

SET OF ACCOUNT OPENING DOCUMENT

Name of Member : FINVASIA SECURITIES PVT LTD

Membership No. : NSE : 14846, BSE : 4043 SEBI Registration No. : (FOR NSE, BSE) INZ000176037 (FOR CDSL) IN-DP-317-2017

Clearing Member Name & Membership No. : FINVASIA SECURITIES PVT LTD (CODE : M51912)

Corporate office : FINVASIA CENTRE, D 179, Phase 8 B (Sector 74) Mohali, Punjab -160055

Phone: 0172-6670000, Web Site: www.shoonya.com

Compliance Officer : (FOR NSE, BSE) Ramanjeet Kaur, Phone No.:0172-6670000, Email : ccofspl@shoonya.com

(FOR CDSL) Ramanjeet Kaur, Phone No.: 0172-6670000, Email :cdsldp@shoonya..com

CEO : Sarvjeet Singh, Phone No.: 0172-6670000, Email : ccofspl@shoonya.com

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	KYC (Account Opening) Application Form	KYC form - Document captures the basic information about the constitute and an instruction / check list.	1-2
2.	Uniform Risk Disclosure Document (RDD)	Documents detailing Risk associated with dealing in the Equity Market.	By Email
3.	Rights and Obligations of Members, AP and Clients	Document stating the Rights & Obligation of Member, Authorized Person and client for Trading on exchanges (including additional Rights and Obligations in case of Internet/Wireless Technology based Trading)	By Email
4.	Rights and Obligations (DP)	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories.	By Email
5.	Terms and Conditions	Terms and conditions for availing transaction using secured texting (Trust) service offred by CDSL	By Email
6.	Do's and Don'ts for the Investors	Document detailing Do's & Don'ts for Trading on exchange, for the education for the investors.	By Email
7.	Policies & Procedures	Policies and procedures as per Exchange.	By Email
8.	Other Details	Past Action, Dealing Through Other Member, Introducer Details etc.	3-5
9.	KYC Form for Demat Account	Additional KYC form for opening Demat account for Individuals & SMS alerts facility	6-7
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12.	Tariff Sheet (CDSL)	Tariff Sheet for Depository Services	11-11
13.	Most Important Terms and Conditions (MITC)	For non-custodial settled trading accounts	12-12

VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER*

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For any grievance/dispute please contact Finvasia Securities Private Limited at FINVASIA CENTRE,D 179, Phase 8 B (Sector 74) Mohali, Punjab 160055, Phone: 0172-6670000.Email: complaints@shoonya.com In case not satisfied with response, Please contact the concern exchange(s)/Depository at:

Exchange Name	E-mail ld	Phone No.
National Stock Exchange of India Ltd. (NSE)	ignse@nse.co.in	022-26598190
Bombay Stock Exchange Ltd. (BSE)	is@bseindia.com	022-22728097
Central Depository Services (India) Ltd. (CDSL)	complaints@cdslindia.com	022-22723333



FINVASIA SECURITIES PVT. LTD. FINVASIA CENTRE D 179 Phase 8 B (Sector 74) Mohali, Punjab 160055 (In Jia) NSE: 14846, BSE: 4043, AMFI: 103331

		SEBI REGN.	NO.: IN-DP-317-2017 • DP ID : 12084300
CENTRAL KYC REGISTRY	Y Know Your Custo	omer (KYC) Application Form Individual	
Important Instructions: A) Fields marked with "" are manda B) Please fill the form in English and C) Please fill the date in DD-MM-YN D) Please read section wise detaile at the end.	d in BLOC (letters. YYY forma .	 E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is availate. F) List of two character ISO 3166 country codes is available at the end. G) KYC number of applicant is mandatory for update application. H) For particular section update, please tick (✓) in the box available before section number and strike off the sections not required to be updated. 	
For office use only (To be filled by financial institution	Application Type on) KYC Number Account Type*		ory for KYC up date request) ☐ Small
☐ 1. PERSONAL DETAIL	LS (Please refer instruction	on A at the end)	
☐ Name* (Same as ID proof) Maiden Name (If any*) Father / Spouse Name* Mother Name*	Prefix	First Name Middle Name	Last Name
Date of Birth*	D D — M M — Y		26.0281 45 - 82.1718731 (India)
Gender*	☐ M- Male	KRA VALIDATED	
Marital Status*	☐ Ma ried	CHUPT9159A	
Citizenship*	☐ IN- Indian		
Residential Status*	☐ Resident Individu☐ Foreign National	PRADYUMN TIWARI	
Occupation Type*	☐ S-Service (☐ F☐ O-Others (☐ P☐ B-E usiness☐ X- Not Categorise		Signature / Thumb
☐ 2. TICK IF APPLICAB	LE RESIDENCE	FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA	(Please refer instruction B at the end)
ADDITIONAL DETAILS REC	QUIRED' (Mandatory on	y if section 2 is ticked)	
ISO 3166 Country Code of Ju	urisdiction of Residenc	e*	
Tax Identification Number or	equivalent (If issued by	jurisdiction)*	
Place / City of Birth*		ISO 3166 Country Code of Birth*	
☐ 3. PROOF OF IDENTIT	ΓΥ (Pol)* (Please refer	instruction C at the end)	
(Certified copy of any one of the		,	
A- Passport Number B- Voter ID Card C- PAN Card D- Driving Licence		Passport Ex Driving Licence Ex	
☐ E- UID (Aadhaar) ☐ ☐ F- NREGA Job Card ☐			
Z- Others (any document r	notified by the central gove	ernment) Identification	n Number
☐ S- Simplified Measures A			n Number
4. PROOF OF ADDRE	ESS (Po.A)*		
		SS DETAILS (Please see instruction D at the end)	
(Certified copy of any one of the	following Proof of Address	s [PoA] needs to be submitted)	
**	esidential / Business		☐ Registered Office ☐ Unspecified
□ Vo	assport oter Identity Card	□ Driving Licence□ UID (Aadhaar)□ NREGA Job Card□ Others□ UID (Aadhaar)	please specify
Address Si	implified Measures Acc	ount - Document Type code	
Line 1*			
Line 2			
Line 3			Town / Village* ISO 3166 Country Code*
District*		Pin / Post Code* State / U.T Code*	130 3100 Country Code

Shळन्य	
by Finva/ia	
by FillVa/la	
4.2 CORRESPONDENCE / LOCAL A	DDRESS DETAILS * (Please see instruction E at the end)
Same as Current / Permanent / Overs	eas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')
Line 1*	
Line 2	
Line 3	City / Town / Village
District*	Pin / Post Code* State / U.T Code* ISO 3166 Country Code*
☐ 4.3 ADDRESS IN THE JURISDICTIO	N DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable i section 2 is ticked)
Line 1*	eas Address details Same as Correspondence / Local Address details
Line 2	
Line 3	City / Town / Village*
State*	ZIP / Post Code* SO 3166 Country Code*
☐ 5 CONTACT DETAILS (All com	nunications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)
Tel. (Off)	Tel. (Res) — Mobile — — — Mobile
FAX	Email ID
	SON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)
	tion of Related Pers 20-05-2024
• •	rdian of Minor ative
Name*	KRA VALIDATED Last Name
(If KYC	number and name a CHUPT9159A
PROOF OF IDENTITY [Pol] OF REL	ATED PERSON* (PI
☐ A- Passport Number	PRADYUMN TIWARI
□ B- Voter ID Card	
C- PAN Card	
☐ D- Driving Licence	Driving Licence Expiry Date DD - MM - Y Y Y Y
☐ E- UID (Aadhaar)	Driving Electrice Expiry Date
F- NREGA Job Card	
☐ Z- Others (any document notified by	the central government) Identification Number
☐ S- Simplified Measures Account	
☐ 7. REMARKS (If any)	2000mont type sede
☐ 7. REMARKS (II any)	
8. APPLICANT DECLARATION	
	are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes
for it.	formation is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable Signature / Thumb Impression
I hereby consent to receiving information from C	entral KYC Registry through SMS/Email on the above registered number/email address.
Date: DD-MM-YYY	Place: Signat re / Thumb Impression of Applicant
9. ATTESTATION / FOR OFFIC	FUSE ONLY
Documents Received ☐ Certifie	
	ICATION CARRIED OUT BY INSTITUTION DETAILS
Date DD-M	Name FINVASIA SECURITIES PVT. LTD.
Emp. Name	Code
Emp. Code	
Emp. Designation	
Emp. Branch	
	[Institution Stan p]
[Employe	e Signature]
	(2)

		TRA	DING ACCO	UNT	RELA	TED) DE	ΞTΑ	AILS			(F	or Individual	ls)
A. BANK ACCOUNT(S)	DETAIL	S												
Bank Name		Branch	n Address	Bar	nk Accoi	unt Ni	umb	er	Accoun	t Type	MIC	R Number	IFSC Code	le
STATE BANK OF INDIA		CHAKRATA SAHARAN UTTAR PR INDIA 2803	PUR . ADESH	4128	41283601605				Sav	ving rrent ners -	247		Sbin001 467	
									NRE / N	IRO				
B. DEPOSITORY ACCO	UNT(S)	DETAILS												
Depository Participant Name	Name	of Depository	Beneficiary Na	ame			DP	ID			Ben	eficiary ID (BO ID)	
Finvasia Securities Private Limited	☐ NSI	DL 🗹 CDSL	PRADYUM TIWARI	N	12	0	8	4	30	0				
	☐ NSI	DL CDSL												
C. TRADING PREFERI	ENCES													
Please sign in the rele	vant bo	oxes where y	ou wish to tra	ade. Pl	ease s	trike	off	the	segme	nt no	t chos	en by you	I.	
Exchanges	l	NSE, BSE												
ALL Segments	Cash/ Fund	Mutual)		F&O						CDS			
If you do not wish to trade in a D. FINANCIAL & OCCU	·	•	Fund, Please mer	ntion he	re									
Gross Annual Income (please specify)	Details		ange per annum Lac to 10 Lac		selow Rs Rs. 10 La			ac			c to 5 L ac to 1		□ >1 Cro	ore
Net Worth (Net worth sas on (date) Occupation (please tick any one and give brief details) Please tick, if application and other information E PAST ACTIONS Details of any action/proce Partners/promoters/whole	Multiple :	M Y Y : Privat Agrica Politica initiated/pendi	Y Y (Core Sector Fulturist Retailly Exposed Penng/taken by SEE	mpulso Public S tired [erson (P	ry for No Sector Hous EP)	on-Indo	dividu Gove E [uals) ernm V S Rela	nent Service Student atted to a	/ice Politic	Others[ally Exp	Business osed Perso	Professi Please Speon (PEP)	ecify
NA				(3))									

F. DEALINGS THROUGH SU	3-BROKES AND OTHER STOCK BROKERS
If client is dealing through th	e sub-broker, provide the following details:
Sub-broker's Name	
SEBI Registration number	NA
Registered office address	NA
Ph.	Fax Website
Whether dealing with any other	er stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)
Name of stock broker	
Name of Sub-Broker, if any	
Client Code	Exchange
Details of disputes/dues pen such stock broker/sub- broke	
G. ADDITIONAL DETAILS	
Whether you wish to receive or Electronic Contract Note (I	
Specify your Email id, if applied	cable PRADYUMNTIWARI8439@GMAIL.COM
Whether you wish to avail of trading/ wireless technology (
Number of years of Investme	nt/Trading Experience
H. INTRODUCER DETAILS (o	ptional)
Name of the introducer	
Status of the Introducer	☐ Sub Broker ☐ Remisier ☐ Auth. Person ☐ Existing Client ☐ Others
Address and Phone No.	
of the Introducer	
Sign. of the Introducer	
I. NOMINATION DETAILS (fo	r individuals only)
☐ I/We wish to nominate	✓ I/We do not wish to nominate
	(4)

DECLARATION

- 1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
- 2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- 3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

PRATAPGARH Place		3	·····
Date 2 0 - 05 M - 2024	YY	<u></u> €±12 Signature of C	Client / All Authorized Signatory (ies)
	FOR OFFICE	USE ONLY	
UCC Code allotted to the Client :			
	Document verified with Originals	Client Interviewed By	In-Person Verification Done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			
I / We undertake that we have made the cleave also made the client aware of 'Rights all the KYC documents. I/We undertake the would be duly intimated to the clients. I/We available on my/our website, if any, for	and Obligations' document at any change in the 'Policy a e also undertake that any the information of the cli	(s), RDD and Guidance No and Procedures', tariff sheet change in the 'Rights and C	te. I/We have given/sent him a copy of and all the non-mandatory documents obligations' and RDD would be made
For FINVASIA SECURITIES PVT. L Finvasia Securities Pvt. Ltd. Authorised Signatory	.ID.		CHANDIGARH INDIA
Signature of the Authorised Signatory			.07
Date	(5)		Seal / Stamp of the Stock Broker

ACCOUNT OPENING FORM INDIVIDUALS



FINVASIA SECURITIES PVT. LTD.

SEBI REGN. NO.: IN-DP-317-2017 • DP ID 12084300



FINVASIA CENTRE, D 179, Phase 8 B (Sector 74), Mohali, Punjab 160055 (India) Ph.: 0172-4770000, 6670000, Fax: 0172-6670070, E-mail: cdsldp@shoonya.com

ADDI	ITIOI	NAL	KY	FC	ORM	FO	R OI	PEN	ING	A D	EMA	T AC	COU	NT	FC	R	IND	IVID	UAL	.S		
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Second Holder's Name				ı					ı			P	AN									
UID												D	ate of E	3irth	D	D	M	M	Y	Υ	Υ	Υ
Third Holder's Name												P	AN									
UID												D	ate of E	3irth	D	D	M	M	Υ	Υ	Υ	Υ
Name*									-			<u> </u>										
* In case of Firm persons, the na	ame of																		name (of the	natura	ıl
OTHER DETA	IIL5																					
Gross Annual Income Details	6		N	Upt Rs. et Wo	o Rs. 10,00 rth as	1,00,0 0,000 on (d	000 to Rs. ate)	25,00 D	Rs. 1, 0,000	/ N	More Y	s. 5,00,0 than Rs		0,00 Rs	0	5,00	0,000	to Rs	s. 10,0	00,000)	
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Please tick, if	applic	able		Pol	iticall	у Ехр	osed	Pers	son (F	PEP)		Re	lated	to P	olitio	cally	[,] Ехр	osed	Pers	on (F	RPEF	رد)
Any other info	rmatio	on																				
									(6	5)												

BANK DETAILS (Div	idend Ba	nk Details)									
Bank Code (9 digit MICR Code)	2	4	7	0	0	2		0	4		8
IFS Code (11 Character)	S	b	i n	0	0	1	1_		4 6	<u> </u>	7
Account Number	41283	601605									
Account Type	✓ Sa	ving	Current	Othe	s (specif	y)				<u></u>	
Bank Name	STATE	BANK	OF IND	NΑ							
Branch Name											
Bank Branch Address	CHAKI	RATA R	OAD SA	HARAN	PUR .	UTTAR	PRA	ADE:	SH INC	IA 2	8030
City	:	State		Co	untry			PIN			
 (i) Photocopy of the (ii) Photocopy of the (iii) Photocopy of the (iv) Letter from the Ba ➤ In case of opt 	Bank Stat Passbook ank. ion (ii), (iii	tement havi c having nar) and (iv) at	ng name an me and add pove, MICR	d address of the E	of the BO. BO, (or) branch s						
DETAILS OF GUARD	DIAN (in c	ase the acc	count holde	er is minor)							
Guardian's Name						PAN					
Relationship with the a	applicant										
I/We instruct the DP to (if not marked, the defa				our account		[Automatic	Credit	_			
I/We would like to instru in my/our account witho (If not marked, the defa	ut any oth	er further ins	truction from			Yes 🗸	No				
Account Statement Rec	quirement	✓ As p	er SEBI Reg	julation	Daily	Weekly		Fortni	ghtly	Mont	hly
I/We request you to sen at the email Id PRADYUI				ng Statemen		Yes 🗸	No				
I/We would like to share	the email	ID with the F	RTA			Yes 🗸	No				
I/We would like to receive (Tick the applicable box.			ılt option wou	lld be in Phys		Physical	v	Electro		Both Ph & Electi	
I/We wish to receive divi below through ECS. (If r [ECS is mandatory for lo	not marked	, the default	option would	be 'Yes')	iven	Yes 🔽	No	> <u></u>			
SMS Alert Facility	[Mar	ndatory, if yo	u are giving f	9 8 8 6 Power of Atto to not wish to	rney (PO	A)]	ancel th	is optic	on).		Yes No
Transactions Using Secured Texting Facil (TRUST)	ity I/We	have read a	and understo	facility using od the Terms	and Con	ditions presc	ribed b	y CDS	L for the s	ame.	
		ck Exchang		1		nber Name			learing Me	ember	
	- 5.50		,	0.00					(Optio	nal)	
Easi				ı sit our websi IN balances,				ortfolio	online.		
				(7)							

		NOMINAT	ION FORM	(Annexure-A)
FIN	nvasia Securities P VASIA CENTRE, D 179, Phase Iali, Punjab-160055 (India)	vt. Ltd.	al applying singly or jointly)	
DAT		Y Y Y UCC		
DP	ID 1 2 0 8 4	3 0 0 Client ID		
		tion. [As per details given below]	1	
	OMINATION DETAILS	a and do haraby naminate the fall	louring norman(a) who shall receiv	e all the accete hold in my / aux
	ount in the event of my / ou	n and do hereby nominate the foll r death.	owing person(s) who shall receive	re all the assets held in my / our
No thre	mination can be made upto ee nominees in the account	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the nominee(s) Mr./Ms.)	NA		
2.	Share of each Nominee Equally	%	%	%
	please specify percentage]	Any odd lot after division sh	nall be transferred to the first nominee	e mentioned in the form.
3.	Relationship with the Applicant (if any)			
4.	Address of Nominee(s)			
	City / Place	NA		
	State / Country	1 47 1		
	PIN Code			
5.	Mobile/Telephone No. of Nominee(s)			
6.	Email ID of nominee(s)			
7.	Nominee Identification details - [Please tick any one of following and provide details of same] Photograph & Signature PAN AADHAAR Saving Bank A/c No. Proof of Identity Demat Account ID	NA		
8.	Date of Birth (in case of	only if nominee(s) is a minor :		
	minor nominee(s)}			
9.	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10.	Address of Guardian(s)			
	City / Place			
	State / Country			
	PIN Code			
11.	Mobile/Telephone No. of Guardian			
12.	Email ID of nominee(s)			
		3)	B)	

13.	Relatio		of Gua	rdian														
14.	Guardia [Please and pro	n Iden tick ar vide de	tification on tification of the same of same tiph & Signal	ollowin ame]	ng													
			AADHA	•														
	Sav	ing B	ank A/c	No.														
	Pro	of of l	dentity															
	Der	nat A	ccount II)						<u> </u>								
							Nam	ne(s) of H	Holder(s)					Si	gnatur	e(s) of	f Holde	er
1	le/First r./Ms.)	Holo	ler										£ 03					
1	cond H r./Ms.)	lolde	r															
1	ird Hold r./Ms.)	der																
								mination i shall prov						form to	the acc	ount ho	older(s).	
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To, FINV Moha DATI DP I Sol Sec Thin invol need inclu Sig	Vasia ASIA CE	a See NTRIAB-160 O 2 Holder er Na y corron-apmit all ment	ecurit E, D 179, 0055 (Ind 0 5 0 8 er Name Name Infirm that opointment I the req	ies Phas lia) 2 4 PF t I / Went of juisite	Pvt se 8 E	2 0 DYU	td. ctor 7	TO Appoin d further a information	C ARI at any non are aware to not claim	H hat in caning of a	in my / ou	P ur tr	T ading / de aumy / our	9 emat account hold trading /	ount and der(s), r	d unde	rstand to legal h	the issues eirs would may also
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TARIFF CHARGES

ZERO BROKERAGE CHARGES

- 1. All Charges (namely: Exchange Transaction Charges, Clearing Member Charges, SEBI Fee etc.) and Statutory Taxes (GST & Stamp Duty etc.) Shall be charged as per rates applicable from time to time In addition to brokerage.
- 2. Charges mentioned above are in respect of services mentioned above only and charges for any service provided to client other than those listed above shall be charged extra.
- 3. Late payment penalty @2% p.m. calculated on daily overdue balance shall be charges till actual realisation.
- 4. There shall be no software charges, However in case of any change in future, clients will be informed with two months notice.:-

Shoonya (EXE/ WEB/ MOB) : Zero Charges

5. I/we hereby authorize you to Debit charges in respect of pledge of securities against margin/ settlement obligations to Exchanges,

Clearing member ,Clearing Corporation, Banks or any other Financial Institutions from my Trading account

(Client Signature)

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FINVASIA SECURITIES PVT. LTD.

SEBI REGN. NO.: IN-DP-317-2017 • DP ID 12084300



FINVASIA CENTRE, D 179, Phase 8 B (Sector 74), Mohali, Punjab 160055 (India) Ph.: 0172-4770000, 6670000, Fax: 0172-6670070, E-mail: cdsldp@shoonya.com

TARIFF FOR DEPOSITORY SERVICES

SI. No.	TRANSACTION DETAIL	RETAIL CLIENTS	BSDA CLIENTS
1.	Demat Account Opening Charges	Nil	Nil
2.	Account Maintenance Charges	Nil	Nil
3.	POA Services	Rs. 100/- (One Time)	Rs. 100/- (One Time)
4.	Transaction Charges per ISIN :		
	(a) Buy (Receive)	Nil	Nil
	(b) Sell (Debit)	Rs. 9/-	Rs. 19/-
	(c) Off Market Transactions	Rs. 9/-	Rs. 19/-
5.	Demat (Per certificate)	Rs. 15/-	Rs. 15/-
6.	Remat (Per ISIN upto 100 shares)	Rs. 15/- + Courier Charges	Rs. 15/- + Courier Charges
7.	Demat / Remat Request	Rs. 99/- + Courier Charges	Rs. 99/- + Courier Charges
8.	Pledge per ISIN	Rs. 25/- + CDSL Charges	Rs. 25/- + CDSL Charges
9.	Unpledge per ISIN	Rs. 25/- + CDSL Charges	Rs. 25/- + CDSL Charges
10.	Pledge Invocation per ISIN	Rs. 19/-	Rs. 19/-
11.	Periodic Statement :		
	(a) By Email	Free	Free
	(b) Physical*	Rs. 99/- (Courier Charges)	Rs. 99/- (Courier Charges)
12.	Adhoc / Non Periodic Statement Requests :		
	(a) By Email	Free	Free
	(b) Physical	Rs. 5/- per page + Actual Courier Charges	Rs. 5/- per page + Actual Courier Charges
13.	Delivery Instructions :		
	(a) First Delivery Instruction Book	Free (5 Leaves)	Free (5 Leaves)
	(b) Every Additional Booklet*	Rs. 50/- (5 Leaves)	Rs. 50/- (5 Leaves)
14.	Cheque Bounce / Per cheque	Rs. 299/-	Rs. 299/-
15.	Failed Transctions	Rs. 49/- per transaction	Rs. 49/- per transaction
16.	Modification in CML	Rs. 19/- per request	Rs. 19/- per request
17.	Demat Closure Account	Nil	Nil

NOTE:*

All taxes separate as applicable. Delayed payment charges @ 2% per month on T+2 days shall be charged for debit/shortage in payin/margin default, as per exchange requirements. I confirm to open my account in Retail account category. In case I wish to change to BSDA, shall inform separately.

*For Physical	(once a ve	ar) not chargeable.
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£ 15		
Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder
	(11)	

^{*} Every Aditional Booklet courier charges Extra .

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

L i	
(Client Signature)	

STANDING INSTRUCTIONS / AUTHORIZATION LETTER

To,

Finvasia Securities Pvt. Ltd.

FINVASIA CENTRE, D 179, Phase 8 B (Sector 74) Mohali, Punjab 160055 (India)

Date:

PRATAPGARH Place:

20-05-2024

Sub: Standing Instructions / Authorization Letter

I/We have been / shall be dealing through you as my broker on the Capital Market and/or Futures & Options Segments / Currency Derivatives Segments. As my broker i.e. agent I/we direct and authorize you to carry out trading / dealings on my/our behalf from telephone/mobile calls made by me and/or through instructions emailed by me as per instructions given below

Since you are issuing contract notes bearing order numbers and trade numbers on a daily basis, please do not issue the order/trade confirmation slips as generated from the Trading Terminal.

You have discounted to me/us that you undertake proprietary trading.

Thanking you	
Yours faithfully	
£ 16	
(Client Signature)	

VERBAL ORDER ACCEPTANCE AUTHORIZATION

To.

Finvasia Securities Pvt. Ltd.

FINVASIA CENTRE, D 179, Phase 8 B (Sector 74) Mohali, Punjab 160055

Date: 20-05-2024

PRATAPGARH Place

Sub: Verbal Order Acceptance Authorization

I/We have been / shall be dealing through as my / our broker on the Capital Market, Mutual Fund and/or Futures & Options Segments / Currency Derivative Segment. As my broker i.e. agent I/we direct and authorize you to carry out trading / dealings on my/our behalf from telephone/mobile calls made by me and/or through instructions emailed by me as per instructions given below I/ We agree and acknowledge the it is advised and preferred you that I/We given instructions for order placement/modification and cancelation in writing and to avoid disputes, I/we must given instructions in exactly the format given below in duplicate (carbon copy/ photocopy) and take signatures of your duly authorized officers at the branch along with your company stamp on the carbon/ photocopy of the instructions in acknowledgement of receipt of my/our instructions. However as I/we shall be dealing by ordering over phone and even if I/we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation. I/We hereby authorize you to accept my / my authorized representative's verbal instructions for order placement/ modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/We all 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.

Thanking you	
Yours faithfully	
2 17	
Client Signature)	

RUNNING ACCOUNT AUTHORISATION

To,

Date 20-05-2024

Finvasia Centre D-179,

Phase -8 B Sector -74 Mohali -Punjab160055

Sub: RUNNING ACCOUNT AUTHORISATION

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Commodity segment and/or Interest Rate future Segment and/or Mutual Fund Segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

- 1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
- 2. I/We request you to settle my fund once in 30 days or once in 90 days or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
- 3. In case I/We have an outstanding obligation 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 future margin obligations, calculated in the manner specified by the exchanges.
- 4. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 30 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office. The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.

Thanking You	
Yours faithfully,	
Signature	Date: .20-05-2024
PRADYUMN TIWARI	Client Code



FATCA-CRS Declaration

Please seek appropriate advice from your professional tax professional on your tax residency and related

	FATCA & CRS guidance																			
Name	me PRADYUMN TIWARI																			
Place	Place of Birth NA																			
Count	try of Birth	N	Α																	
Nation	nality	I	n	d	i	а	n													
Const	titute	V	' In	divid	ual		⊦	HUF NRI Foreign National												
			C	orpor	ate			Other	s (Pl.	Spec	cify)									
Are you	u a tax resi	dent	of an	у соц	ıntry	other	than	India	a -		Ye	S	'	No						
If Yes, p	olease indic	ate a	ll cou	ntries	in w	hich y	ou ar	e res	ident	for ta	x pur	poses	s and	the a	ssoci	iated [*]	Tax II) Nun	nbers I	oelow.
S.No.		Co	untry	#				Ta	x Ide	ntifica	ation	Num	ber [%]		(7	Ider IN or d	ntifica other, p	tion T	ype specify	<i>')</i>
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					FA	TCA	& CF	RS -	TER	MS 8	CO	NDIT	ION	S						
Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Incometax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account of 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. It is important that you respond to our request, even if you believe you have already supplied any previously requested information.																				
Date :	Place : PRATAPGARH																			
	Signature																			



FINVASIA SECURITIES PVT. LTD.

SEBI REGN. NO.: IN-DP-317-2017 • DP ID 12084300



FINVASIA CENTRE, D 179, Phase 8 B (Sector 74), Mohali, Punjab 160055 (India) Ph.: 0172-4770000, 6670000, Fax: 0172-6670070, E-mail: cdsldp@shoonya.com

ANNEXURE-A

Terms & Conditions-Cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

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

Fees, Charges and deposits

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

Availability:

- 1. The service will be provided to the BO at his/her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The service may be discontinued for a specific period/indefinite period with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
- The service is currently available to the BOs who are residing in India.
- 3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
- 4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
- The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository.

In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

- The depository shall send the alerts to the mobile phone number provided by the BO while registering for service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
- The BO acknowledges that the alerts will be received only if the
 mobile phone is in 'ON' and in a mode to receive the SMS. If the
 mobile phone is in 'Off' mode i.e. unable to receive the alerts then
 the BO may not get / get after delay any alerts sent during such
 period.
- The BO also acknowledges that the readability, accuracy and timeliness of providing the services depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
- 4. The BO further acknowledge that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/or in accuracy. In case of BO observes any error in the information provided in the alert, the BO shall inform the depository and/or the DP immediately in writing and the depository will make best possible efforts to rectify the errors as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/suffered by the BO an account to avail SMS alerts facility.
- 5. The BO authorized the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
- 6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com The BO is advised not to inform the service provider about any such unauthorized debit to/transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.

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Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder

(16)

- 7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
- 8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
- If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

The depository shall made reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository will not be liable for any unauthorized use or

access to the information and/or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by an third person.

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purpose of generating SMS Alerts by service provider, to be sent to the said mobile number.

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

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

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

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

DP ID	1	2	0	8	4	3	0	0	В	O ID									
Sole/First	Holder's	s Name	: <u>P</u> F	RAD	YUN	1N ⁻	TIW	ARI											
Second Ho	older's l	Name	:																
Third Hold	er's Na	me	:																
Mobile No.	. on whi	ch mes	sages	are to	be sent	: [+	9	1	8	4	3	9	8	8	6	5	4	9
								(Ple	ease wr	ite only	the mob	ile num	ber wit	hout pre	efixing c	ountry c	ode or	zero)	
The Mobile		-																	
E-mail Id:	PRA	DYU	JMN	TIW	ARI8	439	9@0	<u>GMA</u>	IL.C	OM									
							(Ple	ase wri	te only	ONE va	ılid emai	il ld on v	which c	commun	ication;	if any, is	to be	sent)	
Æ n11																			
Signatu	re of S	ole/First	Holde	er					Signa	ture of	Second	Holder				Signatu	ire of T	hird Ho	der
				*Ple	ase do					LDING, A all cuttir						older(s).			
Place :	ATAPO	SARH I	Date :	20-0	5-202	24													
										(17)									

OPTION FORM FOR ISSUE OF DIS BOOKLET Date 20-05-2024 2 0 3 DP ID 4 Client ID PRADYUMN TIWARI First Holder Name Second Holder Name Third Holder Name To. Finvasia Securities Pvt. Ltd. FINVASIA CENTRE, D 179, Phase 8 B, (Sector 74) Mohali, Punjab-160055 (India) **OPTION 1:** 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 Finvasia Securities Pvt. Ltd. for executing delivery instructions for setting stock exchange trades (settlement related transactions) effected through such Clearing Member. OR **OPTION 2:** I/We do not require the Delivery Instruction Slip (DIS) for the time being. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.since I/we have issued a POA/registered for eDIS execute in favour of/with Finvasia Securities PvL Ltd for executing delivery instruction for selling stock exchnage trades (settlement releated transactions) effected through such POA / eDIS . I/We hereby select Option 1 Option 2 **2**13 Signature of Second Holder Signature of Sole/First Holder Signature of Third Holder

Instructions to the Applicants (BOs) for account opening:

- 1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
- 2. Signatures should be preferably in black ink.
- 3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
- 4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
- 5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self certified copy thereof, must be lodged along with the application.
- 6. All correspondence / queries shall be addressed to the first / sole applicant.
- 7. Strike off whichever option, in the account opening form, is not applicable.

ACKNOWLEDGEMENT RECEIPT

To,

Finvasia Securities Pvt. Ltd.

FINVASIA CENTRE, D 179, Phase 8 B (Sector 74)

CO	Shक्जन्य
	by Finvaria

Mo	hali, Punjab 160055 (India)	,								
Αр	plication No.	20-05-2024 Date								
De	ar Sir,									
/W	e hereby wish to receive the belo	w mentioned documents either elec-	tronically (email) or physically.							
1.	9	oker/Trading Member, Sub broker at Obligations in case of Internet/Wir	c c							
2.	Rights & obligations of beneficial owner & depository participant as prescribed by SEBI & depositories.									
3.	Risk Disclosure Document (RDD) & Documents detailing Do's & Don'ts for Trading on exchange & Policies and procedures of the stock broker.									
~	Electronically (E-mail) Phy	ysically								
	me of the Sole/First Holder RADYUMN TIWARI	Name of the Second Joint Holder	Name of the Third Joint Holder							
<u> </u>	12									
	ignature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder							

AUTHORISATION FOR ELECTRONIC COMMUNICATION

To, Date: 20-05-2024

Finvasia Securities Pvt. Ltd.

FINVASIA CENTRE,D 179, Phase 8 B (Sector 74) Mohali, Punjab 160055

Sub: Authorisation for Electronic Communication

Dear Sir.

I/We understand that I/We have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt for receipt of contract notes in electronic form as well as all other communications including account statement, holding statement, trade, order confirmations and any other notices also electronically.

I/We 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. Accordingly, please take the following email account on your record for sending the contract notes and other communications to me/us.

1.	PRADYUMNTIWARI8439@GMAIL.COM Email id:
	PRADYLIMNTIWARI8439@GMAIL COM

I/We agree that the Log Reports of your dispatching software shall be a conclusive proof of dispatch of Contract Notes and any other electronic communication to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt / delayed receipt for any reason whatsoever.

I/We also agree that non-receipt of bounced mail notification by the stock broker shall amount to delivery at my/our e-mail id.

Please treat this authorisation as written ratification of my/our verbal directions / authorizations given and carried out by you earlier. I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our directions given above.

I/We agree to inform you any change in my email in future either in physical mode by regd. post or by hand delivery or through an email from my email id registered with you.

I nanking you	
Yours faithfully,	
∠ n13	
(Client Signature)	
Client Name : PRADYUMN TIWARI	
Client Code :	

Prodywmn



