	Max (%)	Slab No	Min	Max (%)	Slab No
1 st Side						
2 nd Side(Same Day Sq. Off)						
Future & Option Derivatives						
EQUITY FUTURE				EQUITY OPTION		
Brokerage on Side	Min	Max (%)	Slab No	Min	Max (%)	Slab No
1 st Side						
2 nd Side(Same Day Sq. Off)						
Currency Market						
CURRENCY FUTURE				CURRENCY OPTION		
Brokerage on Side	Min	Max (%)	Slab No	Min	Max (%)	Slab No
1 st Side						
2 nd Side(Same Day Sq. Off)						
FUTURE COMMODITIES MARKET						
Jobbing				Delivery		
Brokerage on Side	Min	Max (%)	Slab No	Min	Max (%)	Slab No
1 st Side						
2 nd Side(Same Day Sq. Off)						
Commodity Option Market				Options In Derivatives		
Brokerage on side	Min	Max (%)	Per lot	Slab No	Crude / Silver / Other	Gold
1 st Side					One Side	Both Side
2 nd Side (Same Day Sq.Off)						
Spot Commodities Market						
Jobbing				Delivery		
Brokerage on Side	Min	Max (%)	Slab No	Min	Max (%)	Slab No
1 st Side						
2 nd Side(Same Day Sq. Off)						

OTHER CHARGES

Stamp Duty ☒ Statuary Charges ☒ Transaction Charges ☒ GST ☒ STT ☒ SEBI Fees ☒ CTT Charges ☒

CHARGES FOR DEPOSITORY SERVICES

Sr.No.		Individual	Corporate
1.	Dematerialisation Per DRF (For Every 50 Certificate)	Rs. 40/-	Rs. 40/-
2.	Rematerialisation Per RRF(Effected from 01.02.2021)	Rs. 20 for every hundred securities.	
3.	Equities - Transfer Fees - Market & off Market	Per Transaction minimum of Rs.15/- or 0.03% Whichever is Higher	
4.	Pledge Creation / Closure / Invocation	Rs.100/- or 0.02% Whichever is Higher	
5.	Hold on securites for Non-Disposal Undertaking/ Agreement (NDU)	Rs. 100/- or 0.02% Whichever is Higher	Rs. 100/- or 0.02% Whichever is Higher
6.	Margin Pledge Creation/ Release	(POA Clients) Rs. 10/- (Per Transaction)	(Non-POA Clients) Rs. 20/- (Per Transaction)
7.	Account Maintenance Charges (AMC Per Annum-Pro -Rata)	Rs.200/-upfront	Rs.500/-upfront
8.	Life Time Free AMC	Rs. 1000/-	Rs. 2500/- + Annual Maintenance Fee As and when levied by Depository.

Notes:

1. Minimum Brokerage will be applicable for F&O trading.
2. Brokerage rate will not exceed the maximum rate as prescribed by SEBI / Exchanges.
3. All regulatory and statutory levies will be charged at Actual to the client, based the rate prevailing from time to time.
4. Fees schedule based on existing CDSL charges and is subject to change at the sole discretion of the Nirmal Bang Securities Pvt. Ltd. after giving 30 days notice.
5. GST Tax extra as applicable.
6. All charges are payable monthly.
7. All reference prices will be BSE price.
8. We shall be charging On-Market Pay-in Charges to Nirmal Bang Securities Private Limited. at actuals, as levied by the respective depository (CDSL/NSDL).
9. I/We authorise NBSPL to collect my/our DP charges from my trading account.
10. For Electronic Delivery through MCX / NCDEX client need to open separate respective COMRIS / COMTRACK / EDCM account with participant. Separate charges with applicable taxes if any will be debited in client's ledger account.
11. In case of intra day transaction in Commodity contract first leg rates as above shall be charged on the buy value or sell value depending upon whichever is higher and second leg rates shall be charged vice versa.
12. Commission of Clearing & Forwarding Agent/Commission agents, if appointed on behalf of clients for the purpose of taking of deliveries will be charged at actual.
13. Statutory levies including but not limited to Commodities Transaction Tax, GST on brokerage & charges, Stamp duty, Turnover charges, SEBI turnover fees & RMS fees shall be levied as per the rates applicable from time to time.
14. Nirmal Bang Securities Pvt. Ltd. reserves the right to revise the tariff structure from time to time at its sole discretion, under advance intimation to clients either by way of ordinary post or by an email or by SMS or by notification on the back office interface.
15. Physical Contract note delivery charges Rs.50 +GST (In case of bounced Contract note on email id /Whats app)


 FH
15/28
(First/Sole Holder Signature)

 SH
5/6
(Second Holder Signature)

 TH
5/6
(Third Holder Signature)

Date: DD / MM / YYYY

Place :

ANNEXURE - X

Segment	Link to see whether the member is registered with the exchange	Link for trade verification facility available in the exchange website
MCX	http://www.mcxindia.com/SitePages/MembersDetails.aspx	http://www.mcxindia.com/sitepages/TradeVerification.aspx
NCDEX	http://www.ncdexindia.com/Membership/MembersDirectory.aspx	http://www.ncdexindia.com/MarketData/VerifyTrade.aspx
ICEX	https://www.icexindia.com/static/Membership-find-member.aspx	https://www.icexindia.com/MarketData/trade-verification.aspx

APPENDIX A ELECTRONIC CONTRACT NOTE [ECN] DECLARATION (VOLUNTARY)

To,
Nirmal Bang Securities Pvt. Ltd.,
B-101 Khandelwal House, 1st flr., Poddar Rd.,
Nr. Poddar Park, Malad (E), Mumbai- 400097.

Dear Sir,

I, _____ a client with Member M/s Nirmal Bang Securities Pvt. Ltd. of BSE /
NSE / MCX / NCDEX Exchange undertake as follows:

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

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

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

Client Name			
Client Code	Pan No		
Address			
City	Pin Code		
Date			
Place	Client Signature	FH 16/28	
Verification of the client signature done by,			
Name of the designated officer of the Member			
		Signature	✉
Date	Employee Code		

CLIENT DECLARATION - OPEN INTEREST POSITION (VOLUNTARY)

I/We, the undersigned, have taken cognizance of circulars issued by SEBI / Security/ Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in any Security/ Commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that I / we will not exceed the position limits prescribed from time to time by Security/ Commodity Exchanges or SEBI and such position limits will be calculated in accordance with the circulars on position limits as modified from time to time.

I/We undertake to inform you and keep you informed if I / any of our partners / directors / karta / trustee or any of the partnership firms/companies / HUFs / Trusts in which I or any of above such

person is a partner / director / karta / trustee, takes or holds any position in any Security/ Commodity forward contract / Security/ Commodity derivative on Exchanges through you or through any other member (s) or Exchanges, to enable you to restrict our position limit as prescribed by the referred circular of Exchanges as modified from time to time.

I/We confirm that you have agreed to enter order in Security/ Commodity forward contracts / Security/ Commodity derivatives for me / us as your clients on Security/ Commodity Exchanges only on the basis of our above assurances and undertaking.

I/We further undertake to bear any liable/penalty/charges levied by Security/ Commodity Exchanges / SEBI.

Client Signature

FH
17/28

APPENDIX A RUNNING ACCOUNT AUTHORISATION (VOLUNTARY) (For Equity and Commodity Exchanges)

To,
Nirmal Bang Securities Private Limited (NBSPL)
Member BSE, NSE, MCX, NCDEX
Client code: _____

Date:

Dear Sir,

In order to facilitate operations of my/our trading account opened under the aforesaid client code, I/we would like to authorize Nirmal Bang Securities Private Limited ("NBSPL") to maintain a running account, instead of settlement-to-settlement clearance of funds due to me/us. In this regard I/we hereby authorise NBSPL to maintain running account in accordance with the following SEBI Circulars and Circulars issued by Exchanges from time to time.

SEBI circular MIRSD/ SE /Cir-19/2009 dated December 3, 2009, SEBI/HO/MRD/DP/CIR/P/2016/135 dated December 16, 2016, SEBI circular no. CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20, 2019, SEBI Circular SEBI/HO/MIRSD/DOP/P/CIR/2021/577 dated June 16, 2021, SEBI/HO/MIRSD/DOP/P/CIR/2022/101 dated July 27, 2022 and SEBI/HO/MIRSD/MIRSD-PoD1/CIR/2023/197 dated December 28, 2023.

Periodic settlement of running account of funds as indicated by me/us below (hereinafter referred as 'settlement period'), will be done by NBSPL on the first Friday and /or Saturday of the Month/Quarter as per the preference opted by the me/us and if first Friday is a trading holiday, then such settlement shall happen on the previous trading day. I/We agree that I/we shall be liable to pay the debit standing to my account on the settlement date or any other date. I/We request you to settle my/our fund once in every calendar Quarter / Month (Strike out whichever is not applicable).

I/We agree that NBSPL may, at the time of periodic settlement retain funds after considering the end of the day (EOD) obligation of funds as on date of settlement across all the exchanges and settled the running account as per the preference as opted by me/us. Further, in respect of Cash and Derivative market transactions, apart from margin liability as on date of settlement, NBSPL have the right to retain additional margins (Maximum up-to 125% of margin requirement on the date of settlement) to take care of my/our margin obligation arising in next 5 days.

I/We am/are aware that the authorization will be in force till the same is revoked by me/us. Further I/we may revoke the authorization any time making a written request for revocation. NBSPL may release the funds to me/us on my/our settlement date or on request or on revocation of authority, if sufficient margins in respect of my/our trading, across the Stock Exchange(s) and across the segment of the Stock Exchange(s) are available with NBSPL

I/We am/are aware that for the purpose of settlement of funds, the mode of transfer of funds shall be only by way of electronic transfer viz NEFT, RTGS etc. If for any reason online transfer is rejected, Member can issue Cheque in my favour.

Client Signature

FH
18/28

SAME MOBILE NUMBER/EMAIL OR BOTH FOR TRADE CONFIRMATION (VOLUNTARY)

I _____ a client of Nirmal Bang Securities Pvt. Ltd. (NBSPL) with client code _____, hereby confirm that I am a family member :

☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Parent ☐ AOP (Please specify) _____ of your client _____ (herein referred as master client) having client code _____. I request and give you the mandate to

provide the SMS/Email/both (SMS & Email) confirmation on the same mobile number and Email ID as that of the Master client as mentioned in the KYC Application form.

I hereby understand all the risk that can arise in future due to this and take all the responsibilities for the same. I also agree that NBSPL will not be responsible for any loss/problem/unauthorized trading claim if arises in any of the scenario out of this.

Client Signature

FH
19/28

ARRANGEMENT WITH AUTHORISED PERSON (VOLUNTARY)

I/We confirm that I/we have been introduced to Nirmal Bang Securities Private Limited (NBSPL) by a an Authorised Person (AP) (as per mentioned below) appointed by NBSPL pursuant to relevant Exchange(s) norms. In this connection I/we am/are aware of the following: The AP shall not receive or pay any money or securities/commodities in his/her/its own name or account. All receipts and payments of securities/commodities and funds shall be made only in the name of the NBSPL; The AP shall receive his/its remuneration-fees, charges, commissions, salary etc for his/its services only from the NBSPL and he/she/it shall not charge any amount whatever from the client; In view of the foregoing, I/we acknowledged that the AP is not authorised by NBSPL to enter into any private arrangement with any clients of NBSPL including those introduced by him/her/it.

I/we further agree and accept that I/we will not hold NBSPL responsible for any loss, damage, other liability or consequence, direct or indirect, arising out of any error of commission or omission by the AP with regard to any dealing and or transaction based on or transactions base on or resulting out of any private agreements (if any). Between me/us and the AP. I/we agree that all debit instruction slips and other documents in respect of my/our depository Beneficial Owner account with Nirmal Bang Securities Private Limited (NBSPL) shall not be left in the custody of the AP, either blank, partially filled up and/or executed/signed. I/ we further agree and accept that I/we will not hold NBSPL responsible for any loss, damage, other liability or consequence, direct or indirect, arising out of my/our action in leaving such blank, partially filled up and/or executed/signed documents with the AP.

Client Signature

FH
20/28

I/We hereby agree for the arrangement with the client
Accepted by ☐ Authorised Person

AP Signature

FH

AP Name

AUTHORISATION FOR TRANSFER OF FUNDS AND / OR SECURITIES/ COMMODITIES, INTER SEGMENT AND INTER EXCHANGE (VOLUNTARY)

I / We hereby authorize you as under:

- 1.To transfer funds and/or securities / commodities from my /our account in one segment against my/our obligations in an other segment in the same exchange or different exchange.
- 2.To transfer funds and/or securities / commodities from my /our account in one in one segment against collaterals/ margin for my/our trade in another segment against collaterals /margin for my/our trade in another segment in the same Exchange or different Exchange.
- 3.I/We am/are aware that the funds means monies that is lying as credit in my/our account or pay-outs that are to be

received from the exchanges arising out of sale securities / commodities. Similarly, I/We am/are aware that securities / commodities means, shares lying with you, on my/our behalf, for which I/We have fully paid for or margin or shares that are to be received as pay-out from the Exchange/s.

The above transfer of funds can be done either by way of journal entry (JV) or by way of physically exchanging cheques. In case if I/We wish to withdraw this authorization, I/We shall inform NBSPL in writing and acknowledge by NBSPL at least 15 day in advance from the date of withdrawal.

Client Signature

FH
21/28

1. Policy for Penny Stock

A stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. Depend on the market condition and RMS policy of the company RMS reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only .

2. Refusal of orders for Security/Commodity Derivatives

The client is aware and agrees that the Nirmal Bang Securities Pvt. Ltd. may refuse or restrict a client in placing the order in certain securities/ commodities depending on various Conditions like volume/value/part of illiquid securities/ commodities although a client may have credit balance or sufficient margin in the trading account. However, Nirmal Bang Securities Pvt. Ltd. under exceptional circumstances may execute client's order. The Nirmal Bang Securities Pvt. Ltd. has the discretion to reject execution of such orders based on its risk perception.

3. Setting up client's exposure limits

The stock broker may from time to time impose and vary limits on the orders that the client can place a) through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities/commodities in respect of b) which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security/commodity specific/volume specific exposures etc.). and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities/commodities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems any may refuse to execute/allow execution of orders due to but not c) limited to the reason of lack of margin/securities/commodities or the order being outside the limits set by stock broker/exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security/commodity as per VAR based margining system of

the stock exchange and/or margin defined by RMS based on their risk perception.

In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

4. Imposition of penalty / delayed payment charges:

4.1 In case of delay in payment by the client to NBSPL on its due date, NBSPL in respect of such delayed payment will be entitled to recover late / delayed payment charges from due date. The said delayed payment shall include amounts payable by the client to NBSPL in respect of Initial margin, Mark to Market, shortfall of Margin(s) in prescribed modes, and/or other margins and pay in obligations. Late payment charges will be levied up to 2% per month or a part of month on delayed payment for the delayed period. The trade of the client may not be executed by NBSPL if the client does not clear trade related dues along with delayed payment charges. The client will not be entitled to any interest on the credit balance /excess margin available /kept with NBSPL.

4.2 A delayed payment charge is applied to act only as a deterrent measure. The client should not construe it as a funding arrangement. The client cannot demand continuation of service on a continued basis citing levy of delayed payment charges.

4.3 NBSPL may impose fines /penalties for any order /trades /deal /actions of the clients which are contrary to this mandatory and voluntary Client Registration documents / rules /regulations /byelaws of the exchange or any other law for the time being in force at such rates and in such form as it may deem fit. Further where the NBSPL has to pay any fine or bear any punishment from any authority in connection with/as a consequence of /in relation to any of the order /trades /deal/actions of the client, the same will be borne by the client.

5. Shortage in Obligations arising out of internal netting trades.

Nirmal Bang Securities Private Limited (NBSPL) has revised its policy for settling transaction, which remains unsettled due to Internal Shortages: Internal Shortages means one client(s) has failed to give the delivery of the securities sold, which has resulted into short delivery to other client(s) of NBSPL. The Client hereby agrees that if he/she/it has short delivered any securities against his/her /its obligation towards counter party who is a client of NBSPL and the delivery of the securities were also not effected including closed out through auction in the market (Self Auction) at clearing corporation for any reason including that self-auction is not permitted on the exchange or delayed in uploading internal shortage file, or file rejected due to technical issue or for any other reason, then the contract shall be closed out and the close out price will be higher of: (a) The highest price of the securities prevailing in NSE or as the case may be BSE on the date of transaction (T day) till the day of auction relevant to the trade (auction day) or (b) The closing price for the securities on the auction day as increased by 7% or such other % as may be revised by NBSPL from time to time.

The amount so determined shall be debited to the account of the client who defaulted to deliver and the same amount will be credited to Buyer Client. Further if the shares is in circuit filter on auction day and internal auction is not initiated at Clearing Corporation, then Close out rate will be for Buyer and short Seller 20% (High price of T day and Auction day) or as prescribed by Exchange / Clearing Corporation from time to time.

Compulsory Close Out of securities under Corporate Action

In cases of securities having corporate actions, all cases of short delivery by clients on cum corporate action transactions which cannot be auctioned on cum basis would be compulsory closed out at higher of 20% above the highest traded price of T day or as prescribed by Exchange / Clearing Corporations from time to time. Accordingly, if a client fails to give the delivery of the securities sold having corporate action, which if resulted into Internal Shortage, such client will be debited for the transaction at the rates prescribed above. Similarly, if NBSPL is unable to give the delivery of the securities bought by any client due to the Internal Shortage, such client will receive the credit for the transaction at the rates prescribed above.

6. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client

We have margin based RMS system. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability /shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/ close out without giving notice due to shortage of margin/ non making of payment for their payin obligation/ outstanding debts.

7. Temporarily suspending or closing a client's account at the client's request

On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place.

On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

8. De-registering a client :-

Notwithstanding anything to the contrary stated in the mandatory and non-mandatory client registration documents, the stock broker shall be entitled to terminate the mandatory and non-mandatory client registration documents with immediate effect in any of the following circumstances:

- (i) If the action of the client are prima facie illegal / improper or such as to manipulate the price of any securities/ commodities or disturb the normal/proper functioning of securities/commodities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of a legal process against

the client under any law in force;

- (iii) On the death/lunacy or other disability of the Client;
- (iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
- (v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other mandatory and non-mandatory client registration documents with the Stock broker;
- (vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- (vii) If the Client is in breach of any term, condition or covenant of this mandatory and non-mandatory client registration documents;
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security/Commodity;
- (ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

9. The Client agrees that NBSPL will not be responsible for partial execution of orders placed by the Client. The Client also agrees that all orders placed by him shall be treated as orders for that particular session only. In case the Client wants the orders to be carried forward or extended for the day or for more number of days he shall communicate the same to NBSPL.

10. Undertaking for Services by way of SMS alerts / Whatsapp or any electronic mode by Trading Member on Mobile /Cellular phones or any other electronic gadgets.

I / we are having a trading account with Nirmal Bang Securities Pvt. Ltd. for the purpose of trading on Exchanges as per the client registration document executed. I / we have registered the Mobile No. as mentioned in KYC Application form for receiving SMS alerts in respect of various services being offered by you including Trading Calls.

A. In respect of investment/trading advisory services received from the trading member, I/We undertake to the trading member and confirm to use our own judgement in taking a call on the said investment(s). I/We also undertake to the trading member and confirm that I/we execute trades in the identified security/commodity(s) according to my/our financial strength/capability.

I/We declare and agree that the trading member shall not be responsible for any loss suffered by me/us on account of executing or omitting to execute any trades in pursuance of the SMS alerts(s) and / or investment advises sent by the trading member.

I/We shall not have any claim whatsoever against the trading member in respect of the above mentioned acts or omissions.

I /We hereby state that my number is not under Do Not disturb directory and I /We am availing this services on my own will and there will be no financial obligation of NBSPL in case of legal disputes.

B. In respect of all other intimation services offered by the trading member, I/We undertake to indemnify the trading member and absolve the trading member of any claims on account of various services rendered to me/us in respect of servicing my trading account with them.

11. Digitally signed Contract Notes/ Statement of Accounts: The Client hereby agrees and permits NBSPL to provide digitally signed contract notes through internet (web-based) and agrees as under:

11.1 With reference to Client Registration documents executed between us, I/We hereby authorized you to do the following:

11.2 I / We have been / shall be dealing through you as my / our broker on the Capital Markets and/or Future and Option Segments. As my / our broker i.e. agent I / We direct and authorize you to carry out trading / dealings on my /our behalf as per instructions given below.

11.3 I / We understand that, I / we have the option to receive the contract notes, Client Margin information, Statement of fund & Securities/Commodities, DP statements, DP Bills and other details in physical form or electronic form. In pursuance of the same, I / we hereby opt for receipt of contract notes, Client Margin Information etc in electronic form. I / We understand that for the above purpose, you are required to take from the client an appropriate email account for you to send electronic contract notes. Accordingly, please take **Email ID mentioned in this KYC application form** for sending the contract notes and other documents to me / us.

11.4 I / We agree not to hold you responsible for late / non receipt of contract notes, Client Margin information and other details sent in electronic form and any other communication for any reason including but not limited to failure of email server, loss of connectivity, email in transit etc. I / we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes, Client margin information to me / us and shall not be disputed by me / us on account of any non receipt / delayed receipt for any reason whatsoever.

11.5 I / We also agree that non - receipt of bounced mail notification by you shall amount to delivery at my email account(s) / email id(s).

11.6 I / We understand that I / we am / are required to intimate any change in the email id / email account mentioned herein above needs to be communicated by me / us through a physical letter to you, provided however that if I / we am / are an internet client then in that event the request for change in email id / email account can be made by me / us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. I / We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

12. Investment Advice:

12.1 The client acknowledges that NBSPL shall not be liable to

provide him any legal, tax, investment or account advice or advice regarding the suitability or profitability of a security/commodity or investment.

12.2 The client agrees that in the event of Security/Commodity broker or any employee or official of Security/Commodity broker providing any information, recommendation or advice to the client, the client may act upon the same at the sole risk and cost of the client and NBSPL shall not be liable or responsible for the same. The client assumes full responsibility with respect to his investment decisions and transactions. The Client agrees not to have any arrangement or understanding with any of the employee and/or remisser and /or franchisee and/or authorized person of any nature whatsoever in respect of transactions of purchases or sales of the shares and/or derivatives transactions and/or any fixed return of profit etc.

12.3 NBSPL, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the client.

13. Tape recording of client conversation:

The client is aware that NBSPL may tape-record the conversations between the client and NBSPL, either personally or over the telephone, and the client hereby specifically permits NBSPL to do so. Such electronic recordings may be relied upon by NBSPL as and when required to resolve disputes in connection with the trading transactions. However in the event if such conversation are not recorded by NBSPL. I/We shall not hold NBSPL responsible for non recording of such conversation

14. Letter of Authority: I / We have been regularly trading and investing, or plan to do so, with you at BSE / NSE / MSEI / MCX / NCDEX . To facilitate ease of operations, I / we request and authorize you as under:

14.1 My/our orders for purchase/ sale of securities/commodities will be given on telephone or orally during my/ our visit to your office. I / We further declare that all orders placed by me/ us with you will be for my/ our personal/ family account (s) and that I / we will not operate for any client and will not issue any further contracts/ bills for the transactions executed through you.

14.2 I/We hereby authorise you to undertake any transfer inter-se of funds, securities/commodities, debits & credits available between various exchanges.

14.3 I am/we are aware that you are required to issue payment/ delivery due to me/us as per the payout from the exchange. In order to facilitate operations, I/we hereby authorize you to maintain running accounts with you; to debit my/our running account for the margin/ funds & / deliveries payable by me/ us; to include any/all the pay out of funds & / or deliveries towards margin / delivery and/or towards pay in obligations and / or towards fund/deliveries payable by me/ us, without any specific.

14.4 I / we also agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such deliveries/funds under this agreement or otherwise.

14.5 Pledge / deposit my / our deliveries & / or funds whether deposited as collateral /margin or permitted by us to be retained in the running account etc. by you with any bank or any other institution including but not limited to the Exchanges (s) /Clearing Corporation / Clearing House for

the purposes creating FDRs, or towards Margin / collateral as also to meet shortfall in my / our fund/ deliveries pay in obligation/ auctions or assignment of contracts or any other liability arising out of my/our dealings with you/through you I/ we authorize you to do all such acts deeds and things as may be necessary and expedient for placing such deliveries with the Exchanges/banks/institutions as margin. You are further authorized to sell/ liquidate these deliveries /FDRs at the time and manner of your choice, as & when deemed fit by you in your absolute discretion to meet any shortfalls in my/ our accounts or any other liability of mine/ ours without any reference to me / us.

14.6 I / we agree that any loss due to any erroneous order entry /erroneous order modification from my/our end shall be entertained by you only to the extent of insurance claim received

14.7 I / We authorise you to maintain my / our account, both funds with you on a running account basis and request you to consider the balances in my/ our running funds and securities/commodities account with you for the purpose of margins/ any other obligations due to you. In view of the same it would be proper for you to release the funds and securities/commodities due to me/ us on my/ our specific request, either written or oral. Further I/ we understand and agree that any credit amount lying with you will not attract any interest.

14.8 I/We agree and authorise you debit charges for depositories services and any other incidental charges to my / our running account.

14.9 I/We authorise you to liquidate/ close out all or any of my/ our positions for non-payment of margins or other account, outstanding debts etc. I/We agree to bear any and all losses and financial charges on account of such liquidation/ closeout.

14.10 I/We agree that you may refuse to execute any particular transaction without assigning any reason therefor.

14.11 I/We agree not to hold you liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion, earthquake, riots, war, strikes, failure of systems, failure of internet links, Government/ regulatory actions or any such other contingencies which may be beyond your control.

15. Declaration:

15.1 I/We an individual/a sole proprietary concern _____ having his/her/it's residence / registered office at _____ - _____ . has entered into individual mandatory and non-mandatory client registration document, Client Registration Form, Risk Disclosure Documents, etc. for dealing in Cash Segment and/or Derivatives / Futures and Options Segment of National Stock Exchange of India Limited (NSE) and Bombay Stock Exchange Limited (BSE)/Metropolitan Stock Exchange of India Limited (MSEI) (NSE and BSE and MSEI collectively known as Exchange) on _____ and _____.

15.2 I / We hereby declare that I am a regular investor in the stock markets in India. I / We am / are conversant with the laws, practices, rules, regulations, guidelines, circulars, etc. prescribed by the Securities/ Commodities and Exchange Board of India (SEBI) and National Stock Exchange of India

Limited. (NSE) and Bombay Stock Exchange Limited (BSE) and Metropolitan Stock Exchange of India Limited (MSEI).

15.3 I/We hereby further declare that I am holding the shares in my demat account no. _____ with DP _____ I/We hereby further declare that I/We will not give any third party shares for settlement of my obligations to the Exchange.

15.4 I / We hereby further declare that I / We will not receive or give any monies in cash or in kind for completing the settlement obligations to the Exchange. I / We hereby further declare that I / We are aware of the illegal practices that are prevalent in the Stock Market. I/We hereby further declare that I will not carry out any unfair trade practices such as Synchronized deals, Structured deals, Circular Trading in the Cash / Capital Market and Derivatives / Futures and Options segment. I/We hereby further declare that I/We will not place any order on the Exchange which will reflect as an arrangement for profit or loss transactions.

15.5 All the orders placed on the exchange will be in the normal market where there is corresponding underlying securities/ commodities positions in the cash or futures segment of the respective Exchange.

15.6 I hereby further declare that I am aware of the following provisions of laws applicable to the Securities/ Commodities Market.

(A) Section 11 of the SEBI Act, 1992 read with 11B inter alia prescribed that 11 (4) Without prejudice to the provisions contained in sub-section (1) (2) (2A) and (3) of 11B , the Board may, by an order for reasons to be recorded in writing, in the interests of investors or securities/ commodities market, take any of the following measures, either pending investigation or inquiry or on completions of such investigation or inquiry, namely: -

(b) restrain person from accessing the securities/ commodities market and prohibit any person associated with securities/commodities market to buy, sell or deal in securities/commodities.

(B) Section 4 Prohibition of manipulative, fraudulent and unfair trade practices

15.7 Without prejudice to the provisions of regulation 3, no person shall indulge in a fraudulent or an unfair trade practices in securities/commodities.

15.8 Dealings in securities/commodities shall be deemed to a fraudulent or an unfair trade practices if it involves fraud and may include all or any of the following namely:-

(a) indulging in an act which creates false or misleading appearance of trading in the securities/commodities market;

(b) dealing in a security/commodity not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of such security/commodity for wrongful gain or avoidance of loss;

(c) advancing or agreeing to advance any money to any person thereby inducing any other person to offer to buy any security/commodity in any issue only with the intention of securing the minimum subscription to such issue;

(d) paying, offering or agreeing to pay or offer, directly or indirectly, to any person any money or money's worth for inducing such person for dealing in any security/commodity with the object of inflating, depressing, maintaining or causing fluctuation in the price of such security/commodity;

- (e) any act or omission amounting to manipulation of the price of a security/commodity;
- (f) publishing or causing to publish or reporting or causing to report by any person dealing in securities/commodities any information which is not true or which he does not believe to be true prior to or in the course of dealing in securities/commodities;
- (g) entering into a transaction in securities/commodities without Intention of performing it or without intention of change of ownership of such security/commodity;
- (h) selling, dealing or pledging of stolen or counterfeit security/commodity whether in physical or dematerialised form;
- (i) an intermediary promising a certain price in respect of buying or selling of a security/commodity to a client and waiting till a discrepancy arises in the price of such security/commodity and retaining the difference in prices as profit for himself;
- (j) an intermediary providing his clients with such information relating to a security/commodity as cannot be verified by the clients before their dealing in such security/commodity;
- (k) an advertisement that is misleading or that contains information in a distorted manner and which may influence the decision of the investors;
- (l) an intermediary reporting trading transactions to his clients entered into on their behalf in an inflated manner in order to increase his commission and brokerage;
- (m) an intermediary not disclosing to his client transactions interceded Into on his behalf including taking an option position;
- (n) circular transactions in respect of a security/commodity entered into between intermediaries in order to increase commission to provide a false appearance of trading in such security/commodity or to Inflate or depress or cause fluctuation in the price of such security/commodity;
- (o) encouraging the clients by an intermediary to dealing in securities/commodities solely with the object of enhancing his brokerage or commission;
- (p) an intermediary predating or otherwise falsifying records such as contract notes;

15.9 I / We hereby further declare that I/ We will not indulge either directly or indirectly in any of the above mentioned fraudulent or unfair trade practices either individually or in concert with other persons / entities. In the event of any of the above fraudulent or unfair trade practices is noticed by the Exchange or Regulatory Authorities, then I/We shall be solely responsible for such acts as noticed and you shall not be responsible for my illegal and fraudulent and unfair trade practices in the capital market segment and Futures and Options segment of the exchange. I shall bear the penalty or fine if incurred by NBSPL due to such fraudulent or unfair trade practices as mentioned above.

15.10 In case of any change in my US person status on a future date , I undertake to inform M/s. Nirmal Bang Securities private Limited the same within 30 days . I agree that if I have confirmed that I am a USA person , my account would be considered as U.S. Reportable Account and my account details, as required under Inter Governmental Agreement (IGA) signed by Indian Government , would be reported by M/s . Nirmal Bang Securities private Limited to the relevant tax authority identified in IGA .

15.11 I/We hereby authorised M/s. Nirmal Bang Securities Pvt. Ltd. (Broker BSE, NSE & MSEI) to deposit the collateral provided by me onward to the exchange / clearing corporation / clearing house towards the margin obligations.

16. Policy for Handling Good Till Date (GTD)/ Good Till Cancelled (GTC) Orders

Key Features of GTD/GTC Orders

- (a) GTD orders are valid for 45 days (including holidays), while GTT and GTC orders remain for 90 days.
- (b) The GTD/GTC order allows clients to buy/sell securities at a predetermined price until the order is executed, cancelled, or expired.
- (c) GTD/GTC orders enable clients to manage market positions without constant monitoring.
- (d) NBSPL clients can place GTD/GTC orders by contacting their Relationship Manager or Dealing Desk.
- (e) Trigger Time: NBSPL will trigger GTD/GTC orders between 09:18 AM ñ 09:20 AM on market open days.
- (f) NBSPL will continuously place limit orders on behalf of clients until the GTD/GTC order is fully executed, cancelled, or expired.
- (g) The system will ensure the daily placement of unexecuted orders, and the client may cancel or modify orders at any time before execution.

Corporate Actions

NBSPL will notify clients about upcoming corporate actions (e.g., dividends, bonus issues, stock splits) that could affect their unexecuted GTD/GTC orders. Clients must review and take action as necessary to avoid any impacts on their orders.

Risks Associated with GTD/GTC Orders

(a) Price Fluctuation Risks:

The price might need to meet the specified conditions in volatile markets, leading to missed execution opportunities. Tying up capital in pending GTD/GTC orders may limit flexibility in making other trades.

(b) Margin Trading Risks:

Margin traders need to be cautious when using GTD/GTC orders, as this could reduce their available margin for other trades.

(c) Monitoring Requirement:

Clients must actively monitor their GTD/GTC orders to ensure alignment with their overall financial goals.

17. Proprietary Trading:

The stock broker hereby states & inform that it undertakes proprietary trading in Exchanges in addition to client based trading.

Client Signature

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22/28

Nirmal Bang Securities Private Limited

SEBI Registration Number-INZ000202536, Member-BSE/NSE/MCX/NCDX/ICX, Depository Participant-NSDL/CDSL

Client Code - _____

Annexure-A

Client Name - _____

Demat Debit and Pledge Instruction

I/We here by authorise M/S Nirmal Bang Securities Private Limited as per SEBI CIRCULAR no. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2022/137 dated 06/10/2022 regarding Execution of Demat Debit and Pledge instruction (DDPI) for transfer of securities towards deliveries / settlement obligations and pledging / replying of securities

S.No.	Purpose	Signature BO 1
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	
2.	Pledging / re-pledging of securities in favour of trading member (TM) /clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	
4.	Tendering shares in open offers through Stock Exchange platforms.	

DP Name	DP ID	BO Account No.
Nirmal Bang Securities Private Limited - NSDL	IN301604	
Nirmal Bang Securities Private Limited - CDSL	12013300	

Details of the Accounts in which the Shares can be Pledged / transferred by the Member is as under :

CM BP	CM NAME	NSDL CLIENT ID	CDSL CLIENT ID	CATEGORY
IN651740	NBSPL	10001877	1201330000001771 1201330000001805	BSE CM
IN557796	NBSPL	10000102	1201330000001503	NSE CM
IN521973	NBSPL	IN301604 12360828 IN301604 12355980	1201330001695178 1201330001695163	TM/CM-Client Securities Margin Pledge Account
IN623659 IN521973	NBSPL	IN301604 12986205	1201330002140853	Client Unpaid Securities Pledgee Account
IN620031 IN565576	ICCL NCL	NA	NA	BSE-Star MF CLG Pool NSE MFSS CLG Pool
IN557796	NBSPL		12013300 - 00045693, 00045674, 00045689	Pool Account
IN521973	NBSPL	IN301604 12355998	1201330001693867	TM-Client Securities under Margin Funding Account


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(First/Sole Holder Signature)


SH
6/6

(Second Holder Signature)


TH
6/6

(Third Holder Signature)

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Details of Ultimate Beneficial Owner (UBO) Including Additional FATCA & CRS Information



APPLICANT DETAILS

1. Name of the entity	FIRST NAME	MIDDLE NAME	LAST NAME
2. Type of address given at KRA	☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office		
3. Customer ID / Folio NO	4. PAN		
5. Date of incorporation DD / MM / YYYY	6. City of incorporation	7. Country of incorporation	
8. Entity Constitution	☐ Partnership Firm ☐ HUF ☐ Private Limited Company ☐ Public Limited Company ☐ Society ☐ Trust H Liquid ator ☐ AOP/BOI ☐ Limited Liability Partnership ☐ Artificial Juridical Person ☐ Others <u>Specify</u>		

9. Please tick the applicable Tax resident declaration

Is "Entity" a tax resident of any country other than India? ☐ Yes ☐ No

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

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

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

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

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

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

PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1. We are a	☐ Financial institution ☐ Direct reporting NFE (please tick as appropriate)	
2. GIIN	3. Name of sponsoring entity	
4. GIIN not available (please tick as applicable) ☐ Applied for		
5. If the entity is a financial institution	☐ Not required to apply for – please specify 2 digits sub-category ☐ ☐ Not obtained - Non-participating F1	

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

PART B (please fill anyone as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market)	Yes ☐ (If yes, please specify anyone stock exchange on which the stock is regularly traded)	Name of stock exchange	
Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established security market)	Yes ☐ (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)	Name of listed company	
		Name of Stock exchange	
		Nature of relation	☐ Subsidiary of the Listed Company ☐ Controlled by a Listed Company
Is the Entity an active ³ NFE	Yes ☐ (If yes, please fill UBO declaration in the next section.)	Nature of Business	
		Please specify the sub-category of Active NFE (Mention code - refer 2c of Part D) ☐ ☐	
Is the Entity a passive NFE	Yes ☐ (If yes, please fill UBO declaration in the next section.)	Nature of Business	

UBO Declaration									
Category (Please tick applicable category)									
☐ Unlisted company			☐ Partnership Firm Public			☐ Limited Liability Partnership Company			
☐ Unincorporated association/body of individuals			☐ Charitable Trust Others			☐ Religious Trust			
☐ Private Trust			☐ Others						
Please list below the details of controlling person(s), confirming All countries of tax residency/permanent residency/citizenship and All Tax Identification Numbers for Each Controlling person(s).*									
Owner -documented FFI'S should provide FFI Owner Reporting statement and auditor's Letter with required details as mentioned in the form W8 BENE									
Name - Beneficial owner / Controlling person			Tax ID - TIN or Other, please specify			Address - Include State,Country, PIN/ ZIPCode & Contact Details			
Country - Tax Residency *			Type Beneficial Interest - in percentage			Address Type -			
Tax ID No - Or functional equivalent for each country			Type Code - of Controlling						
Name:			Tax ID Type:			Address:			
Country:			Type Code:			Zip:			
Tax ID No.			Address Type		☐ Residence ☐ Business ☐ Registered office	State:			
Country:			Type Code:			Country:			
Name:			Tax ID Type:			Address:			
Country:			Type Code:			Zip:			
Tax ID No.			Address Type		☐ Residence ☐ Business ☐ Registered office	State:			
Country:			Type Code:			Country:			
Name:			Tax ID Type:			Address:			
Country:			Type Code:			Zip:			
Tax ID No.			Address Type		☐ Residence ☐ Business ☐ Registered office	State:			
Country:			Type Code:			Country:			
If passive NFE, please provide below additional details (Please attach additional sheets if necessary)									
PAN /Any other Identification Number (PAN, Aadhar,Passport,Election ID, Govt. ID, Driving Licence NREGA Job Card,Others) City of Birth- Country of Birth			Occupation Type: Service,Business, Others Nationality: Father's Name: Mandatory if PAN is not available			DOB: Date of Birth Gender: Male, Female, Other			
1. PAN			Occupation Type			Date Of Birth		D D M M Y Y Y Y	
City of Birth			Nationality			Gender		☐ Male ☐ Female ☐ Other	
Count of Birth			Father's Name						
2. PAN			Occupation Type			Date Of Birth		D D M M Y Y Y Y	
City of Birth			Nationality			Gender		☐ Male ☐ Female ☐ Other	
Count of Birth			Father's Name						
3. PAN			Occupation Type			Date Of Birth		D D M M Y Y Y Y	
City of Birth			Nationality			Gender		☐ Male ☐ Female ☐ Other	
Count of Birth			Father's Name						
Additional details to be filled by controlling persons with taxresidency / permanent residency / citizenship / Green Card in any country other than India: To include US, where controlling person is a US citizen or green card holder Incase Tax Identification Number is not available, kindly provide functional equivalent 5 Refer 3(vi), 11 Refer 3(iv)(A) of Section 6.									

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 Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certification 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 Nirmal Bang Mutual Fund or its group entities. Therefore, it is important that you respond to our request, even 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 any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information held along with the US Tax Identification Number. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Certification

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

Name	
Designation	
Signature	 FH 28/28

Place :

Date : DD / MM / YYYY

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Nirmal Bang Securities Private Limited

Registered Address	B-2, 302, 3rd Floor, Marathon Innova, Off Ganapatrao Kadam Marg, Lower Parel (W), Mumbai - 400013. Tel: 62738000/ 01 Fax: 62738010 Website: www.nirmalbang.com
Correspondence Address	B/101 Khandelwal House, 1st flr., Poddar Rd., Nr. Poddar Park, Malad (E), Mumbai- 400097. Tel.: 91-22-6273 9000 Fax: 91-22-6273 9010. Website: www.nirmalbang.com

Membership Detail

Exchange	Segment	Membership No.	Registration No.
BSE	Equity/ Derivative/ Currency Derivative	0 - 498	INZ000202536
	Commodity Derivative		Exchange Registered
	WDM		Exchange Registered
	BSE Star Mutual Fund		Exchange Registered
NSE	Equity/ Derivative/ F&O/ Currency Derivative	0 - 9391	INZ000202536
	Commodity Derivative		Exchange Registered
	WDM		Exchange Registered
	Interest Rate Future		Exchange Registered
MSEI	Equity/ Derivative/ Currency Derivative	1067	INZ000202536
MCX	Commodity Derivative	56460	INZ000202536
NCDEX	Commodity Derivative	TM-01268 CM M 51070	INZ000202536
ICEX	Commodity Derivative	2073	INZ000202536
Depository Participant	NSDL	IN-DP-619-2021	
	CDSL	IN-DP-619-2021	
Repository Participant	NERL	R1447	
	CCRL	12013400	
Comtrack Participant		50274	
PMS Registration No.	SEBI Registered		INP000002981
Research Analyst Registration No.	SEBI Registered		INH000001766
AMFI Registration No.		ARN-49454	

Trading & Clearing Member (Cash / Capital Market Segment & Derivatives /F & O Segment, Currency Segment & IRF & MCX / NCDEX / ICEX).
In Case of any grievances mail to contact@nirmalbang.com

	Name	Telephone	EMAIL ID
Designated Director / Principal Officer	Rakesh Bhandari	62738000	rakesh.bhandari@nirmalbang.com
Compliance Officer	Samir Kamdar	62739390	samir.kamdar@nirmalbang.com
Grievance / Dispute / Suggestions	Kishorkumar Agrawal	62739252	kishorkumar.agrawal@nirmalbang.com

In case not satisfied with the response, please contact concerned exchanges at:

Exchange	Regional Arbitration Centre	States and covered by the Regional Union Arbitration Territories Centre
NSE	Exchange Plaza, 5th Floor, Plot no. C/1, G Block Bandra-Kurla Complex Bandra (E) Mumbai - 400 051. Tel No: 6598190 (IGC) / 6598192 (Arbitration) Fax No: 6598191, Email : ignse@nse.co.in	All over India
BSE	Regional Office West, Department of Investor Services, P J Towers, 1st floor, Dalal Street, Fort, Mumbai 400001. Telephone Number: 022-22721233/34 Fax No.: 022- 22723677 E-mail Id: is@bseindia.com ;	Maharashtra, Gujarat, Goa, Daman & Diu, Dadra & Nagar Haveli, Madhya Pradesh
BSE	Regional Office North, 7th Floor, Mercantile House K G Marg New Delhi - 110 001. Telephone Number: 011- 41510481 Telefax No.:011-41510480 E-mail Id: iscdelhi@bseindia.com ; ritesh.kumar@bseindia.com	Delhi, Haryana, Uttar Pradesh, Uttaranchal, Himachal Pradesh, Punjab, Jammu & Kashmir, Chandigarh, Rajasthan
BSE	Regional Office East, 1st Floor, Kishor Bhaban 17, and R. N. Mukherji Road Kolkata 700 001 Telephone Number: 033-22133184, Telefax No.:033-22130530 E-mail Id: isc.kolkata@bseindia.com ; anirban.guha@bseindia.com	West Bengal, Bihar, Jharkhand, Orissa, Assam, Arunachal Pradesh, Mizoram, Manipur, Sikkim, Meghalaya, Nagaland, Tripura, Chhattisgarh
BSE	Regional Office South, No.4. Vijaya Towers, 3rd Floor Kodambakkam High Road (Opp. to Palm Grove Hotel) Chennai 600 034 Telephone Number: 044-420089959 Telefax No.:044-42089958 E-mail Id : iscchennai@bseindia.com ; s.periyasamy@bseindia.com	Andhra Pradesh, Karnataka, Kerala, Tamil nadu, Andaman & Nicobar, Lakshadweep, Pondicherry.
MSEI	Investor Grievance Division, Metropolitan Stock Exchange of India Ltd. Vibgyor Towers, 4th Floor, Plot No. C 62, G Block, Opp Trident Hotel, Bandra Kurla Complex, Bandra (East), Mumbai - 400098. Tel No. 91-22- 61129028. Email id: investorcomplaints@msei.in	All over India
MCX	Exchange Square, Suren Road, Andheri East, Mumbai – 400093, India. Tel: 022 6731 8888. Email Id: grievance@mcxindia.com	All over India
NCDEX	kruti Corporate Park, 1st Floor, Near G.E.Garden, L.B.S. Marg, Kanjurmarg (West), Mumbai - 400 078. Tel : (+91-22) – 66406084, Fax : (+91-22) – 66473201. E-mail : askus@ncdex.com	All over India
ICEX	Reliable Tech Park, 403-A, B-Wing, 4th Floor, Thane-Belapur Road, Airoli (E), Navi Mumbai – 400708, Email : info@icexindia.com	All over India

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