



# VNS FINANCE AND CAPITAL SERVICES LIMITED

[www.TradeSmartOnline.in](http://www.TradeSmartOnline.in)

## TRADING AND DEMAT (BO) ACCOUNT OPENING FORM

### TABLE OF CONTENTS

DOCUMENT	DETAILS	PAGE NO
<b>MANDATORY DOCUMENTS</b>		
Account Opening Form	a) KYC form - Document captures the basic information about the client /constituent with instruction / checklist. b) Document captures the additional information about the client / constituent relevant to trading account.	4-7
Tariff Sheet	Details the Rate / Amount of brokerage and other charges payable by the client.	8
Acknowledgement Letter	Acknowledgement indicating receipt of documents by the client	18
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKERS</b>		
Additional Details for opening Securities Account	Document captures the additional information of BO, who intends to open securities account.	9-11
Additional Rights and Obligations	Additional Rights & Obligations agreed by Stock Broker and client.	12-15
Running Account Authorization	Running Account Authorization for holding funds for day to day ledger debit & margin requirement.	16
Power of Attorney	Power of Attorney is necessary for easy pay-in, pay-out and margin requirement for exchange purpose	17
Authorization For ECN	Authorization for Electronic Contract Notes.	18
Option Form for DIS Booklet	Option form for issue of DIS Booklet in case of Demat BO a/c in CDSL DP	19
Consent Letter	Consent letter for availing BSE STAR MF/ NSE MFSS	20

For any grievance/dispute please contact VNS Finance & Capital Services Ltd. at the below address and / or email id: support@vnsfin.com and / or Phone No. +91-22-4081-1019 attention to Mr. Vinay Jha (compliance officer) Email id: vinay.jha@vnsfin.com. In case you are not satisfied with the response, please contact the concerned exchange(s). For NSE at [ignse@nse.co.in Ph No. 91-22-2659-8190]. For BSE at [is@bseindia.com Ph No. 91-22-2272 1233/2272 8138].

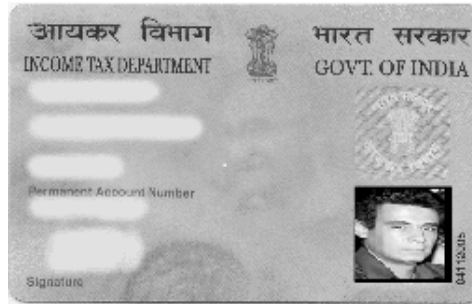
<b>VNS FINANCE AND CAPITAL SERVICES LIMITED</b> CIN No.-U67120UP1995PLC018225 NSE/BSE/Cash/Currency/F&O SEBI REGISTRATION NO : INZ000247736 NSE CODE NO. 09643/BSE CODE NO. 3279 DP ID: 30400SEBI REGISTRATION NO. IN -DP-CDSL-208-2003					
Clearing Member (NSE-FNO, NSE-Currency, BSE-Currency, BSE-FNO)			ICICI BANK LTD		
<b>CORPORATE OFFICE ADDRESS</b>			<b>REGISTERED OFFICE ADDRESS</b>		
A-401/402, Mangalya, Near Marol Fire Station, Marol Maroshi Road, Andheri (E), Mumbai 400 059 Ph.: 022-4287 8000 / 4081 1044 Fax: 022- 4081 1026 E-mail: <a href="mailto:contactus@vnsfin.com">contactus@vnsfin.com</a> Website: <a href="http://www.TradeSmartOnline.in">www.TradeSmartOnline.in</a>			716, KRISHNA TOWERS, 7 <sup>TH</sup> FLOOR, CIVIL LINES, KANPUR-208001, Ph.0512-230 4361, 391 8356		
<b>FOR OFFICE USE ONLY</b>					
NSE-CASH	NSE-FNO	BSE-CASH	BSE-FNO	BSE-CURRENCY	NSE-CURRENCY
Form introduced by				Form checked by	
Internet client		Client code		Branch	
				Sub broker/ market promoter	
Demat a/c opened on		A/c opened by		BO ID	
				12030400	
A/c opened in back office on		By		Brk/dp/bank checked by	
A/c opening charges received by		Amount		Transaction id	



## QUICK CHECK LIST

PLEASE FILL THE ACCOUNT OPENING FORM IN ENGLISH AND IN BLOCK LETTERS WITH **BLACK INK ONLY**  
**SELF ATTESTED** DOCUMENTS TO BE ATTACHED ALONG WITH THIS FORM

- Clear copy of PAN card in **(GRAY SCALE OR COLOR)** only as per sample give below:-



Gray scale



Black & White

- Copy of any of the following self attested documents as Address Proof

1. Driving License
2. Passport
3. Ration Card
4. Latest Telephone Bill
5. Latest Electricity Bill
6. Latest Bank Statement
7. Aadhar Card
8. Registered Lease or sale agreement of Residence

- Passport Size Color Photograph (Please stick the photos on the form and sign across)

- Cheques

1. Cheque favoring "VNS Finance & Capital Services Ltd." of Rs 200/- for only **trading**. For **trading and Demat account**, Rs. 400/-
2. One cancelled cheque. Name should be printed on the cheque and if name is not printed then Cheque needs to be cancelled and signed as self attestation.
3. MICR no. & IFSC code should be mentioned on cheque.

- Latest Bank Statement **(for Derivatives last 6 months period)**

**Account Opening charges or Funds should be transferred only through the above registered bank**

**In-Person Verification:** The Exchange requires us to perform in-person verification, so you have to be available on a webcam at a later date for the in-person verification.

There are two sets of documents. First set namely trading & demat (BO) account opening form is to be filled and signed as per directions given. The second set namely "other mandatory documents" contains rights and obligations, risk disclosure documents, policy and procedures of the company etc. You should download this set from the website for your information and future reference. Only first set of filled form is to be sent to us.

**Please courier form to**

VNS Finance & Capital Services Ltd.  
A-401/402 Mangalaya Building,  
Off Marol Maroshi rd, Near Marol Fire Brigade,  
Marol , Andheri E, Mumbai-400059  
Ph. 022-42878000, 022-61208000

## INSTRUCTIONS FOR FILLING OUT THE KYC FORM

SECTION A	IMPORTANT POINTS	
<ol style="list-style-type: none"> <li>Self-attested copy of PAN card is mandatory for all clients, including Promoters/ Partners/ Karta/ Trustees and whole time directors and persons authorized to deal in commodity futures on behalf of company/ firm/ others.</li> <li>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.</li> <li>If any proof of identity or address is in a foreign language, then translation into English is required.</li> <li>Name &amp; address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.</li> <li>If correspondence &amp; permanent address are different, then proofs for both have to be submitted.</li> </ol>	<ol style="list-style-type: none"> <li>Sole proprietor must make the application in his individual name &amp; capacity.</li> <li>For non-residents and foreign nationals, (allowed to trade subject to RBI and FIBP/FEMA guidelines), copy of passport/ PIO Card/ OC I Card and overseas address proof is mandatory.</li> <li>For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.</li> <li>In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.</li> <li>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.</li> </ol>	<ol style="list-style-type: none"> <li>6.</li> <li>7.</li> <li>8.</li> <li>9.</li> <li>10.</li> </ol>
SECTION B	PROOF OF IDENTITY (POI) - LIST OF DOCUMENTS ADMISSABLE AS PROOF OF IDENTITY	
<ol style="list-style-type: none"> <li>Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ driving license.</li> <li>PAN card with photograph.</li> </ol>	<ol style="list-style-type: none"> <li>3.</li> </ol>	<p>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.</p>
SECTION C	PROOF OF ADDRESS (POA) – LIST OF DOCUMENTS ADMISSABLE AS PROOF OF ADDRESS	
<p>Documents having an expiry date should be valid on the date of submission</p> <ol style="list-style-type: none"> <li>Passport/ Voters Identity Card / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill / Insurance Copy.</li> <li>Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.</li> <li>Bank Account Statement / Passbook - Cannot be older than 3 months.</li> <li>Self –declaration by High Court and Supreme Court Judges, giving the new address in respect of their own accounts.</li> <li>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.</li> </ol>	<ol style="list-style-type: none"> <li>6.</li> <li>7.</li> <li>8.</li> </ol>	<p>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.</p> <p>The proof of address in the name of the spouse may be accepted.</p> <p>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.</p>
SECTION D	EXEMPTIONS / CLARIFICATIONS TO PAN	
<p>Sufficient documentary evidence in support of such claims to be collected</p> <ol style="list-style-type: none"> <li>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.</li> <li>Investors residing in the state of Sikkim (subject to continued exemption granted by Government).</li> <li>UN entities/ multilateral agencies exempt from paying taxes/ filing tax returns in India.</li> </ol>	<ol style="list-style-type: none"> <li>4.</li> <li>5.</li> </ol>	<p>SIP of Mutual Funds up to Rs. 50,000/- p.a.</p> <p>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.</p>
SECTION E	ADDITIONAL DOCUMENTS IN CASE OF TRADING IN DERIVATIVES SEGMENTS-ILLUSTRATIVE LIST	
<ol style="list-style-type: none"> <li>Copy of ITR Acknowledgement</li> <li>Copy of Annual Accounts</li> <li>In case of Salary Income – Salary Slip, Copy of Form 16</li> <li>Net Worth Certificate</li> </ol>	<ol style="list-style-type: none"> <li>5.</li> <li>6.</li> <li>7.</li> <li>8.</li> </ol>	<p>Copy of demat account holding statement.</p> <p>Bank account statement for last 6 months</p> <p>Self-declaration with relevant supporting documents.</p> <p>Any other relevant documents substantiating ownership of Assets.</p>
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.		
SECTION F	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.	
SECTION G	COPY OF DEMAT MASTER OR RECENT HOLDING STATEMENT ISSUED BY DP BEARING NAME OF CLIENT	
<p>For Individuals:</p> <ol style="list-style-type: none"> <li>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.</li> <li>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.</li> </ol>	<p>For non-Individuals:</p> <p>Form needs to be initialized by all the authorized signatory.</p> <ol style="list-style-type: none"> <li>2.</li> </ol>	<p>Copy of Board Resolution as declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.</p>
SECTION H	KYC REGISTRATION AGENCY (KRA)	
<p>If you have already processed your identity using a KYC system with any broker, depository participant, or other registered intermediary in India, you are exempt from the following:</p> <ul style="list-style-type: none"> <li>Providing us with a Proof of Identity</li> <li>Providing us with a Proof of Address</li> </ul> <p>Ensure that your address and identity details that were registered by the intermediary are up to date. If you feel that it may be incorrect, or you have updated your address in the last 12 months, please provide the above proofs to ensure that your account is opened on time.</p> <p>You can check if you are in the KRA system by visiting <a href="http://www.cvlkra.com/kycpaninquiry.aspx">http://www.cvlkra.com/kycpaninquiry.aspx</a> and entering your PAN card</p>		



**KNOW YOUR CUSTOMER (KYC) FORM FOR INDIVIDUALS  
TRADING APPLICATION FORM**

PLEASE AFFIX A  
RECENT PASSPORT  
PHOTOGRAPH AND  
**SIGN ACROSS[1] X**

Please type or print legibly (In English and in **BLOCK** Letters with **BLACK** ink) on each field. **Sign all areas highlighted with the yellow color.** Please courier the completed forms along with the necessary proofs to our corporate Office in Mumbai.

<b>SECTION A</b>		<b>IDENTITY</b>		
NAME (AS PER PAN CARD)				
FATHER / SPOUSE'S NAME			MOTHER'S NAME	
GENDER <input type="radio"/> MALE <input type="radio"/> FEMALE		MARITAL STATUS <input type="radio"/> SINGLE <input type="radio"/> MARRIED		
STATUS <input type="radio"/> RESIDENT INDIVIDUAL <input type="radio"/> NON RESIDENT <input type="radio"/> FOREIGN NATIONAL (PASSPORT COPY MANDATORY)				
NATIONALITY		DATE OF BIRTH (DD/MM/YYYY)	PAN CARD NUMBER	
UNIQUE IDENTIFICATION NUMBER (UID)/AADHAAR (IF ANY)				
PROOF OF IDENTITY SUBMITTED				
EMAIL			MOBILE	
ARE YOU REGISTERED ON KRA? ( IF UNSURE ,TICK NO) <input type="radio"/> YES <input type="radio"/> NO				
IF YES MENTION KRA REFERENCE NO. ( ATTACH KRA RECEIPT) _____				
<b>SECTION B</b>		<b>CORRESPONDENCE ADDRESS</b>		
ADDRESS (PROOF OF ADDRESS MUST BE DIFFERENT FROM PROOF OF IDENTITY)				
CITY/TOWN/VILLAGE		PIN CODE	STATE	COUNTRY
TEL (OFF)		TEL (RES)		FAX
SPECIFY PROOF OF ADDRESS FOR CORRESPONDENCE ADDRESS				
<b>SECTION C</b>		<b>PERMANENT /RESIDENTIAL ADDRESS</b>		
ADDRESS(IF DIFFERENT FROM ABOVE OR OVERSEAS ADDRESS, MANDATORY FOR NON-RESIDENT APPLICANTS)				
CITY/TOWN/VILLAGE		PIN CODE	STATE	COUNTRY
TEL (OFF)		TEL (RES)		FAX
SPECIFY PROOF OF ADDRESS FOR PERMANENT ADDRESS				
<b>SECTION D</b>		<b>DECLARATION</b>		
I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware I may be held liable for it.				
<b>CLIENT'S SIGNATURE[2]</b> X _____		PLACE	DATE(DD/MM/YYYY)	
<b>FOR OFFICE USE ONLY</b>		<b>IPV Done <input type="radio"/> on</b>		
<input type="radio"/> (Originals Verified) Self Certified Document Copies Received	Seal/stamp of intermediary Staff Name	Seal/stamp of intermediary Staff Name		
<input type="radio"/> (Attested) True Copies Of Documents Received	Designation Name of Org. Signature	Designation Name of Org. Signature		

TRADING ACCOUNT RELATED DETAILS										
<b>SECTION A</b>		<b>PRIMARY BANKING ACCOUNT (Also for receiving Dividend for CDSL Bo account)</b>								
BANK NAME & ADDRESS										
ACCOUNT NUMBER					MICR NUMBER					
ACCOUNT TYPE <input type="radio"/> CURRENT <input type="radio"/> SAVING <input type="radio"/> OTHER _____							IFSC CODE			
<b>SECTION B</b>		<b>SECONDARY BANKING ACCOUNT</b>								
BANK NAME & ADDRESS										
ACCOUNT NUMBER					MICR NUMBER					
ACCOUNT TYPE <input type="radio"/> CURRENT <input type="radio"/> SAVING <input type="radio"/> OTHER _____							IFSC CODE			
<b>SECTION C</b>		<b>PRIMARY DEPOSITORY ACCOUNT</b>				<input type="radio"/> NSDL		<input type="radio"/> CDSL		
BENEFICIARY NAME			DP NAME		DP ID		BENEFICIARY ID (BO ID)			
<b>SECTION C (A)</b>		<b>SECONDARY DEPOSITORY ACCOUNT</b>				<input type="radio"/> NSDL		<input type="radio"/> CDSL		
BENEFICIARY NAME			DP NAME		DP ID		BENEFICIARY ID (BO ID)			
<b>SECTION D</b>		<b>OTHER DETAILS</b>								
GROSS ANNUAL INCOME RANGE					NET WORTH (NOT OLDER THAN 1 YEAR) [For Derivatives]					
<input type="radio"/> BELOW 1 LAC <input type="radio"/> 1 - 5 LAC <input type="radio"/> 5 - 10 LAC <input type="radio"/> 10 - 25 LAC <input type="radio"/> OVER 25 LAC					OR	VALUE		DATE (DD/MM/YYYY)		
AFFILIATIONS <input type="radio"/> POLITICALLY EXPOSED PERSON (PEP) <input type="radio"/> RELATED TO A POLITICALLY EXPOSED PERSON (RPEP)										
OCCUPATION										
<input type="radio"/> PRIVATE SECTOR SERVICE <input type="radio"/> PUBLIC SECTOR <input type="radio"/> GOVT. SECTOR <input type="radio"/> BUSINESS <input type="radio"/> PROFESSIONAL <input type="radio"/> AGRICULTURIST <input type="radio"/> RETIRED <input type="radio"/> HOUSEWIFE <input type="radio"/> STUDENT <input type="radio"/> OTHER _____										
ANY OTHER INFORMATION										
<b>SECTION E</b>		<b>TRADING PREFERENCES</b>								
<i>Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client            # If in future the client wants to trade on any new segment/new exchange, separate authorization letter should be given to the client of VNS Finance.</i>										
NSE CASH	SIGNATURE	X	NSE F&O	SIGNATURE	X	NSE CURRENCY	SIGNATURE	X		
BSE CASH		X	BSE F&O		X <input type="checkbox"/>	BSE CURRENCY		X		
(If Partner, Corporate or other Signatory, then sign with company seal)										
<b>SECTION F</b>		<b>PAST ACTIONS</b>								
Details of any action/proceedings initiated/pending/ taken by FMC/ SEBI / Stock exchange / Commodity exchange/any Other authority against the client during the last 3 year(attach sheet) Yes <input type="checkbox"/> No <input type="checkbox"/>										

SECTION G	DEALINGS THROUGH OTHER STOCK BROKER(S) AND SUB BROKERS IF CLIENT IS DEALING THROUGH A SUB BROKER, PLEASE PROVIDE THE FOLLOWING DETAILS	
<input type="checkbox"/> IF CLIENT IS DEALING THROUGH ANY OTHER MEMBER, PLEASE PROVIDE THE FOLLOWING DETAILS (IN CASE DEALING WITH MULTIPLE MEMBERS, PROVIDE DETAILS OF ALL IN A SEPARATE SHEET)		
BROKER NAME	SEBI REGISTRATION NO.	CLIENT CODE
SUB BROKER NAME	SEBI REGISTRATION NO.	EXCHANGE(S)
OFFICE ADDRESS, PHONE NO. & WEBSITE ADDRESS IF ANY		
DETAILS OF DISPUTE/DUES PENDING FROM/TO SUCH STOCK BROKER/SUB BROKER <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, please give details)		
SECTION H	ADDITIONAL DETAILS	
CONTRACT NOTE PREFERENCES	EMAIL ADDRESS	
<input checked="" type="checkbox"/> ELECTRONIC CONTRACT NOTE <input type="checkbox"/> PHYSICAL CONTRACT NOTE		
I WISH TO AVAIL THE FACILITY OF <input checked="" type="checkbox"/> INTERNET TRADING <input type="checkbox"/> WIRELESS TECHNOLOGY		
NUMBER OF YEARS OF INVESTMENT/TRADING EXPERIENCE		
IN CASE OF NON INDIVIDUAL- ITS NAME, PAN, ADDRESS AND NAME DESIGNATION, UID, RESIDENTIAL ADDRESS PHOTOGRAPHS & SIGNATURE(S) OF PERSON AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF NON INDIVIDUAL I.E. COMPANY/ FIRM/ OTHERS (ATTACH SHEET)	ANY OTHER INFORMATION	
SECTION I	NOMINATION DETAILS (FOR INDIVIDUALS ONLY)	
<input checked="" type="checkbox"/> I WISH TO NOMINATE THE FOLLOWING PERSON <input type="checkbox"/> I DO NOT WISH TO HAVE A NOMINEE		
NOMINEE'S NAME	RELATIONSHIP	
NOMINEE'S ADDRESS		
NOMINEE'S PHONE NUMBER	NOMINEE'S PAN CARD NUMBER	NOMINEE'S DATE OF BIRTH (DD/MM/YYYY)
IF NOMINEE IS A MINOR, PLEASE PROVIDE DETAILS OF HIS/HER GUARDIAN		
GUARDIAN'S NAME	GUARDIAN'S ADDRESS	
GUARDIAN'S PHONE NUMBER	GUARDIAN'S SIGNATURE	
TWO WITNESSES ARE REQUIRED TO ATTEST IF YOU WANT TO NOMINATE A PERSON		
PRIMARY WITNESS' NAME	SECONDARY WITNESS' NAME	
PRIMARY WITNESS' ADDRESS	SECONDARY WITNESS' ADDRESS	
PRIMARY WITNESS' SIGNATURE	SECONDARY WITNESS' SIGNATURE	

SECTION I	INTRODUCER DETAILS		
NAME OF THE INTRODUCER		RELATIONSHIP WITH THE INTRODUCER	
INTRODUCER'S STATUS <input type="checkbox"/> EXISTING CLIENT <input type="checkbox"/> AUTHORIZED PERSON <input type="checkbox"/> SUB-BROKER <input type="checkbox"/> REMISIER <input type="checkbox"/> OTHERS, PLEASE SPECIFY _____			
INTRODUCER'S ADDRESS			
INTRODUCER'S PHONE NUMBER	INTRODUCER'S CLIENT ID	INTRODUCER'S SIGNATURE	
<b>DECLARATION</b>			
<ol style="list-style-type: none"> <li>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/We am/are aware that I/we may be held liable for it.</li> <li>2. I/We confirm having read/been explained and understood the contents of the documents relating to Policies &amp; procedures of the stock broker, contents of knowledge base, tariff sheet for trading &amp; depository operations etc as published on the website of the broker. I further confirm that I shall keep myself updated with the changes on the website from time to time.</li> <li>3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document', provisions given in the rules, regulations &amp; circulars issued by SEBI, Exchanges, Depositories (CDSL), Reserve Bank of India and all regulators amended/ issued from time to time. 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.</li> <li>4. I/We declare that I/We am/are opening the trading and demat account for which I/we am/are signing the form and the required document which are in English. I/we have understood the meaning in Hindi or applicable vernacular language of the same. I/we accept the terms &amp; conditions of trading form. This is to confirm that I/We have obtained a copy of KYC document, risk disclosure document, declaration, instruction, DP agreement etc. duly filled. I/we also confirm that all the requisite parts of the agreement, KYC form etc. were duly filled &amp; not applicable part has been struck off.</li> <li>5. I/We confirm having noted that the broker is obliged to disclose to its clients/constituent whether the broker is trading in his own account or not. Accordingly I/we have been informed that depending upon the market conditions, the broker, its director or its associates do invest/ trade in capital/ derivative segments.</li> <li>6. I do hereby declare that I have not been involved in any unlawful activities and I have not been declared a defaulter under any law or my name is not appearing in defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc. I further declare that the above mentioned declaration/ statement is true and correct.</li> </ol>			
CLIENT'S NAME			
<b>CLIENT SIGNATURE</b> [9] X _____	PLACE	DATE(DD/MM/YYYY)	

TARIFF SHEET**		
Trading Plans		
EQUITY & FNO	<input type="checkbox"/>	Trade @ 0.7 paisa.IntraDayTrade @ 0.007%, Futures: 0.007%, Delivery: 0.07%, Options: Rs 7 per lot
	<input type="checkbox"/>	Only Rs 15 per executed order
CURRENCY	<input type="checkbox"/>	Trade @ 0.7 paisa.IntraDayTrade @ 0.007%, Futures: 0.007%, Delivery: 0.07%, Options: Rs 7 per lot
	<input type="checkbox"/>	Only Rs 15 per executed order
Account Opening	Rs.400(Individual), Rs. 1000(Corporate)	
DEMAT CHARGES		
Annual Maintenance Charges	Rs. 300 (Individual), Rs. 1000(Corporate) + GST	
For BSDA account - Upto holding value of fifty thousands	Nil	
- Between fifty thousands to two lacs	Rs. 100+GST	
- Above Two Lacs	NormalAMC	
Sale Transactions (debit in BO) through Power of Attorney	Rs. 15 + GST	
Transaction (Debit) through DIS - to CDSL DP & Inter depository	Rs. 25 +GST, In case of BSDA Rs.50 + GST	
Inter settlement Transfer for NSDL in Pool Account	NSDL Charges+Rs. 12 minimum or 0.01% & maximum Rs. 50 +GST	
Pledge Creation for Margin	Rs 15/- + GST (per request)	
Pledge Release for Margin	Rs 15/- + GST (per request)	
Pledge Creation by client to outside banks/ institution	Rs. 200 per scrip + GST	
Unpledge - outside banks / institution	Rs. 200 per scrip + GST	
Pledge invocation	Rs. 200 minimum +GST	
Dematerialisation Charges	For listed companies –Rs. 20 per certificate, minimum Rs. 500 per ISIN +GST + expenses, For unlisted companies- Rs. 500 per certificate of 100 shares or less per ISIN+ expenses. For BSDA –Rs100/- per certificate, minimum Rs. 500 per ISIN +GST + expenses	
Remat Charges	CDSL Charges + 500 per certificate of 100 shares or 5% of value whichever is higher	
Transaction Statement other than Mandatory Statement	Through email - NIL	
Remarks:		
<ol style="list-style-type: none"> <li>There will be charge of Rs. 200 for dishonor of cheque, each instance.</li> <li>The Depository Services are liable for discontinuation, if the charges as per above tariff are not paid by the client and remains outstanding.</li> <li>For Physical Contract note(s), statement of holding or transactions, Rs.5 per page of such contract note or statement (subject to Rs. 25 minimum), + courier charges will be extra.</li> <li>Call N Trade would be charged Rs. 20+ GST per order.</li> </ol>		
**STT, Exchange transaction charges, SEBI Fee, Clearing Charges ,Stamp duty, GST etc. as applicable, will be extra		
AUTHORIZATION FOR ACCOUNT MODIFICATION		
If I/We were to add /modify/remove any of my detail including brokerage plans with VNS Finance & Capital Services Ltd., I/We authorize you to carry it out based on my request sent through an email to <a href="mailto:contactus@vnsfin.com">contactus@vnsfin.com</a> or <a href="mailto:support@vnsfin.com">support@vnsfin.com</a> from my registered email address or intimation through an interface provided by you, whereto I have been allowed secured access.		
CLIENT'S NAME		
CLIENT SIGNATURE [10] (FIRSTHOLDER)	(SECOND HOLDER)	(THIRD HOLDER)
X _____		



## ADDITIONAL DETAILS FOR OPENING A SECURITIES ACCOUNT

DP ID : 12030400 \* SEBI REGISTRATION NO.: IN- DP- CDSL-208-2003

<b>FIRST HOLDER</b>					
First Holder Name					
Unique Client Code (UCC)					
Guardian Details (If Sole First Holder is a minor)					
Guardian's Name				Relationship	
<b>SECOND HOLDER DETAILS</b>					
Second Holder's Name					
Father's/ Husband Name					
PAN NO(Mandatory, please attach copy of PAN CARD)				Date of Birth	
Permanent Address(Mandatory, please attach Proof)					
City		State		Country	
Pin Code		Telephone No.(with STD Code)		Fax No.	
Mobile No.		Email ID			
SEX <input type="radio"/> Male <input type="radio"/> Female <input type="radio"/> others			Nationality <input type="radio"/> Indian <input type="radio"/> other		
Educational <input type="radio"/> Under -Graduate <input type="radio"/> Graduate <input type="radio"/> Post Graduate <input type="radio"/> Professional <input type="radio"/> other Qualification					
Occupation					
<input type="radio"/> Service		<input type="radio"/> Central Govt.		<input type="radio"/> State Govt.	
<input type="radio"/> Statutory Body		<input type="radio"/> Professional		<input type="radio"/> Business	
<input type="radio"/> Student		<input type="radio"/> Retired		<input type="radio"/> Housewife	
<input type="radio"/> Others		<input type="radio"/> Public/ Private Sector		<input type="radio"/> NGO	
Nature of Business (Product/Services provided) :					
<b>THIRD HOLDER DETAILS</b>					
Third Holder's Name					
Father's/ Husband Name					
PAN NO(Mandatory, please attach copy of PAN CARD)				Date of Birth	
Permanent Address(Mandatory, please attach Proof)					
City		State		Country	
Pin Code		Telephone No. (with STD Code)		Fax No.	
Mobile No.		Email ID			
SEX <input type="radio"/> Male <input type="radio"/> Female <input type="radio"/> others			Nationality <input type="radio"/> Indian <input type="radio"/> Other		
Educational <input type="radio"/> Under -Graduate <input type="radio"/> Graduate <input type="radio"/> Post Graduate <input type="radio"/> Professional <input type="radio"/> other Qualification					
Occupation					
<input type="radio"/> Service		<input type="radio"/> Central Govt.		<input type="radio"/> State Govt.	
<input type="radio"/> Statutory Body		<input type="radio"/> Professional		<input type="radio"/> Business	
<input type="radio"/> Student		<input type="radio"/> Retired		<input type="radio"/> Housewife	
<input type="radio"/> Others		<input type="radio"/> Public /Private Sector		<input type="radio"/> NGO	
<input type="radio"/> SMS Alert Facility		Mobile Number : same as above			
<b>Transactions Using Secured Texting Facility (TRUST)</b>		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. Yes <input type="radio"/> NO <input type="radio"/>			
I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for trust.					
Stock Exchange Name/ID		Clearing Member Name		Clearing Member ID (Optional)	
<b>EASI</b>		To register for Easi please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.			

I/We instruct the DP to receive each and every credit automatically in my/our account Yes <input type="radio"/> NO <input type="radio"/>		
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 Yes <input type="radio"/> NO <input type="radio"/>		
Account Statement Requirement <input type="radio"/> As per SEBI regulation <input type="radio"/> Daily <input type="radio"/> Weekly <input type="radio"/> Fortnightly <input type="radio"/> Monthly		
I We request you to send electronic transaction cum holding statement at the email Id Yes <input type="radio"/> NO <input type="radio"/>		
I / We would like to share the email ID with the RTA Yes <input type="radio"/> NO <input type="radio"/>		
We would like to receive the Annual Report <input type="radio"/> Physical <input type="radio"/> Electronic <input type="radio"/> Both Physical & Electronic (Tick the applicable box. If not marked the default option would be in Physical)		
I/We wish to receive the dividend /interest directly into my bank accounts as given above through ECS (If not marked the default option would be "Yes") {ECS is mandatory for locations notified by SEBI from time to time} Yes <input type="radio"/> NO <input type="radio"/>		
I/We would wish to avail the BSDA Facility Yes <input type="radio"/> NO <input type="radio"/> All the individuals who have or propose to have only one demat account where they are the sole or first holder shall be eligible to have a BSDA provided that the value of securities held in the demat account does not exceed Rupees Two Lakhs at any point of time. An individual can have only one BSDA in his/her name across all depositories. <b>For BSDA demat account debit of Rs. 50 per transaction or 0.02% whichever plus GST as applicable. (Refer BSDA charges on Website)</b>		
<b>DECLARATION</b>		
<ul style="list-style-type: none"> <li>I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.</li> <li>I/ We confirm that First Holder is the sole signatory or authorised to operate the Trading Account. I/ We, am/ are agreeable to open the trading account &amp; give the Power of Attorney to facilitate you to meet pay-in &amp; margin obligation(s) &amp; other dues pursuant to transactions done through Trading Account with VNS Finance &amp; Capital Services Ltd. I/ We have read and understood Schedule of Charges on the website and agree that my Beneficiary Account is subject to the payment of these charges. I/ We agree that the charges as stated herein may be modified/ revised and I/ We agree to pay the charges including any modification/revision thereto from time to time. I/We hereby agree to provide details to the Stock broker from time to time to comply with the guidelines of Prevention of Money Laundering Act. I/ We hereby authorise VNS Finance &amp; Capital Services Ltd., to debit all the Demat Account related charges to my/ our ledger of Trading Account.</li> <li>I/ We confirm that I/ We have had no insolvency initiated against me/us nor have I/ we ever been adjudicated insolvent. I/ We authorise VNS Finance &amp; Capital Services Ltd., any other Group Company or their agents to make reference and enquiries relating to the information in this application which may be considered necessary by them.</li> </ul>		
<b>CLIENT'S SIGNATURE 11</b> (FIRSTHOLDER)	(SECOND HOLDER)	(THIRD HOLDER)
X _____		

**(To be filled up by the DP)**

This is to certify that

1. .... 2. ....  
3. ....

We are maintaining BO A/c No. \_\_\_\_\_ with us. We have verified the signatures of the said account holders and they match with the specimen signatures as per our records.

Date

For **VNS Finance & Capital Services Ltd.**

Place

Authorised Signatory



**Nomination Form (Not applicable for HUF and non Individuals)**

- I/We do not wish to make a nomination
- I/We nominate the following persons who is/are entitled to receive security balances lying in my / our account in the event of my / our death.

		Nominee1	Nominee2	Nominee3
First Name				
Middle Name				
Last Name				
Address				
City & PIN				
State				
Country				
Mobile / Telephone No. of nominee(s)				
Pan No				
UID				
Email ID of nominee(s)				
Relationship with BO				
Date of birth – If minor				
Guardian First Name -If minor				
Guardian Middle Name -If minor				
Guardian Last Name -If minor				
Address of the guardian				
City				
State				
Country				
Pin				
Guardian Identification details(PAN)				
Mobile / Telephone no. of Guardian				
Email Id of Guardian				
Relationship of Guardian with nominee				
Share of each Nominee	Equally [If not equally, please specify percentage]			
Residual Securities		Please tick any one nominee, if tick not marked the default will be 1st nominee		
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

\*Note : Residual securities: incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us. Note: One witness shall attest signature(s) / thumb impression(s)

**Details of the Witness**

Name of Witness	
Address of Witness	
Signature of Witness	

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First/Sole Holder or Guardian(In case of Minor)	Second Holder	Third Holder
Name			
Signature	CLIENT'S SIGNATURE 12		

Nomination accepted and registered vide Registration No. \_\_\_\_\_ dated \_\_\_\_\_

**Declaration Form for opting out of nomination**  
**[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601**  
**dated July 23, 2021 on Mandatory Nomination for Eligible Trading and**  
**Demat Accounts]**

Date:	
To, VNS Finance & Capital Services Ltd. A401-402, Mangalya , Marol Maroshi Road, Andheri East, Mumbai-400059	
UCC/DP ID	
Client ID (only for Demat account)	
Sole/First Holder Name	
Second Holder Name	
Third Holder Name	
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.	
Name and Signature of Holder(s)*	
1. _____ 2. _____ 3. _____	

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

## ADDITIONAL RIGHTS AND OBLIGATIONS AGREED BY STOCK BROKER AND CLIENT

---

This is further to rights and obligations of Stock brokers, sub-brokers and clients as prescribed by SEBI and stock Exchanges in Annexure-4 of SEBI circular CIR/MIRSD/16/2011 dated 22nd August 2011, it is further agreed between the parties as under.

### 1. Provisions relating to transactions

1.1. In case of market order, the Client agrees that he will receive the price at which his order is executed by exchange's computer system; and such price may be different from the price at which the security's price is showing on the screen when his order is entered into the Stock Broker's trading system / website. However all the transactions executed can be verified by the client through the interface provided by both the exchanges through their website for a limited period. The Client can also register on exchange website by providing their mobile number and email id to get details of their transaction directly from the exchange itself.

1.2 In the case of cover order (primary order with compulsory stop loss order as second leg) there is a risk of non-execution of stop loss order due to wild fluctuation or due to exchange action. The broker will not be responsible in such case

1.3. The Stock Broker may, at its sole discretion, reject any order placed due to any reason, including but not restricted to the non-availability of funds in the trading account of the client, non- availability of securities, insufficiency of margin amount.

1.4. The Stock Broker may allow / disallow client from trading in any security or class of securities or derivatives contracts and impose such conditions for trading as it deem fit from time to time. This includes the subscription/redemption in Mutual Funds Schemes.

1.5. The Client is aware and agrees that the Stock Broker may need to vary or reduce the limits or impose new limits on the basis of Stock Broker's risk perception and other factors considered relevant by the Stock Broker, 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.

1.6. Cancellation or modification of an order pursuant to the client's request in that behalf is not guaranteed. The order will be cancelled or modified only if client's request for cancellation is received on time and the order is successfully cancelled or modified before it is executed. Market orders are subject to immediate execution wherever possible.

1.7. The Client shall not be entitled to presume an order having been executed, cancelled or modified until a confirmation from the Stock Broker is received by the client. However due to technical and other factors the confirmation may not be immediately transmitted to or received by the client and such a delay shall not entitle the client to presume that the order has not been executed cancelled or modified unless and until the Stock Broker has so confirmed in writing.

1.8. The Client agrees that the Member shall not be liable or responsible for non-execution, non-modification, and non-cancellation of the orders of the Client due to any link/system failure at the Client/ Stock Broker /Exchange end.

1.9. As per rules of the exchange, SEBI and depositories the client account is deactivated if it remains dormant for the stipulated period. In such a case the client may reactivate the account by submission of requisite application and proof of identity.

1.10. The Client agrees that orders, instructions and other communications given or made over the telephone may be routed through Stock Broker interactive voice response or other telephone system and may be recorded by the Stock Broker. The Client also agrees that such recording is permissible and the Stock Broker's records of any orders, instructions and communications given or made by the client or the Stock Broker by electronic mail, or other electronic means shall be admissible as evidence and shall be final binding evidence of the same.

1.11. Stock Broker has a system of confirming the trades, ledger balances, Margin and open position in derivatives to the client on his mobile number & email id given by the client. In case of any discrepancy noticed client is expected to inform

forthwith to the Stock Broker notice in writing by an electronic mail or fax preferably within 24 hours of receipt. This is specifically agreed that merely sending mail will not amount to acceptance of mistake by the Member after investigation

## **2. Terms and Conditions of internet trading (e-broking or e-trading or on line trading).**

- 2.1 In case of failure of link Stock Broker also offers / intends to offer Dial and Trade services to the client. The client is requested to contact corporate office by disclosing proper identity.
- 2.2 The client hereby undertakes not to allow any unauthorized or dabba trading and not to allow any subletting the trading terminal to any person who so ever. The client understands that doing so is a serious offence and may lead to criminal action.
- 2.3 The Client shall ensure that he is the only authorized user of user name, Tele identification number and password. The Stock Broker shall be entitled to presume that any orders or instructions entered or communicated using the Client's user name, customer user identification number, T-Pin number and password over phone or any other mode of communication is the client's own order or instruction or that of the Client's duly authorized representative.  
(Applicable for non-individual clients only)
- 2.4 The Client shall log off from the website at any time the Client is not accessing or using the Service and any liability incurred to the Client as a consequence of the Client not logging off the Service shall be borne solely by the Client.
- 2.5. The Client understands and agrees that the Stock Broker may change the platform or discontinue his E Broking service in part or entirely and change the terms of the service (including the terms on the Stock Broker's E Broking website) at any time and from time to time, without prior notice.
- 2.6 If the client uses cover order or Bracket order mode of trading then the client understands and acknowledge that it is possible that the second leg or both the other legs of cover/ bracket order may not work and the stop loss order and/second leg or order may not be executed for any reason.

## **3. Contract Notes, Digital Contract Notes, Other Reports**

- 3.1 Discrepancies, if any, should be sent by e-mail on support@vnsmf.com or faxed preferably within 24 hours of issuance of contract note or digital contract note. This is specifically agreed that merely sending mail will not amount to acceptance of mistake by the Broker and the same will be communicated by the Member after investigation.
- 3.2 Non- receipt of bounced mail notification by the Stock Broker shall amount to delivery of electronic documents (Digital Contract notes, Bills, Ledger and Transaction Statements etc. ) at Clients email id.
- 3.3 In case of any failure in system or errors in digital contract notes, Bills, Ledger and Transaction Statements etc. will be issued in the physical form, which shall be binding on the client.
- 3.4 The Stock Broker shall not be responsible for the non-receipt of the trade confirmation due to any change in the correspondence address of the client not intimated to the Stock Broker in writing. The client is aware that it is his responsibility to review the trade confirmations, the contract notes, the bills or statements of accounts immediately upon their receipt. All information contained herein shall be binding upon the client, if the client does not object in writing to any of the contents of such trade confirmation/intimation to the Stock Broker.

## **4. DP Operations, Pay-in and Pay-Out**

- 4.1 The Client has provided to the Stock Broker, a power of attorney authorising the Stock Broker to debit/credit/block/create lien/pledge the client's depository accounts through its authorised personnel, to the extent of the transactions conducted by the client and margin required for trading in capital & derivatives segment. The client also authorizes the stock Broker to debit/credit securities including units of Mutual funds, to the said account, which have been wrongly credited or debited in client's BO account.
- 4.2 It is hereby specially agreed and understood between the parties hereto that in case the client deals in physical shares, he shall be solely responsible in respect of the patawat, bad deliveries and company objections and its auction and valuation price by the exchange.
- 4.3 In case of delivery from outside DP the client shall insure the delivery of shares one day earlier to pay-in day of Exchange. In the case of late pay-in the additional service charges by the DP and /or auction/penalty etc. by the exchange will be to the account of client. The client shall ensure the pay-in of funds in such a way so that the funds are credited to the Exchange Clearing account of the broker, one day earlier to the pay-in day of Exchange.

4.4 The Client shall ensure the pay-in of funds in such a way so that the funds are credited to the Exchange Clearing account of the Member, one day earlier to the pay-in day of Exchange. In case the early pay-in is required by the exchange, the client shall arrange the money and shares pay-in forthwith as per directions of the exchange

4.5 The client hereby unconditionally & willfully agrees for withholding shares/debentures and other corporate securities received in pay-out in its/his account towards subsequent pay-in/ the margin /mark to market margin for cash as well as derivative segment.

4.6 The Stock Broker can retain the shares in his Beneficiary Account in case of debit balance in the client's ledger account of Cash/Derivative Segment.

4.7 The client hereby agrees and acknowledges that the DP charges for operation of his DP account will be debited to his broking ledger of any segment.

#### **5. Payment of Margin, penalty for non-payment or short payment.**

5.1 The client agrees that any securities placed by him/her/it as Margin may in turn be placed/ pledged as margin by the Stock Broker with the Exchange or with the clearing member. While selling such securities the client will first inform the Stock Broker one day before the selling and only after getting acceptance the shares will be sold by him. The charges for such pledge/ unpledge will be born by the client and the same can be debited to the clients ledger account.

5.2. In the case of short margin the stock broker has right to square up the full or part position / open interest of the client, whether carry forward trade or intraday trade without giving any notice to client. Besides, the penalty for such short margin in any segment will be borne by the client and the same will be debited to the Client's ledger account.

5.3 Information about default in payment/delivery and related aspects by a client shall be brought to the notice of the relevant Stock Exchange(s). In case, where defaulting client is a corporate entity/partnership/proprietor firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated to the relevant Stock Exchange(s).

#### **6. Accounts, Billing receipt and payments**

6.1 The Member and client agree that any mistake / error / omission on either side in crediting / debiting investor's account will be rectified forthwith on coming to notice.

6.2 The Client authorises the Stock Broker to debit charges payable to depository participant for depository services to the trading account of the Client maintained with the Stock Broker.

6.3 To facilitate smoothness in transactions, the client hereby request Stock Broker to maintain his account, both securities and funds, in respect of all stock exchanges and all segments with Stock Broker on running basis.

6.4 The client also request Stock Broker to consider the balances in running funds and securities account with Stock Broker for the purpose of margin/any other obligations due to Member. The client also instructs Member to release the funds and securities due to him on his specific request, either written or oral. It is further agreed that the Stock Broker may charge the cost of holding securities.

6.5 The client hereby willfully & unconditionally issue standing instruction for transfer of credit / debit balance as appearing in his ledger account(s) from/to one segment to/from another segment of same stock exchange and/or any segment of another Stock exchange.

6.6 The holding in the beneficiary account (B/O) of the client with the broker DP will be under lien of the Stock Broker till such debit along with penalty/interest, if any, is paid by the client to the stock Broker. The Stock Broker is also authorized to sell such shares kept in client BO A/c or with Stock Brokers client beneficiary account if the debit balance is not cleared by the client within the stipulated period as per the rules.

6.7 In case the client opts for NSE Mutual Fund Service System (MFSS) facility/BSE Star Mutual Fund facility, it is specifically agreed that stock Broker is authorized to transfer the funds required for subscription alongwith charges thereon, from client's ledger account(s) in all/any segment of all/any stock exchange. Further it is to be specifically noted that such service is not protected by investor Protection Fund or from any fund of NSE or NSCCL or BSE.

**7. Provisions relating to Prevention of Money Laundering**

7.1. The Client shall deal in his account only and shall ensure that the transfer of shares is given by him for from his declared DP account only and not from his relatives friends and associates' DP account.

7.2. The Client undertakes to make the payment from his declared bank account only and also in the name of trading Member only. It is specifically provided that payment given to / in the name of Sub Broker or any employee will not amount the payment to trading Stock Broker.

7.3. The Client undertakes to not make any payment in cash to any person connected with the company whether Sub Broker or employee of the company. The broker shall not be responsible and shall not account for any such cash payment deposited in the banking account of the company directly by the client.

**General**

7.4. The client agrees to indemnify and keep safe, harmless and indemnified the Stock Broker, Depository Participant and its officials from any damages, claims, demands, proceedings, loss, cost, charges, penalties and expenses whatsoever which Stock Broker may at anytime incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the trading system or execution of transactions in commodity market by the Client.

**Risk of in the money option holder on final expiry day**

An in the money option holder has the risk of additional STT( Securities Transaction Tax) levy at settlement price based on closing price of the underlying on the final expiry day. In this case, if the settlement price based on closing price of the underlying on the final expiry day. In this case if the settlement price is higher than the strike price in case of call option or lower than the strike price in case of put option, then the STT is payable on settlement price. It generally happens that the incidence of STT payable is much higher than the option premium received by the client.

IN WITNESS THEREOF the parties have caused these presents to be executed as of the day and year first above written.

I/We have read and understood the Rights & Obligation of Beneficial Owner and Depository Participant as prescribed by SEBI & Depositories. I/We hereby acknowledge the receipt of the above mentioned document.

**FATCA DECLARATION**

Is your Country of Tax Residency other than India –        YES                          NO

If 'Yes', please specify the details of all countries where you hold tax residency and its Tax Identification Number & type

SNO	Country of Tax Residency#	Tax Payer Identification Number / Functional Equivalent	Identification Type [TIN or other, please specify]

# to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA

For **VNS Finance& Capital Services Ltd.**

X \_\_\_\_\_

**CLIENT SIGNATURE [13]**

**Authorised Signatory**  
Seal/Stamp of Stock Broker

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

Date \_\_\_\_\_





**VOLUNTARY "Running Account Authorization" by the client in respect of his/her/their Funds and Securities account pertaining to all Indian Stock Exchanges**

I/We \_\_\_\_\_ having client code \_\_\_\_\_ with VNS Finance & Capital Services Ltd. for trading on NSE\_Cash/NSE\_FNO/NSE\_Currency/BSE\_Cash/BSE\_FNO, would like to give instructions for maintaining account on running basis in terms of SEBI circular number CIR/MRD/DMS/13/2010 dated 23<sup>rd</sup> April 2010. These instructions are being given voluntarily on \_\_\_ day of \_\_\_ month \_\_\_ year. I am aware that these instructions can be revoked at any time by giving written intimation duly acknowledged by VNS Finance & Capital Services Ltd. at A-401, Mangalya Marol Maroshi Road, Marol, Mumbai-400059. I am aware that this said revocation will take effect after the completion of pending obligations in respect of margin and inter-exchange/segment account transfer etc.

1. I/We hereby request you to maintain my account, both securities and funds, in respect of all stock exchanges and all segments with you on running basis. This will facilitate smoothness in transactions through you.
2. The actual Settlement of funds shall be done at least once in the preference period as selected below :  
I request you to settle it on

**Monthly Basis**

**Quarterly Basis**

While settling the account having outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

3. I/We also request you to consider the balances in my/our running funds and securities account with you for the purpose of margin/any other obligations in relation to trades due to you. In view of the above it would be proper for you to release the funds and securities due to me/us on my/our specific request, either written or oral. You may charge the cost of holding securities to my/our account with you.
4. I/We hereby willfully & unconditionally issue standing instruction for transfer of credit/debit balance as appearing in my ledger account(s) from/to one segment to/from another segment of same stock exchange and/or any segment of another stock exchange.
5. I/We do hereby request you to release my funds payout based on email request made by me/us.  
I/We do hereby give my consent to receive my funds payout in my registered bank account with you through electronic mode of fund transfer.
6. I/We have the Beneficiary Account with VNS Finance & Capital Services Ltd. (DP Operations). Since the bills for Depository service are required to be paid every month which is very inconvenient, I/We hereby request you to debit my ledger account maintained with VNS Finance & Capital Services Ltd. in cash and /or Derivative segment, with depository charges including pledge charges.
7. I/We may also ask you from time to time to furnish the shares as collateral security to NSE/BSE and/or clearing member for trading on derivative segment. The transfer and/ or pledge charges in that respect may also be debited to our NSE/BSE cash and/or Derivatives ledger account.
8. I shall bring any dispute arising from the statement of account or settlement so made to your notice within 30 working days from the date of receipt of funds or statement, as the case may be. In case of non-receipt of any such communication the statement/settlement of running account shall be considered as final as agreed and accepted by me.

CLIENT'S NAME	
CLIENT'S SIGNATURE [14]	DATE(DD/MM/YYYY)
X _____	



POWER OF ATTORNEY

I/we \_\_\_\_\_ Individual/partnership firm/corporate, being Indian inhabitant sends greetings.

Whereas I/we have a beneficiary account bearing no 1 2 0 3 0 4 0 0 \_\_\_\_\_(hereinafter referred to as the said 'BO account')with VNS Finance & Capital Services Ltd. (Hereinafter called as VNS" & also as "DP") DP ID 12030400 with CDSL & registered as trading member with SEBI as INZ000247736.

And whereas VNS Finance & Capital Services Ltd. (Hereinafter called as VNS), a company registered under the companies act 2013, is a trading member of National Stock Exchange Ltd.(NSE) AND Bombay Stock Exchange Ltd (BSE), hereinafter collectively referred as Exchange/s) and also registered with SEBI having registration number INZ000247736 I/we also have the trading/ investment account with and I/we am/are desirous of appointing an agent / attorney to operate said account on my behalf in the manner hereinafter appearing.

Now know we all and these presents witness that I/we, the above named, do hereby nominate, constitute and appoint VNS Finance & Capital Services Ltd. an Indian company registered under The Companies Act, 1956 acting through its Directors and/or Officers authorized for the purpose, as our true and lawful attorney(s)(herein after referred to as "the attorney(s)") for me/us and on my/our behalf and in my/our name, to do the following acts, deeds and things and exercise the following powers and authorities;

- 1. To do all such things, acts and give all such instructions as mentioned below concerning the my trading and BO account as I/we myself/ourselves could have given if I/we was/were personally present.
2. To take necessary action with regards to above BO account for the purpose of setting up/execution of pledge instructions and delivery / receipt instructions against the obligations for transactions executed with VNS.
3. To create pledge, closure of pledge of securities for trading, trading margin, transactions under MTF & lending and borrowing mechanism in favor of VNS / Clearing house/ Clearing member in connection with the trades executed by me / us on any recognized stock exchange through VNS. Further, VNS may re-pledge such securities to the clearing member / clearing corporation as the case may be for the purpose of my / our margin requirements .
4. To transfer securities for pay-in/ early pay-in from my/our BO Account to Demat account(s) of the VNS Finance and Securities Limited mentioned herein below\* or to any other accounts as may be updated/amended by proper communication without executing a new Power of Attorney every time.
5. To instruct the DP to debit /credit securities including units of Mutual funds, to the said account, which have been wrongly credited or debited in my BO account.
6. To transfer charges including pledge and re-pledge charges levied in my BO account to my trading ledger account of NSE & BSE with VNS.
7. To apply for other capital market products like Mutual Funds, IPO, rights, offer for sale, Buyback, redemption etc, pursuant to oral/written/electronic instructions given by me.

And I hereby agree and confirm that the powers and authorities conferred by this power of attorney shall continue until I/we inform to the contrary, in writing, courier the signed copy at A-401, Mangalya Marol Maroshi Road, Andheri(East), Mumbai - 400059 and it is duly acknowledged by DP. The said revocation will take effect after the completion of outstanding obligation.

Table with 2 columns: Holder Name (1st, 2nd, 3rd Holder) and Client's Signature [15].

IN THE PRESENCE OF (Witness) Signature
A .....
B .....

Accepted
For VNS Finance & Capital Services Ltd.
Authorised Signatory

Table with 6 columns: PARTICULARS OF DEMAT ACC NOS. \*, DP ID, CLIENT ID\*, PARTICULARS OF DEMAT ACC NOS. \*, DP ID, CLIENT ID \*. Includes rows for CDSL NSE POOL A/C, CDSL NSE EARLY PAYIN A/C, CDSL BSE POOL A/C and CUSA Account : 1203040000522131.

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

## AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES

I understand that I have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I hereby opt to receive contract notes in electronic form. I understand that for the above purpose you are required to take from the client “an appropriate email account” for you to send the electronic contract notes.

I also agree that non -receipt of bounced mail notification by you shall amount to delivery at my email account / email id. I agree not to hold you responsible for late/non receipt of contract notes sent in electronic form any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.

I agree that the log report of your dispatching software shall be a conclusive proof of dispatch of contract note to me and such dispatch shall be deemed to mean receipt by me and shall not be disputed by me on account of any non receipt / delayed receipt for any reason whatsoever.

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

Please take the following email account/ email id on the record for sending the contract notes to me. I understand that you shall send physical copy of contract note within 24 hrs if you receive a bounce email.

CLIENT'S NAME		
<b>CLIENT'S SIGNATURE[17]</b> X _____	Email .....	DATE (DD/MM/YYYY)

## ACKNOWLEDGEMENT

I/We hereby acknowledge receipt of the following documents **VNS Finance & Capital Services Ltd.**,

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients (including additional rights & Obligations in case of internet /wireless technology based trading)
2. Risk Disclosure Document for Capital Market and Derivatives Segments.
3. Guidance Note- Do's and Don'ts for Trading on the Exchange(s) for Investors.
4. The VNS Finance & capital Services Ltd. Tariff Sheet.
5. Instruction Checklist for filling KYC Form
6. Rights & Obligations of Beneficial Owner and Depository Participants as prescribed by SEBI & Depositories
7. Policies and Procedures describing significant policies and Procedure of Stock Broker.

I/we have been informed that the above documents are also available on the company website (<http://tradesmartonline.in/>) As well as on (<https://www.nseindia.com/>) & (<http://www.sebi.gov.in/sebiweb/>)

I/We understand that the voluntary documents executed by me/us are out of my/our own free will.

I state that I have read and understood all above documents and these documents are binding upon me.

CLIENT'S NAME	
<b>CLIENT'S SIGNATURE[18]</b> X _____	DATE (DD/MM/YYYY)

**OPTION FORM FOR ISSUE OF DIS BOOKLET**

Date \_\_\_\_\_

DP ID	12030400	CLIENT ID													
First Holder Name															
Second Holder Name															
Third Holder Name															
<p>To, VNS Finance &amp; Capital Services Ltd. ( Depository Participant) A401-402, Mangalya , Marol Maroshi Road, Andheri East, Mumbai-400059</p> <p>Dear Sir/ Madam,</p> <p>I /We hereby state that : <span style="background-color: yellow;">(Select one of the option given below)</span></p> <p align="center"><input type="checkbox"/> <b>OPTION 1</b></p> <p>I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my /our CDSL account through I/we have issued a Power of Attorney (POA) in favour of /with VNS Finance &amp; Capital Services Ltd. (Stock Exchange trades (Settlement related transactions) effected through such clearing member.</p> <p>Yours faithfully</p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:30%;"></td> <td style="width:20%;">First Sole Holder</td> <td style="width:20%;">Second Joint Holder</td> <td style="width:30%;">Third Joint Holder</td> </tr> <tr> <td>Name</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Signatures</td> <td></td> <td></td> <td></td> </tr> </table>					First Sole Holder	Second Joint Holder	Third Joint Holder	Name				Signatures			
	First Sole Holder	Second Joint Holder	Third Joint Holder												
Name															
Signatures															
<b>(OR)</b>															
<input type="checkbox"/> <b>OPTION 2</b>															
<p>I/We do not require the Delivery Instruction Slip (DIS) for the time being, Since I/We have issued a POA in favour of /with VNS Finance &amp; Capital Services Ltd.(Stock Exchange Clearing Member) for executing delivery instructions for setting stock Exchange trades( settlement related transactions) effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.</p> <p>Yours faithfully</p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:30%;"></td> <td style="width:20%;">First Sole Holder</td> <td style="width:20%;">Second Joint Holder</td> <td style="width:30%;">Third Joint Holder</td> </tr> <tr> <td>Name</td> <td></td> <td></td> <td></td> </tr> <tr> <td><span style="background-color: yellow;">CLIENT'S SIGNATURE 19</span></td> <td></td> <td></td> <td></td> </tr> </table>					First Sole Holder	Second Joint Holder	Third Joint Holder	Name				<span style="background-color: yellow;">CLIENT'S SIGNATURE 19</span>			
	First Sole Holder	Second Joint Holder	Third Joint Holder												
Name															
<span style="background-color: yellow;">CLIENT'S SIGNATURE 19</span>															

Please Tear Here

**ACKNOWLEDGEMENT RECEIPT**

Received Option form for issue/Non issue of DIS Booklet from:

DP ID	12030400	CLIENT ID	
First Holder Name			
Second Holder Name			
Third Holder Name			

For VNS Finance & Capital Services Ltd.

Signature & Seal

## CONSENT LETTER FOR AVAILING BSE STAR MF/MFSS FACILITY

---

To  
VNS Finance & Capital Services Limited.  
A-401, Mangalya, Marol,  
Andheri East, Mumbai,  
Maharashtra 400059

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

Sir,

### **Sub: Investment in Mutual Funds through BSE StAR MF/ MFSS**

I/We \_\_\_\_\_ am/are registered as your client with Client Code No. \_\_\_\_\_ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd. (Exchange).

I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF/ MFSS.

For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE StAR MF/ MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated December 2, 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

### **Quarterly/Monthly Settlement**

I/We also authorize VNS Finance & Capital Services Limited to invest in Liquid funds of Mutual Fund through BSE StAR MF/ MFSS at the time of/for the purpose of Quarterly/ Monthly Settlement. I/We understand that the investment is only overnight and redemption/ square up order is placed at the same time/day and the funds payout will be received on on the next day, thereby not affecting my exposure/ trading limits.

I/we therefore request you to register me/us as your client for participating in BSE STAR MF/ MFSS.

Thanking you,

X \_\_\_\_\_

Yours faithfully,

**CLIENT'S SIGNATURE 20**

**Details of Related Person**

**Important Instructions - Please fill form in BLOCK letters, tick (✓) wherever applicable and fill the date in DD-MM-YYYY format**

Related Person Type –  Guardian of Minor  Assignee  Authorised Representative

Name

Date of Birth

Gender -  Male  Female

Pan No.

**Proof of Identity**

Passport Number

Voter ID card

Driving License

Address