



Form No : _____

Branch Tag : _____

Intro Tag : _____

Checklist (For Individuals):

- 1 Passport Size **Photograph***
(affix with sign across on CVL Form Pg.1)
- PAN Card*** (self attested copy)
- Aadhaar Card*** (self attested copy)
- Rs.1500/- **Cheque*** with pre-printed name
- Existing Demat Client Master
(if Demat A/c not opened with Agroy - self attested copy)
- 6 months bank statement / ITR / Form 16 / Salary Slip /
Demat Holding (any one self attested copy)

**Mandatory Documents*

Checklist (For Non Individuals):

- 1 Passport size photographs of all the Directors/Partners/
Trustees / Karta (Affix & sign across on CVL Form Pg.5)
- PAN Card of the Entity
- PAN Card of all the Directors / Partners / Trustees / Karta
- Address Proof of the Entity
- Aadhaar Card of all the Directors/Partners/Trustees/Karta
- Last two years audited Balance Sheet
- Memorandum and Articles of Association / Trust /
Partnership Deed
- Board Resolution to open Trading/Demat Account
- Shareholding / Ownership Pattern of the Entity
- List of Directors / Partners / Trustees
- Copy of Income Tax Return for last 2 years
- Cheque of Rs.1500/- with pre printed name
- KYC (on Pg.1) for each Director / Partner / Trustee/
Karta must be done separately

*All documents must be stamped and signed / self attested by
authorised signatories*

TRADING-CUM-DEMAT ACCOUNT OPENING FORM

CLIENT REGISTRATION BOOKLET #1

For NSE (CM/FO/CD), BSE (CM/FO), MCX, CDSL (Demat)



www.agroy.com

Unique Client Code (UCC): _____

Demat BO-ID: 12060700 - _____

Name: _____

Mobile: _____

Email: _____

Mother's Name: _____

Annual Income: _____

Occupation: _____

Nominee: _____

Politically exposed Person: Yes No



STOCKS & DERIVATIVES

INDEX

S.No.	Name of the Document	Brief Significance of the Document	Page No
<u>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES</u>			
1	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction/check list.	1
		B. Document captures the additional information about the constituent relevant to trading / demat account and an instruction/check list.	6
2	Rights and Obligation	A. Rights and Obligations of Beneficial Owner and Depository Participant	11
		B. Document stating the Rights & Obligations of stockbroker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	22*
		C. Document stating the Rights & Obligations of member, Authorised Person and client for trading on exchanges (including additional rights & obligation in case of internet/wireless technology based trading).	27*
3	Risk Disclosure Document (RDD)	A. Document detailing risks associated with dealing in the securities market.	37*
		B. Document detailing risks associated with dealing in the Commodities market.	40*
4	Guidance Note (NSE / BSE)	A. Document detailing do's and don'ts for trading on stock exchanges, for the education of the investors.	44*
		B. Document detailing do's and don'ts for trading on commodity exchanges for the education of the investors.	45*
5	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	47*
6	Tariff sheet	A. Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock/ commodity exchanges.	13
		C. Document detailing the rate/amount of depository charges levied on the client	14
*NOTE: Pages 22 to 52 are contained in Client Registration Booklet #2 and given to the constituent in Physical/Electronic format and are also available on www.agroy.com			
<u>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER / DEPOSITORY PARTICIPANT</u>			
7	Letter of Authority and Standing Instructions	Letter of Authority given by the client to the broker for general operating instructions of the trading account.	15
8	CDSL SMS Registration	Form for registration with CDSL for receipt of alerts on SMS along with the Terms and Conditions for the same.	18
9	Demat Debit & Pledge Instruction	DDPI given by the client in favour of stock broker for transfer of shares for the purpose of payin / margin obligations of the client.	20
10	FATCA-CRS Declaration	Details of Countries of Tax Residency	21
11	Declaration from HUF	Details of family members of HUF	21
12	Declaration from Sole Prop.	Declaration for using the Demat account of Proprietor	21
13	MITC	Acknowledgement of Most Important Terms and Conditions	22

Name of stock broker/trading member/clearing member: **AGROY FINANCE AND INVESTMENT LIMITED**

SEBI Registration No. and date: **NSE / BSE / MCX: INZ000185530 (20-07-2018)**

CDSL: IN-DP-CDSL-513-2020 (17-11-2020)

Registered office address: **A-21 Kailash Colony, New Delhi 110048**

Ph: 011-46007600 Website: www.agroy.com

Correspondence office address: **A-21 Kailash Colony, New Delhi 110048**

Ph: 011-46007600 Website: www.agroy.com

Compliance officer name, phone no. & email id: **Ashish Kumar Gupta, 011-46007600, ashish.gupta@agroy.com**

CEO name, phone no. & email id: **Tushar Agarwal, 011-46007600, ceo@agroy.com**

For any grievance/dispute please contact Agroy Finance and Investment Ltd at the above address or email id - **customercare@agroy.com** and Phone no. **+91-8448897100**.

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

For NSE: Email: ignse@nse.co.in Phone no.: 91-22-26598190

For BSE: Email: iscdelhi@bseindia.com Phone no.: 91-11-41510480

For MCX: Email: grievance@mcxindia.com Phone no.: 91-22-66494070

For CDSL: Email: complaints@cdslindia.com Phone no.: 18002005533

A. IMPORTANT POINTS:

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

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

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

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

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

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

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

SIGNATURE OF APPLICANT

*

Please Submit the KYC Documents on A4 Size Paper Only.

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

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

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

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

SIGNATURE OF APPLICANT

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

Please Submit the KYC Documents on A4 Size Paper Only.

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

Name of Applicant _____

PAN of the Applicant _____



Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph (with signatures across)
						*
						*

*

Name & Signature of the Authorised Signatory(ies) Date [d | d] / [m | m] / [y | y] [y | y]



1 B. ADDITIONAL DETAILS FOR TRADING & DEMAT ACCOUNT

A. BANK ACCOUNT(S) DETAILS - For Payin / Payout and Dividends / Corporate Actions (Please attach a Cancelled Cheque)

Bank Name

Branch Address

City/Town/Village PIN Code

State Country

Bank Account No.

Account Type Saving Current Others - In case of NRI NRE NRO

MICR Number IFSC Code

B. DEPOSITORY ACCOUNT(S) DETAILS (Please attach Client Master, if Demat Account is not with AGROY)

Depository Participant Name

Depository Name NSDL DP ID BO ID

CDSL DP ID BO ID

Beneficiary Name

C. TRADING PREFERENCES

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

NSE, BSE, MCX	NSE, BSE			MCX
	Cash / Mutual Fund	F&O	Currency	Commodity Derivatives
<input type="checkbox"/> All Segments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> *	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be submitted by the client.

D. PAST ACTIONS

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

1.

2.

3.

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

◆ If Client is dealing through the sub-broker, provide the following details:

Sub-broker's Name SEBI Regn. No.

Registered Office Address

City/Town/Village PIN Code

State Country

Phone Fax Website

◆ Whether dealing with any other 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)

Registered Office Address

City/Town/Village PIN Code

State Country

Client Code Exchange

Details of disputes/dues pending from/to such stock broker/sub- broker

1 B. ADDITIONAL DETAILS FOR TRADING & DEMAT ACCOUNT

J. JOINT HOLDERS - Please attach KYC on Pg.1 for each Joint Holder Separately

Sole / First Holder Name

PAN UID (Aadhaar) Nationality

In case First Account Holder is a Minor { Guardian Name PAN UID (Aadhaar) Relationship }

Second Holder Name

PAN UID (Aadhaar) Nationality

Third Holder Name

PAN UID (Aadhaar) Nationality

K. TYPE OF ACCOUNT (For Demat Accounts only) (Please tick whichever is Applicable)

Status	Sub-Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual Director's Relative
	<input type="checkbox"/> Individual HUF <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Minor
	<input type="checkbox"/> Individual Margin Trading A/c (MANTRA) <input type="checkbox"/> Others (Specify).....
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI-Depository Receipts
	<input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify).....
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (Specify).....
<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Bank <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> FI

L. ADDITIONAL DETAILS (For Demat Accounts only)

I/We instruct the DP to receive each and every credit in my/our account (If not marked, the default option would be 'Yes') [Automatic Credit] Yes No

I/We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No') Yes No

Account Statement Requirement at email ID:..... As per SEBI Regulation Daily Weekly Fortnightly Monthly

I/We request you to send Electronic Transaction-cum-Holding Statement Yes No

I/ We would like to share the email ID with the RTA Yes No

I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical) Physical Electronic Both

Do you wish to receive dividend / interest directly into your bank account given below through ECS? Yes No (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]

In case of Joint Account, the mode of operation shall be: Jointly Anyone or Survivor

SMS Alert Facility Yes Mobile No. +91- No

Refer to Terms & Conditions given as **Annexure - 2.4** This is Mandatory, if you are giving Power of Attorney (POA) (If POA is not granted & you do not wish to avail of this facility, cancel this option)



To register for easi, please visit CDSL's website : www.cdslindia.com. easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

Transactions using Secured Texting Service (TRUST) I wish to avail TRUST facility using the Mobile number registered for SMS Alert facility. Yes

Refer to Terms & Conditions given as **Annexure - 2.6** I have read and understood the Terms and Conditions prescribed by CDSL for the same. No

I wish to register the following clearing member IDs under my / our below mentioned BOID registered for TRUST

Stock Exchange name	Clearing Member Name	CM ID (Optional)
.....

1 B. ADDITIONAL DETAILS FOR TRADING & DEMAT ACCOUNT

M. NOMINATION FORM

Please fill either Part 1 or Part 2

To, AGROY FINANCE AND INVESTMENT LTD., New Delhi
(SEBI REG#INZ000185530) (DP ID 12060700)

Date - -

I/We wish to make a nomination [As per details given below]

Nomination Details

UCC BO ID

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

	1st Nominee	2nd Nominee	3rd Nominee
1. Name of the nominee(s) (Mr/Mrs)	<input type="text"/>	<input type="text"/>	<input type="text"/>
2. Share of each Nominee <i>(Any odd lot after division shall be transferred to the first nominee)</i>	<input type="text"/> %	<input type="text"/> %	<input type="text"/> %
3. Relationship with the Applicant <i>(If Any)</i>	<input type="text"/>	<input type="text"/>	<input type="text"/>
4. Address of Nominee(s)	<input type="text"/>	<input type="text"/>	<input type="text"/>
City / Place	<input type="text"/>	<input type="text"/>	<input type="text"/>
State & Country	<input type="text"/>	<input type="text"/>	<input type="text"/>
PIN Code	<input type="text"/>	<input type="text"/>	<input type="text"/>
5. Mobile / Tel No. of Nominee(s)	<input type="text"/>	<input type="text"/>	<input type="text"/>
6. Email Id of nominee(s)	<input type="text"/>	<input type="text"/>	<input type="text"/>
7. Nomination Identification details <i>[Please tick any one of the following and provide details of the same]</i>	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account
Points 8-14 to be filled only if nominee(s) is a minor	<input type="text"/>	<input type="text"/>	<input type="text"/>
8. Date of Birth	<input type="text"/> - <input type="text"/> - <input type="text"/>	<input type="text"/> - <input type="text"/> - <input type="text"/>	<input type="text"/> - <input type="text"/> - <input type="text"/>
9. Name of Guardian	<input type="text"/>	<input type="text"/>	<input type="text"/>
10. Address of Guardian	<input type="text"/>	<input type="text"/>	<input type="text"/>
City / Place	<input type="text"/>	<input type="text"/>	<input type="text"/>
State & Country	<input type="text"/>	<input type="text"/>	<input type="text"/>
PIN Code	<input type="text"/>	<input type="text"/>	<input type="text"/>
11. Mobile / Tel No. of Guardian	<input type="text"/>	<input type="text"/>	<input type="text"/>
12. Email Id of Guardian	<input type="text"/>	<input type="text"/>	<input type="text"/>
13. Relationship of Guardian with the Nominee	<input type="text"/>	<input type="text"/>	<input type="text"/>
14. Guardian Identification details <i>[Please tick any one of the following and provide details of the same]</i>	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account

Note : 1. Signatures of witness along with name and address required, if account holder affixes thumb impression instead of signatures
2. This nomination shall supersede any prior nomination made by the account holder(s) if any.

*

First Holder Signature

Second Holder Signature

Third Holder Signature

N. DECLARATION FORM FOR OPTING OUT OF NOMINATION

To, AGROY FINANCE AND INVESTMENT LTD., New Delhi
(SEBI REG#INZ000185530) (DP ID 12060700)

Date - -

UCC BO ID

Name of the Account Holders

1st Holder

2nd Holder

3rd Holder

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 no-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 by Court or other such competent authority, based on value of assets held in the trading / demat account.

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First Holder Signature

Second Holder Signature

Third Holder Signature

1 B. ADDITIONAL DETAILS FOR TRADING & DEMAT ACCOUNT

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We have read the terms & conditions in DP-BO agreement 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 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/DP's designated website, if any.

* 1st Holder / Auth.Signatory / Guardian	2nd Holder / Auth.Signatory	3rd Holder / Auth.Signatory
Place		Date
<input type="text"/>	<input type="text"/>	<input type="text"/>

FOR OFFICE USE ONLY

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee	<input type="text"/>	<input type="text"/>	<input type="text"/>
Employee Code	<input type="text"/>	<input type="text"/>	<input type="text"/>
Designation of the Employee	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date	<input type="text"/>	<input type="text"/>	<input type="text"/>
Signature	<input type="text"/>	<input type="text"/>	<input type="text"/>

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

Signature of the Authorised Signatory

Date

Seal/Stamp of the stock broker

ACKNOWLEDGMENT FROM CLIENT

DISCLOSURE OF PROPRIETARY TRADING

As per National Stock Exchange of India Ltd. (NSE), Bombay Stock Exchange Ltd (BSE) and Multi Commodities Exchange (MCX) directives and in pursuance of SEBI Circular No. SEBI/MRD/Cir-42/2003 dated November 19, 2003, we wish to inform you that we as a company do engage in proprietary business in the Cash / F&O / Currency Derivatives of NSE, Cash /F&O Segment of BSE and Commodities Derivatives Segments of MCX. Kindly take note of the above and oblige.

To

AGROY Finance & Investment Ltd, New Delhi

I/We, _____ hereby confirm that I/We have received a copy of the KYC Form along with Tariff Sheet and all non-mandatory documents including Letter of Authority and Standing Instructions.

Further, the Risk Disclosure Document, Rights and Obligations, Guidance Note, Policy & Procedures forming part of the KYC Form may be submitted to me by: Physical Mode (Courier) Electronic Mode (Email)

Thanking You,

* Client Signature	Date:...../...../.....	Place:.....
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General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.

2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.

4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"

6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.

7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial

owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.

12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.

14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.

15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat

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First Holder Signature

Second Holder Signature

Third Holder Signature

account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,

1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI

30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

First Holder Signature

Second Holder Signature

Third Holder Signature



TARIFF SHEET - INDICATIVE STATUTORY CHARGES

SEBI, Exchange and Statutory Taxes:

Charges \ Segment	Equity Cash		Equity Derivatives		Currency Derivatives		Commodity Derivatives	
	Intraday	Delivery	Futures	Options	Futures	Options	Futures	Options
Exchange Turnover Charges* (NSE)	0.00325%	0.00325%	0.00190%	0.05000% (on premium)	0.00090%	0.03500% (on premium)	NA	NA
Exchange Turnover Charges* (BSE)	0.00375%	0.00375%	NA	NA	NA	NA	NA	NA
Exchange Turnover Charges* (MCX)	NA	NA	NA	NA	NA	NA	0.00260%	0.05000% (on premium)
SEBI Turnover Fee*	0.00010%	0.00010%	0.00010%	0.00010% (on premium)	0.00010%	0.00010% (on premium)	0.00010%	0.00010% (on premium)
Security / Commodity Transaction Tax*	0.02500% (only sale)	0.10000%	0.01250% (only sale)	0.06250% (only sale) (on premium)	NA	NA	0.01000% (only sale)	0.05000% (only sale) (on premium)
Stamp Duty*	0.00300% (on buy)	0.01500% (on buy)	0.00200% (on buy)	0.00300% (on premium) (on buy)	0.00010% (on buy)	0.00010% (on premium) (on buy)	0.00200% (on buy)	0.00300% (on premium) (on buy)
GST (on Brokerage, Clearing Charges & Exch Turnover Charges)	18.00%	18.00%	18.00%	18.00%	18.00%	18.00%	18.00%	18.00%

Notes:

- *Exchange Turnover Charges and Statutory Levies printed above are as on 01-04-2020 and are subject to change by concerned authorities from time to time.
- **Exchange Turnover Charges in BSE for XC/XD/XT/Z category shares is 0.10% as on 01-06-2016.
- Any penalties imposed by the exchange(s) directly attributable to acts of omissions / violations on your part shall be charged from you.
- Bank charges with respect to cheque returns, NEFT/RTGS transfers, Payment Gateway charges, outstation cheque collections etc., as may be charged by the bankers directly attributable to your transactions shall be charged from you.
- A minimum brokerage of Rs.25/- per contract note shall be charged in NSE and BSE Cash Segment only.

Client Signature

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DEMAT ACCOUNT CHARGES:


Account Opening Charges (Including GST)	Nil
Account Maintenance Charges (Including GST)	Rs.1250/- One time charges for lifetime (for Individuals) Rs.750/- per annum (for Non-Individuals) Nil (for BSDA Accounts)
Buy Transactions (Excluding GST)	Nil
Sell Transactions (Excluding GST)	Rs.15/- per Debit or 0.02% which ever is higher (within Agroy) Rs.25/- per Debit or 0.03% which ever is higher (Outside Agroy) Rs.100/- per Debit or 0.08% whichever is higher (BSDA Accounts)
Dematerialisation Charges (Excluding GST)	Rs.5/- per certificate
Rematerialisation Charges (Excluding GST)	Rs.50/- per request + CDSL charges
Courier Charges (Excluding GST)	Rs.50/- per request
Demat Rejection Charges (Excluding GST)	Rs.50/- per rejection
Margin Pledge / Unpledge Charges (Excluding GST)	Rs.20/- per security
Delivery Instruction Booklet (Excluding GST)	Rs.50/- per booklet (physical booklets are optional)

TRADING ACCOUNT BROKERAGE:

Cash Market Segment (Excluding GST)	0.50% (Delivery Transactions) 0.05% (Intraday Squareoff Transactions)
Equity Derivatives Segment (Excluding GST)	0.03% (All Futures) Rs.100/- per lot (All Options)
Currency Derivatives Segment (Excluding GST)	0.03% (All Futures) Rs.25/- per lot (All Options)
Commodity Derivatives Segment (Excluding GST)	0.03% (All Futures) Rs.25/- per lot (All Options)
Derivatives Clearing Charges (Excluding GST)	Rs.50 per lakh (All Futures) Rs.20 per lakh (All Options on Premium Value only)
Physical Contract Notes / Statements (Excluding GST)	Rs.25/- per Contract / Statement

Other Terms & Conditions

1. Agroy reserves the right to revise the charges by giving not less than 30 days notice in writing to the client.
2. All statutory charges including Exchange Transaction Charges, SEBI Fee, Securities Transaction Tax, Stamp Duties and GST shall be levied extra as applicable from time to time.
3. Any non-periodic statements for current financial year or previous financial year shall be charged @ Rs. 25/- per statement. Any statement prior to previous financial year charged @Rs.500/- per statement.
4. Delayed payment charges @ 2.0% per month shall be levied on all outstanding dues.
5. A minimum brokerage of Rs.25/- per contract note shall apply in Cash Market Segment only.


 First Holder Signature

 Second Holder Signature

 Third Holder Signature

To, **AGROY Finance & Investment Ltd., New Delhi**

1. RUNNING ACCOUNT AUTHORISATION: I/We am/are also aware that the exchanges have been pursuing a process of confirming the trade details directly to the clients via SMS and Email alerts which they have carried out through their respective broker. Accordingly, I/We record my/our consent to receive those SMS as well as Emails alerts directly from the Exchanges on the above stated contact details by authorising you for sharing the said details same with Exchanges.

I am/We are aware that you and I/we have the option to deliver securities/ make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations/ circulars, issued by exchange/regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin / collateral without which we cannot deal/trade.

Therefore I /we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/ funds in settlement of trades/ dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you.

Further, the funds & securities can be transferred from one segment to other and from one exchange to another as per the requirements. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/ trading. You are authorize to do these acts across all exchanges & segments in which I / we have been / shall be dealing with you.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/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. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the client demat ledger (register of securities/commodities) displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds/securities/commodities and the details of the pledge, if any. I agree that if I/we fail to bring any dispute arising from the statement of accounts or settlement so made to your notice within 30 working days from the date of receipt of funds/securities or statement, as the case may be in writing by delivery at your corporate office then in that event the statement of accounts or settlement so made shall attain finality. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

Please further note that I am entitled to revoke this authorisation at any time. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities / monies under this agreement.

Please note that for the purpose of periodic settlement, in case on th date of settlement, the balance in my/our account is in debit (due from me/us), then the account would be deemed to have been settled on such date. My/Our preference for actual settlement of funds and securities is at least:

Once in a Calender Quarter Once in a Calender Month

2. CONSENT FOR MOBILE AND EMAIL ID REGISTRATION: I/We hereby request you to send all your communications pertaining to my/our Trade Confirmations, Contract Notes, MTM Obligation, Margin Calls or any other communication (which is necessary from your Compliance point of view) including the verification call from Agroy etc., on the below mentioned Mobile number / Email ID:

Name of the Registered Owner of Mobile/Email


Relation with the registered owner of Mobile/Email (Please tick the correct box)

Email ID: Name:..... Self Spouse Child Parent Authorised Signatory

Mobile No:..... Name:..... Self Spouse Child Parent Authorised Signatory

UCC

Client Name

Client Signature 



3. **VERBAL ORDER ACCEPTANCE AUTHORISATION:** As I/We shall be dealing by ordering over phone and even if I/we visit your branch/dealer, 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 authorise you to accept verbal instructions for order placement / modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/we understand the risk associated with verbal orders and accept the same. Further, I/we shall be exclusively and entirely responsible for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.
4. **AUTHORITY TO MAINTAIN COLLECTIVE BOOKS OF ACCOUNT:** I/we hereby authorise you to maintain combined / collective ledger account for all the trades done by me on any of the Segment of any of the Exchanges. I do not need separate statement of accounts for each segment/exchange. Cheques paid by me/us or issued to me/us can also be considered as having been paid / issued for any or all the segments / exchanges collectively.
5. **AUTHORISATION TO SELL SECURITIES / SQUARE OFF OPEN POSITIONS:** I/We understand that in case, of my/our failure to make the funds pay in towards the margin, MTM and/or any settlement obligations arising out of my/our deals/trading by the designated day or time, you are entitled to sell off in the market my/our securities held with you and/or deem our position closed out at applicable rates. I/We do hereby indemnify and agree to compensate you for any losses, penalties you may suffer for not selling my securities and/or closing out my/our open positions due to any reason whatsoever including and not limited to imposing of circuit filters by the exchange and/or connectivity/technological failures; or I/We do hereby request you not to carry out such sell off in the market the securities received in pay out and/or deem my/our positions closed out and I/We shall in consideration thereof shall pay the opportunity cost/interest on such non sold off securities and/or non closed out position without demur or protest at such opportunity cost and/or interest as you shall determine entirely at your discretion. I/We do hereby indemnify and agree to compensate for any losses, penalties you may suffer for agreeing to this direction. Further, I/We authorise you to square-off my position entirely or in part as per your discretion anytime if the mark-to-market loss on my outstanding position exceeds 80% of the amount lying to the credit of my account held with you. Further, I/We authorise you to square-off my position entirely or in part as per your discretion anytime during the last 30 minutes of a trading session, in case the amount lying to the credit of my account with you after adjusting the MTM losses if any, is not sufficient to cover the margin required to carryover my outstanding position for the next trading session.
6. **PRINTED FINANCIAL STATEMENTS / BILLS / CONTRACT NOTES:** I/We authorise you to refrain from sending printed copies of financial statements / holding statements / bills / contracts notes / etc. by hand / post / courier to me, unless specifically requested by me/us, in which case you are authorised to charge the applicable printing and postage cost from my/our trading account. I/we prefer to obtain all the required statements / information in digital format by emails or from your website.
7. **PENAL & OTHER CHARGES:** I/We request you to retain credit balance in any of my/our accounts and to use the idle funds towards my/our margin / future obligations at both the Exchanges unless I/we instruct you otherwise. I/We also authorise you to debit the necessary demat charges from time to time, for keeping my/our shares in your beneficiary demat account on my behalf. I/ We also authorise you to debit the financial penal interest charges of upto @ 18% per annum for the debit balances or cash requirement arising due to 50:50 cash to collateral provisions, if any, in my/our account and not settled as per the exchange requirements by the designated days. I/we further authorise you to debit my account with bank charges an account of dishonour of cheques, stop payment, RTGS/NEFT/Payment Gateway Charges, DD/PO Charges, Printing & Courier Charges, SMS and advisory services charges, trading platform and software charges as may be applicable from time to time.
8. **INVESTMENT IN IPO/FPO/MUTUAL FUNDS:** In order to make investments in mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s) etc. and generally to invest in various avenues / products and to redeem/liquidate any investments I/we authorise you to give effect to the requirements by giving orders/ instructions (electronic/ physical/verbal) for the same and to sign any documents and / or do any and all act(s) as may be required or are deemed necessary in your opinion for these purposes from time to time.
9. **OPTION TO RECEIVE DIS BOOKLET:**
- I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a DDPI in favour of / with Agroy Finance and Investment Ltd 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.
- Please issue the Delivery Instruction Slip (DIS).
10. **BSDA Demat Account:** I/We do not wish to open a BSDA Demat Account and explicitly instruct you not to convert my regular demat account into a BSDA account.
11. **STANDING INSTRUCTIONS FOR NO PRINTED ORDER / TRADE CONFIRMATION SLIPS:** I/We hereby authorise you NOT to provide me/us Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required from contracts/bills issued by you.
12. **RECEIPT OF TRADE CONFIRMATION & INFORMATION BY SMS:** I/We hereby agree and give my/our consent for receiving the trade confirmations and/or other market related information / notifications via SMS/text message/Whatsapp. I/We have also understood that I/we will not receive the telephonic trade confirmations.

UCC

Client Name

Client Signature



13. **AUTHORISATION FOR DEBITING DEMAT ACCOUNT CHARGES TO TRADING ACCOUNT:** I/we authorize you to debit my/our account against the charges raised by you on account of Depository Services Provided by you or by on account of Depository Services Provided by them and bill raised by them in this regard. The details of Demat account(s) are as follows:

Depository	DP	BO Account No	BO Name
CDSL	Agroy finance & investment ltd	_____	_____
CDSL	Agroy finance & investment ltd	_____	_____

14. **RECEIPT OF TRADE CONFIRMATION & INFORMATION BY SMS:** I/We hereby agree and give my/our consent for receiving the trade confirmations and/or other market related information / notifications via SMS/text message/Whatsapp. I/We have also understood that I/we will not receive the telephonic trade confirmations.

15. **ELECTRONIC TRADING PLATFORM:** Trading on NSE/ BSE/MCX is in electronic mode, based on VSAT, Leased Line, ISDN and Internet and a combination of technologies and computer systems to place and route orders. I/We understand that there exists a possibility of communication failure or system problems or slow / delayed response from the system or halt in trading or any such other problem / glitch whereby not being able to establish access to the trading system/network, which may be beyond our control and may result in delay in processing or not processing buy or sell orders either in part or in full. I/We agree that I/we shall be fully liable and responsible for any such problems / glitch.

16. **ELECTRONIC CONTRACT NOTES:** I/ We agree not to hold you responsible for late / non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email servers, loss of connectivity, email in transit etc. I/ we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes 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 you shall amount to delivery at my/our email account(s) / email id(s). In case , in any of the above segments / exchanges due to any reason, whatsoever, if you want to send contract notes in physical form , I / we here by permit you to send the same in physical mode. I/We 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 a duly signed request letter in original to you, provided however that if I/we am/are an internet client then in that event the request for change in email id/ email account can be made by me/ us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

17. **COMPLIANCE OF EXCHANGE NORM:** I/We hereby authorize you to take all such steps on my/our behalf as may be required or advisable in your opinion for compliance with the exchange provisions or any other law or provisions or to complete or settle any transactions entered into through or with you or executed by you on my/our behalf. However, nothing contained herein shall oblige you to take such steps.

18. **VOICE RECORDING:** I/We agree to your tape-recording the conversations between me/us, my/our representative and your officers/ employees/ agents etc. in its absolute discretion, either personally or over the telephone. Such recordings may be relied upon by you as and when required, and the I/we agree not to challenge the evidentiary value of such recordings.

19. **PORTFOLIO MANAGEMENT SERVICE:** I/We understand and agree that you or any of your agent do not provide Portfolio Management Service and do not offer any promises or returns on investment in stock market. You shall be in no way responsible for profits/loss that accrue to me from investment in stock market.

20. **UNAUTHORISED USE OF TRADING TERMINAL:** I/We confirm that in case upon application, if I/We am allotted a trading terminal by you, the same shall not be sub-let by me/us to anyone without your prior permission and that the same shall not be misused by me/us for engaging in any unfair trade and malpractices as per the Exchange Regulations. I assume complete responsibility of misuse if any of such trading terminal allotted by you.

21. **BROKERAGE SLAB:** I / we have read and understood the schedule of charges and tariff sheet published by you and applicable for the time being. I would like to opt for the following Brokerage and Demat Charges Slab:

EQUITY CASH SEGMENT:	Intraday: _____	Delivery: _____
EQUITY DERIVATIVES SEGMENT:	Futures: _____	Options: _____
CURRENCY DERIVATIVES SEGMENT:	Futures: _____	Options: _____
COMMODITY DERIVATIVES SEGMENT:	Futures: _____	Options: _____
DEMAT PLAN:	_____	_____

NOTE:

- All these consents/authorisations are voluntary. In case you do not wish to give any particular authorisation, then please strike it out.
- Any of the above authorisations can be revoked by you at any time by giving instructions to us in writing at our registered office: A-21 Kailash Colony, New Delhi 110048.

Client Signature





AGROY FINANCE & INVESTMENT LTD.

Depository Participant : CDSL

DP ID : 12060700 SEBI Regn. No.: IN-DP-CDSL-511-2009

Definitions :

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

1. "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. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. '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"
5. "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.
7. "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 accountholders who have provided their mobile numbers to the depository through their DP. The services 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.
2. 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.
5. 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 :

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the 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.
2. 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.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service 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 acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the 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 error 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 on account of opting to avail SMS alerts facility.
5. The BO authorizes 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.

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.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees :

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

Disclaimer :

The depository shall make 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 gives no warranty with respect to the quality of the service provided by the service provider. 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 any 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, charges and expenses whatsoever which a depository may at any time 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 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 purposes 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 mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

DP Id	1	2	0	6	0	7	0	0	BO Id									
-------	---	---	---	---	---	---	---	---	-------	--	--	--	--	--	--	--	--	--

First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile No. on which messages are to be sent

+	9	1																
---	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

The Mobile Number is registered in the name of : _____

(Please write only ONE valid email Id on which communication; if any, is to be sent)

E-mail Id: _____

First Holder Signature

Second Holder Signature

Third Holder Signature

IN CASE OF JOINT HOLDERS, ALL JOINT HOLDERS MUST SIGN.

Place:..... * Please do not use correction fluid, all cuttings must be attested by all the joint holder(s). Date:.....



This Demat Debit and Pledge Instruction is annexed to the Non-Judicial e-Stamp Paper vide
Certificate No..... Dated:.....

DEMAT DEBIT AND PLEDGE INSTRUCTION

To
Agroy Finance and Investment Limited
CDSL DP ID 60700
New Delhi

Trading UCC: _____ Demat BOID: _____

Pursuant to SEBI Circular SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04, 2022, with respect to my / our Demat Account and Trading Account held with you, I/we hereby authorise you to carry out Demat Debit and Pledge Instructions as follows:

1. Transfer of securities held in my/our beneficial owner accounts towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me/us on the Stock Exchange through Agroy Finance and Investment Limited.	<input type="checkbox"/>	* First Holder	✓
	<input type="checkbox"/>	* Second Holder	
	<input type="checkbox"/>	* Third Holder	
2. Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) viz. Agroy Finance and Investment Limited for the purpose of meeting my / our margin requirements in connection with the trades executed by me/us on the Stock Exchange.	<input type="checkbox"/>	* First Holder	✓
	<input type="checkbox"/>	* Second Holder	
	<input type="checkbox"/>	* Third Holder	
3. Mutual Fund transactions being executed on Stock Exchange order entry platforms.	<input type="checkbox"/>	* First Holder	✓
	<input type="checkbox"/>	* Second Holder	
	<input type="checkbox"/>	* Third Holder	
4. Tendering shares in open offers through Stock Exchange platforms.	<input type="checkbox"/>	* First Holder	✓
	<input type="checkbox"/>	* Second Holder	
	<input type="checkbox"/>	* Third Holder	

* the same may be eSigned or signed physically by all joint holders / authorised signatories

* in this regard refer the clause in 'Rights and Obligations' Document under the sub heading 'Additional Rights and obligations. Given on website and in client copy

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

S No	Country of Tax Residency#	Tax Payer Identification Number/ Functional Equivalent	Identification Type [TIN or other, please specify]
1			
2			
3			

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

*
 First Holder Signature

Second Holder Signature

Third Holder Signature

IN CASE OF JOINT HOLDERS, ALL JOINT HOLDERS MUST SIGN.

Place:.....

* Please do not use correction fluid, all cuttings must be attested by all the joint holder(s).

Date:.....

DECLARATION BY SOLE PROPRIETORSHIP

FOR PROPRIETORSHIPS

To, **AGROY Finance & Investment Ltd, New Delhi**

(IF APPLICABLE)

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share/ other instruments transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary Account No: _____ with Depository _____ having DP ID _____ opened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for shares/ derivatives/ any other instrument(s) purchased and/or sold by the firm will be handled and completed through transfer to / from the above-mentioned account. I recognize and accept transfers made by you to the beneficiary account as complete the obligations by you in respect of trades executed in the above trading account of the firm.

Further I the undersigned am the sole proprietor of the firm and am solely responsible for the liabilities thereof, I shall advise you in writing of any change that takes place in the constitution of the firm and I will be personally liable to you for all the obligations that the firm may incur in the course of dealings with you and undertake to personally discharge such liabilities. The cheques/DDs may be issued by me from my individual account or my joint account with some one else. The amounts so given shall be sole/exclusively for credit to the account of my above named sole proprietorship firm with you shall not lay any claim whatsoever in future against you for affording credit of such cheques / DDs issued from my individual/joint account credit of which has been provided by you to the account of my proprietorship firm M/s _____

*
 Client Signature

DECLARATION BY HUF

FOR HUFs ONLY

To, **AGROY Finance & Investment Ltd, New Delhi**

(IF APPLICABLE)

This is to certify that following are the family members under _____ (HUF)

S. No.	Name	Father's Name	Gender (Male/Female)	Relationship with Karta	Date of Birth
1.					D D M M Y Y Y Y
2.					D D M M Y Y Y Y
3.					D D M M Y Y Y Y
4.					D D M M Y Y Y Y
5.					D D M M Y Y Y Y
6.					D D M M Y Y Y Y

Signature of all the Co-Parceners

*
 Client Signature (Karta)

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

ACKNOWLEDGEMENT:

Date --

*
First Holder Signature

Second Holder Signature

Third Holder Signature

