

APPLICATION	
F. No.	Sl. No.

**CLIENT REGISTRATION FORM**

**FINOPIA FINTECH PRIVATE LIMITED**

**Individual**

**DEMAT & TRADING REGISTRATION**

Client Name	:	.....
Client Code	:	.....
Office Code	:	.....
B.O. ID	:	.....
PAN	:	.....
Branch	:	.....

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS

1. Self-attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card 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.
12. Copy of cancelled cheque leaf/passbook/Bank statement specifying name of the constituent, MICR code or/and IFSC code of the Bank should be submitted.
13. Demat master or recent holding statement issued by DP, bearing name of the client.
14. Stock broker has an option of doing 'in-person' verification through webcam at the branch office of the stock broker/sub broker's office.

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/driving license.
2. PAN card with photograph.
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/Multinational Foreign Banks/Gazette 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, DDPI 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 up to Rs 50,000/-p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### E. List of people authorized to attest the documents:

1. Notary Public, Gazette 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.

Employee Signature:

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S. No	Name of the Document	Brief Significance of the Document	Page No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1	Account Opening Form	A. KYC form- Document captures basic information on about the Client	1
		B. Additional Information about the constituent relevant to trading account	2-6
2	Nomination form		7-8
3	DIS Issuance	Option form for issue of Delivery Instruction Slip	9
4	Tariff Sheet	Document detailing tariff, brokerage, interest and other charges levied to Client for trading and demat services	10-11
5	Policies and Procedures	Document describing significant policies and procedures of Stockbroker.	Attachment Given separately
6	ROB, RDD & Guidance Notes	Risk Disclosure Document, Rights and Obligation, Guidance Note - Do's & Don'ts	
7	Investment Charter- Stock Broker as prescribed by SEBI		Attachment Given separately
8	Investment Charter for Depository Participant and CDSL Depository		
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCKBROKER</b>			
9	FATCA / CRS Declaration	FATCA Declaration for where client hold tax residency	12
10	Voluntary Authorization Letter	Document authorizing Stockbroker to maintain running account, to send documents through E-Mail, to send SMS, as well as debit DP charges to trading A/C	13-15
11	Consent to receive SMS and/or E-mail	Consent form for receiving trade alerts through SMS and/or E- mail – Document of client consent for receiving trade alerts through SMS and/or E- mail from the Exchange	16
12	ECN Declaration & Disclosure of Proprietary Trading	Declaration provided to Finopia for Electronic Contract Note related to Commodity Trading & Declaration provided by Finopia to inform the Proprietary trading related activities	17
13	PMLA – Disclosure	Disclosure by Member to Client under PMLA 2002 Disclosure by Client under PMLA 2002	18
14	DDPI	Demat debit and pledge instructions provided to broker to facilitate Pay in of Securities and other authorizations.	19
15	Mobile / Email Declaration	Declaration for updating same mobile number and email address for trading and demat accounts	20
16	Declaration for G Securities	Declaration for Transfer of G Securities.	
<p>Name of stock broker/depository participant/clearing member : M/s <b>Finopia Fintech Private Limited</b>  CIN : <b>U67110TG2021PTC152903</b>  SEBI Registration No. &amp; Date: <b>INZ000304635</b> &amp; 02<sup>nd</sup> March 2022  BSE – CASH &amp; MCX Member ID: <b>6786</b> &amp; <b>57005</b>  CDSL SEBI Registration Number: <b>IN-DP-CDSL-727-2022</b>  Registered Office : H.No. 6-3-649/5/4, Somajiguda, Hyderabad – 500082, Telangana, India.  Ph. : 040-46009010, Email ID: <a href="mailto:info@finopiafintech.com">info@finopiafintech.com</a></p>			
<b>Compliance Officer</b>		<b>Managing Director</b>	
Name: Mr. Sreenivasulu Sibbala		Name : Mr. Sunil Reddy Lankela	
Phone : 040-46009010		Phone : 040-46009010	
Email : <a href="mailto:compliance@finopiafintech.com">compliance@finopiafintech.com</a>		Email : <a href="mailto:sunil.lankela@finopiafintech.com">sunil.lankela@finopiafintech.com</a>	

For any grievance/dispute please contact stock broker Finopia Fintech Private Limited at the above address or email id: [grievance@finopiafintech.com](mailto:grievance@finopiafintech.com) and Phone No. : 040-46009010.

Exchange	E mail ID	Telephone No.
BSE	<a href="mailto:is@bseindia.com">is@bseindia.com</a>	(022) 22728097
MCX	<a href="mailto:grievance@mcxindia.com">grievance@mcxindia.com</a>	(022) 67318888
CDSL	<a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>	(022) 22723333

## Know Your Client (KYC) Application Form (For Individual Only)

Please type the form in English and BLOCK letters. **Sign all areas marked with 'x'**. Once completed, please mail the completed form along with the necessary proofs to our corporate office in Hyderabad.

Affix Recent  
Photograph,  
  
Please Sign Across  
  
(Client's Signature 1)

<b>FOR OFFICE USE ONLY</b>	Application Type* <input type="checkbox"/> New <input type="checkbox"/> Update
	CKYC Number (Mandatory for KYC update)
	Account type* <input type="checkbox"/> Normal <input type="checkbox"/> Minor <input type="checkbox"/> Aadhar OTP Based E-KYC (in non-face to face mode)

### PERSONAL DETAILS

FULL NAME (as appearing in identification document):	
FATHER'S/SPOUSE'S NAME:	MAIDEN NAME (if any):
MOTHER'S NAME:	
GENDER: <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	MARITAL STATUS: <input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others
CITIZENSHIP: IN - Indian Others (ISO 3166 Country Code _____)	DATE OF BIRTH (DD/MM/YYYY):
RESIDENTIAL STATUS <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non-Resident Individual <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian origin9	
PAN (Please enclose a duly attested copy)	AADHAR ID (last four digit)
PROOF OF IDENTITY SUBMITTED FOR PAN EXEMPT CASES (please tick) <input type="checkbox"/> UID (Aadhar) <input type="checkbox"/> Passport <input type="checkbox"/> Driving License <input type="checkbox"/> Voter ID <input type="checkbox"/> Others _____ (Please see guideline 'D')	

### ADDRESS DETAILS

Address Type	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Address for Residence/ Correspondence:				

City/Town/Village:	District:	Pin code:
State/U.T :	Country:	

Specify the Proof of address submitted for correspondence address:

Permanent address of resident applicant if different from above b1 or overseas address(mandatory) for non-resident applicant:

City/Town/Village:	District:	Pin code:
State/U.T :	Country:	

Specify the Proof of address submitted for permanent address:

### CONTACT DETAILS

Telephone (Residence)	Mobile No:
Telephone (Office)	Email id:

### DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false, untrue, misleading, or misrepresenting, I am aware that I may be held liable for it. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address

Client's Signature[2]:	Place:
	Date (dd/mm/yyyy):

### FOR OFFICE USE ONLY

Documents Received	<input type="checkbox"/> Certified Copies	<input type="checkbox"/> Offline Verification	<input type="checkbox"/> E-Document	<input type="checkbox"/> Data from UIDAI	<input type="checkbox"/> Digital KYC	<input type="checkbox"/> Video KYC
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KYC & In Person Verification (IPV) conducted by \_\_\_\_\_ Institution Details \_\_\_\_\_

Date:	Name:
Emp Name:	Code:
Emp Code:	Emp Branch:

Emp Designation: \_\_\_\_\_

[Employee Signature] [Intuitional Stamp]

TRADING AND DEMAT ACCOUNT RELATED DETAILS				
<b>PRIMARY BANKING ACCOUNT (DIVIDEND BANK DETAILS)</b>				
Bank Name:		Branch Name:		
Branch Address:				
City/Town/Village:		Pin Code:	State:	Country:
Account Number:				
MICR Number:				
Account Type	<input type="checkbox"/> Current	<input type="checkbox"/> Savings	<input type="checkbox"/> NRI/NRE/NRO	Others (please specify) _____
<b>PRIMARY DEPOSITORY ACCOUNT</b>				
DEPOSITORY PARTICIPANT NAME: <b>Finopia Fintech Private Limited</b>		DP TYPE (NSDL/CDSL) <b>CDSL</b>	DEPOSITORY PARTICIPANT ID <b>12096900</b>	
BENEFICIARY NAME :			BENEFICIARY ID (BO ID) :	
<b>TRADING PREFERENCES</b>				
Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client. If, in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stockbroker				
BSE CASH		MCX – Derivatives		
[Client Signature 3]		[Client Signature 4]		
DATE (DD/MM/YYYY)				
<b>PAST ACTIONS</b>				
Details of any action/ proceedings initiated/ pending/ taken by SEBI/ Stock 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				
<b>DEALINGS THROUGH OTHER MEMBERS</b>				
I wish to disclose my dealings through other members for margin benefits (default is no) <input type="checkbox"/> Yes <input type="checkbox"/> No				
MEMBER/AUTHORIZED PERSON NAME:		EXCHANGE:	EXCHANGE REGISTRATION NUMBER:	
CONCERNED MEMBER'S NAME WITH HOM AP IS REGISTERED:			CLIENT CODE:	
REGISTERED OFFICE ADDRESS:			CITY:	
			STATE:	
			COUNTRY:	
TELEPHONE:		FAX:	DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH MEMBER/AP:	
EMAIL ADDRESS:				
WEBSITE:				
<b>DETAILS OF RELATED PERSON (RP)</b>				
<input type="checkbox"/> Addition of RP <input type="checkbox"/> Deletion of RP		KYC number of RP (If available)		
RP Type	<input type="checkbox"/> Guardian of minor	<input type="checkbox"/> Assignee	<input type="checkbox"/> Authorized Representative	
	<i>Prefix</i>	<i>First Name</i>	<i>Middle Name</i>	<i>Last Name</i>
Name				
<b>ADDITIONAL DETAILS</b>				
CONTRACT NOTE PREFERENCES:		<input type="checkbox"/> ELECTRONIC CONTRACT NOTE (ECN)	<input type="checkbox"/> PHYSICAL CONTRACT NOTE	
EMAIL ADDRESS (Same as mentioned on Page 5):				
<input type="checkbox"/> I WISH TO AVAIL THE FACILITY OF INTERNET TRADING / WIRELESS TECHNOLOGY		NUMBER OF YEARS OF INVESTMENT / TRADING EXPERIENCE:		

In Case of NRI/ Foreign National		
RBI Approval Ref no:		RBI Approval Date:
GSTIN Number (If applicable):		
IN CASE OF NON-INDIVIDUALS, NAME, DESIGNATION, PAN, UID, SIGNATURE, RESIDENTIAL ADDRESS AND PHOTOGRAPHS OF PERSONS AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF COMPANY/FIRM/OTHERS		ANY OTHER INFORMATION
<b>INTRODUCER DETAILS (OPTIONAL)</b>		
NAME OF THE INTRODUCER		RELATIONSHIP WITH THE INTRODUCER
INTRODUCER'S STATUS	<input type="checkbox"/> EXISTING CLIENT	<input type="checkbox"/> AUTHORIZED PERSON <input type="checkbox"/> SUB-BROKER <input type="checkbox"/> REMISIER
INTRODUCER'S ADDRESS	INTRODUCER'S PHONE NUMBER	[INTRODUCER'S SIGNATURE]
INTRODUCER'S CLIENT ID :		
CLIENTS NAME:		
Client's SIGNATURE [5]		DATE (DD/MM/YYYY)
<b>DECLARATION</b>		
<p>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.</p> <p>2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stockbroker and the tariff sheet.</p> <p>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 stockbroker's designated website, if any.</p>		
CLIENT'S NAME:		PLACE:
Client's SIGNATURE [6]		DATE (DD/MM/YYYY)
<b>FOR OFFICE USE ONLY</b>		
CLIENT'S UCC CODE:	EMPLOYEE CODE	EMPLOYEE DESIGNATION
<b>VERIFICATION OF DOCUMENTS</b>		
DOCUMENTS VERIFIED BY:	EMPLOYEE DESIGNATION:	ON DATE (DD/MM/YYYY)
EMPLOYEE SIGNATURE:	EMPLOYEE CODE:	
<b>CLIENTS INTERVIEW</b>		
CLIENT INTERVIEWED BY:	EMPLOYEE DESIGNATION:	ON DATE (DD/MM/YYYY)
EMPLOYEE SIGNATURE:	EMPLOYEE CODE:	
<b>IN PERSON VERIFICATION (IPV)</b>		
IPV PERFORMED BY:	EMPLOYEE DESIGNATION:	ON DATE (DD/MM/YYYY)
EMPLOYEE SIGNATURE:	EMPLOYEE CODE:	
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.		
<b>SIGNATURE OF THE AUTHORISED SIGNATORY</b>	<b>DATE (DD/MM/YYYY)</b>	<b>SEAL/STAMP OF THE INTERMEDIARY</b>

**PART A: INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCKBROKERS TO CLIENT (ALL THE CLAUSES MENTIONED IN THE 'RIGHTS AND OBLIGATIONS' DOCUMENT(S) SHALL BE APPLICABLE. ADDITIONALLY, THE CLAUSES MENTIONED HEREIN SHALL ALSO BE APPLICABLE)**

- Stockbrokers are eligible for providing Internet based trading (IBT) and securities trading through the use of wireless Technology that Shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP) The stockbroker Shall comply with all requirements applicable to internet-based trading/ securities using trading wireless technology as may be Specified by SEBI & the Exchanges from time to time
- The client is desirous of investing/ trading in securities and for this purpose, the client is desirous of using either the internet based Trading facility or the facility for securities trading through use of wireless technology. The Stockbroker shall provide the Stockbroker's IBT Service to the Client, and the Client shall avail of the Stockbroker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stockbroker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/ SEBI.
- The stockbroker shall bring to the notice of the client the features, risks, responsibilities, obligations and liabilities associated with Securities trading through wireless technology/ internet/ smart order routing or any other technology should be brought to the notice of the client by the stockbroker.
- The stockbroker shall make the client aware that the Stockbroker's IBT system itself generates the initial password and its Password policy as stipulated in line with norms prescribed by Exchanges/ SEBI.
- The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely Responsible for all orders entered and transactions done by any person whosoever through the Stockbroker's System IBT using the Client's Username and/ or Password whether such person was authorized to do so. Also, the client is aware that Authentication technologies and strict security measures are required for the internet trading/securities trading through Wireless technology through an order routed system and undertakes to ensure that the password of the client and/ or his Authorized representative are not revealed to any third-party including employees and dealers of the stockbroker.
- The Client shall immediately notify the Stockbroker in writing if he forgets his password, discovers security flaw in Stockbroker's IBT System, discovers/ suspects discrepancies/ unauthorized access through his username/ password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc
- The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the Internet/ securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in The Client's Username/ password in any manner whatsoever.
- The stockbroker shall send the order/ trade confirmation through email to the client at his request. The client is aware that the Order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology the stockbroker shall send the order/ trade confirmation on the device of the client
- The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, Communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stockbroker and the Exchange do not make any representation or warranty that the Stockbroker's IBT Service will be available to the Client at all times without any interruption.
- The Client shall not have any claim against the Exchange or the Stockbroker on account of any suspension, interruption, non availability or malfunctioning of the Stockbroker's IBT System or Service or the Exchange's service or systems or non- execution of his orders due to any link/ system failure at the Client/ Stockbrokers/ Exchange end for any reason beyond the control of the stockbroker/ Exchanges

**PART B**

Dear Sir,

Sub: Authorization to debit trading account for the demat account charges

**Ref: DP ID: 12096900**

**BO ID:**

I/We have opened/have a beneficiary account with your CDSL depository along with a trading account for investment and Trading purposes. It would be difficult or me/us to keep issuing separate cheques against your depository bills. I/We, therefore, authorize you to debit the charges payable towards operation of the above account. I/We are aware of the charges for operating the said account. Any such sum debited to my trading account shall be binding on me/us.

Thanking you,

Yours Truly

CLIENT'S NAME:	PLACE:
Client's SIGNATURE [7]	DATE (DD/MM/YYYY)

## ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT

### TO BE FILLED BY THE DEPOSITORY PARTICIPANT

APPLICATION NUMBER:	DATE (DD/MM/YYYY)
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DP INTERNAL REFERENCE NUMBER:	DP ID : 12096900	BO ID :
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### TYPE OF ACCOUNT (PLEASE TICK WHICHEVER IS APPLICABLE)

INDIVIDUAL	<input type="checkbox"/> INDIVIDUAL RESIDENT <input type="checkbox"/> INDIVIDUAL DIRECTOR'S RELATIVE <input type="checkbox"/> INDIVIDUAL PROMOTER <input type="checkbox"/> INDIVIDUAL MARGIN TRADING A/C (MANTRA)	<input type="checkbox"/> INDIVIDUAL DIRECTOR <input type="checkbox"/> INDIVIDUAL HUF / AOP <input type="checkbox"/> MINOR <input type="checkbox"/> OTHERS (SPECIFY) _____
NRI	<input type="checkbox"/> NRI REPATRIABLE <input type="checkbox"/> NRI REPATRIABLE PROMOTER <input type="checkbox"/> NRI DEPOSITORY RECEIPTS	<input type="checkbox"/> NRI NON - REPATRIABLE <input type="checkbox"/> NRI NON - REPATRIABLE PROMOTER <input type="checkbox"/> OTHERS (SPECIFY) _____
FOREIGN NATIONAL	<input type="checkbox"/> FOREIGN NATIONAL <input type="checkbox"/> FOREIGN NATIONAL DEPOSITORY RECEIPTS	<input type="checkbox"/> OTHERS (SPECIFY) _____

### HOLDER DETAILS (TO BE FILLED BY THE APPLICANT IN BLOCK LETTERS)

I/We request you to open a Demat Account In my/ our name as per following details:

FIRST HOLDER'S NAME

PAN NO. (Compulsory)	UID NO.
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SECOND HOLDER'S NAME:

PAN NO. (Compulsory)	UID NO.
----------------------	---------

THIRD HOLDER'S NAME:

PAN NO. (Compulsory)	UID NO.
----------------------	---------

NAME\*:

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

### OTHER DETAILS

<b>GROSS ANNUAL INCOME DETAILS (Income Range per annum)</b> <input type="checkbox"/> UP TO RS. 1 LAC <input type="checkbox"/> RS. 1 LAC - RS. 5 LAC <input type="checkbox"/> RS. 5 LAC - RS. 10 LAC <input type="checkbox"/> RS. 10 LAC - RS. 25 LAC <input type="checkbox"/> MORE THAN RS. 25 LAC	<b>NET WORTH AS ON DATE (NOT OLDER THAN 1 YEAR)</b> VALUE IN Rs. _____ DATE (DD/MM/YYYY)
--	--

Occupation	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government) <input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorized <input type="checkbox"/> Agriculturist
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AFFILIATIONS:  POLITICALLY EXPOSED PERSON (PEP)  RELATED TO A POLITICALLY EXPOSED PERSON (RPEP)  NONE

ANY OTHER INFORMATION:

### DETAILS OF GUARDIAN (IN CASE THE ACCOUNT HOLDER IS MINOR)

GUARDIAN'S NAME:

RELATIONSHIP WITH THE APPLICANT:	PAN NO. (Compulsory)
----------------------------------	----------------------

### OTHER DETAILS

I / We instruct the DP to receive each and every credit in my/our Account. (The default option would be 'Yes', if not marked) <input type="checkbox"/> YES <input type="checkbox"/> NO	Mode of Operation: <input type="checkbox"/> Sole <input type="checkbox"/> Anyone or Survivor
---	---

I / We request you to send Electronic Transaction-cum- Holding Statement at the email ID: as specified in KYC form <input type="checkbox"/> YES <input type="checkbox"/> NO	Basic Service Demat A/C Facility: <input type="checkbox"/> YES <input type="checkbox"/> NO
---	--

Account Statement Requirement (If not marked Default option will be 'As per SEBI regulation')

AS PER SEBI REGULATION  DAILY  WEEKLY  FORTNIGHTLY  MONTHLY

I / We would like to receive the Annual Report (Tick the Applicable box. If not marked, the default option would be electronic) <input type="checkbox"/> PHYSICAL <input type="checkbox"/> ELECTRONIC <input type="checkbox"/> BOTH	I/We would like to share the email ID with the RTA <input type="checkbox"/> YES <input type="checkbox"/> NO
---	--



MOBILE NO. (as specified in KYC form) [Mandatory, if you are giving DDPI] if DDPI is not granted & if you do not wish to avail of this facility, please cancel this option). <input type="checkbox"/> YES <input type="checkbox"/> NO		
I/We authorize and agree to receive call or SMS from FINOPIA FINTECH PRIVATE LIMITED & its associates with reference to products and offerings. This authorization shall override my/our registration for DND/DNC/NDNC, if any <input type="checkbox"/> YES <input type="checkbox"/> 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 'Yes') <input type="checkbox"/> YES <input type="checkbox"/> NO		
I / We wish to receive dividend / interest directly into my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time) <input type="checkbox"/> YES <input type="checkbox"/> NO		
<b>EASI</b> To register for Easi please visit website <a href="http://www.cdslindia.com">www.cdslindia.com</a> Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online. <input type="checkbox"/> YES <input type="checkbox"/> NO		
I/We wish to receive the following documents for Equity / Derivatives Segment <input type="checkbox"/> Rights & Obligations <input type="checkbox"/> Rights and Obligations of the Beneficial Owner and Depository Participant <input type="checkbox"/> Additional Rights and Obligations <input type="checkbox"/> Risk Disclosure Document <input type="checkbox"/> Guidance Note <input type="checkbox"/> Policies & Procedures <input type="checkbox"/> RMS Policy		
<b>Re: Confirmation to receive the account opening document and welcome letter through email and digitally signed</b> With reference to my/our application for opening of a Demat account with you. I / We wish to receive all documents related to account opening documents, welcome letter and CMR copy (digitally signed) on the registered email id provided. None of these would be physically sent unless requested for the same. <b>Thanking You, Yours faithfully</b>		
FIRST/SOLE HOLDER SIGNATURE [8]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE

KRA BASED KYC DATA FORM		
This is the document generated by M/s Finopia Fintech Private Limited with resident's consent and on the basis of KRA BASED KYC DATA FORM KYC data shared by the resident with M/s Finopia Fintech Private Limited for the purpose of opening an Investment Account. This document will be used as ID and/or Address proof for record purposes.		
NAME		
FATHER NAME		
DATE OF BIRTH		
GENDER		
ADDRESS		
PROOF OF ADDRESS (POA)		
PROOF OF IDENTITY (POI)		
GENERATED ON		
FIRST/SOLE HOLDER SIGNATURE [9]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE

**NOMINATION DETAILS**

TM/DP ID

BO ID

DATE (DD/MM/YYYY)

I/We the sole holder/Joint holders/Guardian (in case of minor) hereby declare that:

- I/We do not wish to nominate anyone for this demat account (Please fill the declaration form below this)
- I/We nominate the following person who is entitled to receive security balances lying in my/our account, Particulars whereof are given below, in the event of my/our death

NOMINATION DETAILS

NOMINEE 1

NOMINEE 2

NOMINEE 3

\* FULL NAME

\* ADDRESS

\* PIN

TELEPHONE/MOBILE NO:

\* PAN NO/UID

EMAIL ID

\* RELATIONSHIP WITH THE BO

DATE OF BIRTH (Mandatory if nominee is a minor)  
dd-mm-yyyy

DETAILS OF GUARDIAN OF NOMINEE (IF NOMINEE IS A MINOR)

\* FIRST NAME

\* ADDRESS OF THE GUARDIAN OF NOMINEE

\* PIN

\* AGE

TELEPHONE/MOBILE NO

EMAIL ID

\* RELATION OF THE GUARDIAN WITH THE NOMINEE

\* PERCENTAGE OF ALLOCATION OF SECURITIES

\* RESIDUAL SECURITIES  
[Please select any one nominee, if tick did not mark the default will be first nominee]

FIRST/SOLE HOLDER SIGNATURE [10]

SECOND HOLDER SIGNATURE

THIRD HOLDER SIGNATURE

**DECLARATION FORM FOR OPTING OUT OF NOMINATION  
(ONLY TO BE FILLED IN CASE OF NO NOMINATION)**

To Finopia Fintech Private Limited H.No. 6-3-649/5/4, Somajiguda, Hyderabad - 500082. Telangana, India Phone No: +91 - 40-46009010.	Date (DD/MM/YYYY)
---	----------------------

DP ID	
Client ID (only for Demat account)	
Sole/First Holder Name	
Second Holder Name	
Third Holder Name	

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

FIRST/SOLE HOLDER SIGNATURE [11]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE

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

### OPTION FORM FOR ISSUE OF DIS BOOKLET

<b>To</b> <b>Finopia Fintech Private Limited</b>	Date (DD/MM/YYYY)	
H.No. 6-3-649/5/4, Somajiguda, Hyderabad - 500082. Telangana, India Phone No: +91 – 40 - 46009010.		

DP ID	12096900
Client ID (only for Demat account)	
Sole/First Holder Name	
Second Holder Name	
Third Holder Name	

Dear Sir/madam,

I / We hereby state that:                    [Select one of the options given below]

**OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though I / we have issued a Power of Attorney (POA) / registered for eDIS / executed PMS agreement in favour of / with \_\_\_\_\_(name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such <sup>5</sup>Power of Attorney holder -Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.

Yours faithfully

**OR**

**OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA/ registered for eDIS / executed PMS agreement in favour of / with (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
Name			
Client's Signature[12]			

<b>BROKING TARIFF DETAILS</b>	
Plan Name	Traditional
<b>Brokerage</b>	
Equity Cash Delivery ( BSE)	
Equity Cash Intraday (BSE)	
MCX – Futures	
MCX – Options	
<b>Other Charges</b>	
Documentation / Processing Charges	0
For Physical Contract Notes/statements	Actual Postage Charges
For Cheque Bounce/ Cheque Cancellation	Rs. 500 Per Cheque Plus GST
Interest On Delayed Payment	15% per Annum
Delivery Instruction Book Charges	Rs.150 (From 2nd book request)
Square Off Charges	Rs. 50 + GST(per order)
Call and Trade Charges	Rs. 50 + GST(per order)
Payment Gateway Charges	Rs. 10 + GST
DDPI E-stamping Charges	Applicable as per the stamp paper value + GST
<b>Clearing Member Charges</b>	
Cash	Rs. 100/- per crore
Futures	Rs. 100/- per crore
Options	Rs. 500/- per crore
<b>Transaction Charges</b>	
BSE – Equity	Rs. 375/-per Crore
MCX	Rs. 260/- per Crore
<b>Securities Transaction Tax (STT)</b>	
Delivery in Cash	0.10%
Intraday in cash only on selling side	0.03%
Futures only on selling side	0.01%
Options only on selling side	0.05%
Sale of an option, where option is exercised/assigned	0.13%
<b>Commodities Transaction Tax (CTT)</b>	
Futures (only one selling side)	0.01%(Non-agri)
Options (only one selling side)	0.05%
Sale of an option, where option is exercised/assigned	0.00%
Exchange levy and Stamp Duty	As applicable from time to time based on the states
SEBI Charges	Rs. 10 per Crore

GST 18% on Brokerage, Clearing Member Charges, Exchange Turnover Charges
<b>Statutory Charges: GST , STT , Transaction Charges , Stamp Duty etc are applicable as Per rules</b>

Name	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
Client's Signature [13]			

<b>DEMAT TARIFF STRUCTURE</b>			
	<input type="checkbox"/> I wish to open a Regular Demat Account	<input type="checkbox"/> I wish to open a Regular Demat Account	<input type="checkbox"/> I wish to open a Basic Service Demat Account (BSDA)
Nature of Services	Regular Demat Account	Regular Demat Account	Basic Services Demat Account(BSDA)
Account Opening Charges	NIL		
Debit Transaction Equity (Market/Off Market)	Rs. 20/- per Transaction	Rs. 15/- per Transaction	Rs. 25/- per Transaction
Credit transactions	NIL		
Pledge Services (Creation/Invocation/Closure)	Rs. 40/- per pledge	Rs. 20/- per pledge	Rs. 60/- per pledge
Reissuance of Delivery Instruction Booklet(DIB)	Rs.100/- per Booklet	Rs.100/- per Booklet	Rs.100/- per Booklet
Dematerialisation Certificate + Request	Rs.15/- per Certificate + Rs.40/- per request	Rs.10/- per Certificate + Rs.35/- per request	Rs.20/- per Certificate + Rs.50/- per request
Rematerialisation	Rs.40/- per request + NSDL/CDSL actual, Currently Rs.10/- for every hundred securities or part thereof a flat fee of Rs.10/- per certificate whichever is higher	Rs.30/- per request + NSDL/CDSL actual, Currently Rs.10/- for every hundred securities or part thereof a flat fee of Rs.10/- per certificate whichever is higher	Rs.50/- per request + NSDL/CDSL actual, Currently Rs.10/- for every hundred securities or part thereof a flat fee of Rs.10/- per certificate whichever is higher
Courier/Postal charges only (Adhoc Statement)	As per Standard Courier charges		
Annual Maintenance Charges	Rs. 399/-	Rs. 999/-	Rs. 50,000/- <NIL Rs. 50,000/- > Auto convert to Regular Demat Account
DDPI E-stamping charges	Applicable as per stamp paper value, processing fee (Excluding GST)		

### **TERMS & CONDITIONS**

1	Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit transactions.
2	The above charges are exclusive of GST levied @ 18% and other taxes/statutory charges levied by government bodies/statutory authorities from time to time, which will be charged as applicable.
3	In case the Demat accounts with BSDA facility does not meet the listed eligibility as per guideline issues by SEBI or any such authority at any point of time, such BSDA accounts will be converted to Standard Program Demat accounts without further reference to the respective customers and will be levied standard program pricing.
4	Incase if the Demat accounts with BSDA facility exceed the prescribed limits and move out of the stipulated BSDA criteria, the eligibity of such accounts for BSDA facility will be evaluated on the last day of the Annual billing cycle.
5	The value of the transaction will be in accordance with rated provided by Depositories (NSDL/CDSL).
6	The transaction charges will be payable monthly. The charges quoted above are for the services listed. Any services not quoted above will be charged separately.
7	The operating instructions for the joint accounts must be signed by all the holders.
8	All instructions for transfer must be received at the designated DP servicing branches at lease 24hours before the execution date.
9	The charges for processing of instructions submitted on the execution date (accepted at client risk) will be 0.25% on the value of transaction, minimum of RS.25/- per instruction.
10	In case of non-recovery of Debit charges due to inadequate balance in your lined trading account or inadequate advances fees or invalid trading account, the Depository services for your account will be temporarily discontinued. Any request for resuming the services will be charged at Rs.250/- and services for your account will be temporarily discontinued. Any request for resuming the services will be charged at Rs.250/- and services will be resumed in a minimum of three working days from the date of receipt of request with Finopia Fintech Private Limited and post payment of all outstanding dues towards depository charges.
11	In case the Demat accounts are with nil balances/transactions or incase if the customer defaults in payment of AMC, the physical statement shall not be sent to the customer after period of year. However, the electronic statement of holding will be sent only to the customers whose email Ids are registered for e-statement.

Client Name: \_\_\_\_\_ FIRST/SOLE HOLDER SIGNATURE[14] \_\_\_\_\_

**FATCA /CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL**

<i>Please fill the information below as requested</i>	FIRST ACCOUNT HOLDER	SECOND ACCOUNT HOLDER	THIRD ACCOUNT HOLDER
Name of the Account Holder			
Indicate your Tax Residency / Citizenship / Nationality	<input type="checkbox"/> India <input type="checkbox"/> USA <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> USA <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> USA <input type="checkbox"/> Others
<b>If ticked on "Others" and/or "USA", please provide all details under point no. 2,3,4,5 below:</b>			
Specify City and Country of Birth			
Specify Country(ies) of Tax Residency/ Citizenship / Nationality / Green card holder, other than India			
Tax Identification Number (for U.S.A.) or its functional equivalent (other than U.S.A.)			
Source of Wealth	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income	<input type="checkbox"/> Royalty <input type="checkbox"/> Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income

**DECLARATION**

I / We hereby declare, agree and confirm the following:

- The details furnished above are true to the best of my knowledge and belief and shall undertake to inform Finopia Fintech Private Limited within 30 days, in case of any change in the above given status on a future date.
- If I /we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details would be reported by Finopia Fintech Private Limited to the relevant tax authority. or information may be shared with concerned Asset Management Companies (AMCs) or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India;

FIRST/SOLE HOLDER SIGNATURE [15]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE

**What is FATCA / CRS?**  
 The U.S. government introduced the Foreign Account Tax Compliance Act, 2010 (FATCA) for obtaining information on accounts held by U.S. taxpayers in other countries. Further, the Organization for Economic Co-operation & Development (OECD) and G20 countries agreed for automatic exchange of information through Common Reporting Standards (CRS). The Government of India has signed an Inter-Government Agreement (IGA) with the US and has also joined the Multilateral Competent Authority agreement (MCAA) for automatic sharing of information with member countries of OECD and G20. By virtue of India signing an IGA with US and joining MCAA, Indian financial institutions will have to provide the required financial information to Indian tax authorities which in turn would forward reportable information to US IRS and member countries of OECD and G20 countries.

**US Person means:** In case of individuals, U.S. person means a citizen or resident of the United States. Persons who would qualify as U.S. persons could be born in the United States, born outside the United States of a US parent, Naturalized citizens, Green Card Holders, tax residents.

**Who is a Reportable Person (Non-US) under Common Reportable Standards (CRS)?**  
 Under Common Reportable Standards (CRS), reportable person means Tax residents of a reportable foreign jurisdiction other than U.S. (Please note the above information is provided only for quick reference to customers. You are requested to consult a legal/ tax advisor if in doubt.)

**Documents to be collected if the Customer's Country of birth is U.S. but declare that he/ she are not a U.S. person.**

- Certificate of relinquishment of citizenship (Loss of nationality certificate); OR
- Self-certification for stating reasons for not having such a certificate despite relinquishment U.S. citizenship; OR
- Self-certification for stating reasons for not obtaining U.S. citizenship at birth.

## SUB: VOLUNTARY UNDERTAKING / AUTHORISATION

With respect to Member-Constituent Relationship and Mandatory and Voluntary (optional) Documents executed between us, I / We do hereby authorize Finopia to do the following:

### ORDER PLACEMENT INSTRUCTIONS

I understand that you require written instructions from me for placing / modifying / cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting /calling/ Emailing the Call center / branch specified for the said purpose by Finopia in case of breakdown of internet connectivity or other similar reasons.

I hereby request you to kindly accept my verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other modes. I indemnify Finopia and its employees against all trade related losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

### ERRORS AND OMISSIONS

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances Finopia shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold Finopia responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by Finopia.

### NO MARKET MANIPULATION

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self-trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, Finopia has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

### NOT TO ACT AS UNREGISTERED SUB BROKER

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients. In case I wish to deal for other clients also, I undertake to apply to SEBI through Finopia to obtain a Authorised Person (AP) registration. In case Finopia perceives that I am acting as an unregistered sub broker, Finopia has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to Finopia without the requirement of any notice from Finopia. Further, Finopia has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify Finopia from any loss/ damage/claim arising out of such activity.

### NOT DEBARRED BY ANY REGULATOR

I confirm and declare that there is no bar on me imposed by any Exchange or any Regulatory and/or Statutory authority to deal in securities directly or indirectly. I agree to inform Finopia, in writing, of any regulatory action taken by any Exchange or Regulatory/ Statutory authority on me in future. In case I fail to inform the same and Finopia on its own comes to know of such action, Finopia has the right to suspend/close my trading account and refuse to deal with me. Also, Finopia can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related debit balances, without any notice to me.

### PMLA DECLARATION

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by Finopia officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that,

- a. I do not have any links with any known criminal
- b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime, nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

### INDEMNIFICATION

I hereby indemnify and hold Finopia, its Directors and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the Finopia directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.



### **INDEMNITY OF JOINT HOLDINGS**

I hereby agree to indemnify and hold Finopia harmless from any trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

### **NRI DECLARATION**

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to Finopia every time the investment is made.

### **THIRD-PARTY PAYMENTS**

Finopia shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per proforma prescribed by Finopia. Finopia shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above. However, due to oversight, if any such third-party payment has been accepted by Finopia and the credit for the same has been given in the client's ledger, Finopia shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, Finopia reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. Finopia, its Directors and employees shall not be responsible for any consequential damages or losses.

### **NO DEALINGS IN CASH**

Finopia as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub-Broker/ Remisier/Employee/Authorised Person of Finopia.

### **DISCLOSURE OF PROPRIETARY TRADING BY FINOPIA**

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003, Finopia discloses to its clients about its policies on proprietary trades. Finopia doesn't have proprietary trades in any segments

### **DELIVERIES**

The client shall ensure that the shares are properly transferred to the designated demat account of Finopia, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/ Exchanges/ Finopia. In case the client fails to transfer the shares on time to Finopia, Finopia shall not be responsible for any loss/damages arising out of such delayed transfers

### **SQUARING OFF OF POSITIONS & SALE /LIQUIDATION OF COLLATERAL MARGINS (to the extent of Settlement Margin obligation)**

The client shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds and/or delivery of the shares. In case the client fails to settle the transactions within the settlement date, then Finopia has the right to square off the open and/or unpaid positions, at an appropriate time, as it deems fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. Finopia, its Directors and Employees shall not be responsible for any trade related loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of Finopia. After such square off of open positions by Finopia, as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, Finopia shall have the right to liquidate the shares and other securities of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/margin and the shares and securities that needs to be sold or liquidated. Finopia, its Directors and employees shall not be responsible for any trade related loss or damages arising out of such selling.

CLIENT'S NAME:	PLACE:
CLIENT'S SIGNATURE [16]	DATE (DD/MM/YYYY):

## DECLARATION CUM ACKNOWLEDGMENT

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.

1. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stockbroker and the tariff sheet.
2. I/We have been informed that the standard set of documents has been displayed for information on Stock Broker's designated website [www.finopiafintech.com](http://www.finopiafintech.com) and any change in the Rights and Obligations and RDD would be made available on Stock Broker's designated website [www.finopiafintech.com](http://www.finopiafintech.com) I/We have been also informed that any change in the 'Policy and Procedures', 'tariff sheet' and all the non-mandatory documents would be duly intimated to me/us and displayed for information on the Stockbroker's designated website [www.finopiafintech.com](http://www.finopiafintech.com)
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), Rights and Obligations of the Beneficial Owner and Depository Participant, 'Risk Disclosure Document' (RDD), 'Guidance Note', 'Policies & Procedures', Tariff Sheet, Additional (Voluntary) Rights & Obligations and all other non-mandatory documents. I/We do hereby agree to be bound by such provisions as outlined in these documents.
4. I confirm that there is no assurance on profits or any fixed or guaranteed return while executing transactions in the securities market.
5. I confirm that the research recommendations disseminated by Finopia through its employees/associates are incidental to its stock broking services and transactions affected basis the same are in good faith and I authorize the same.
6. I also confirm that I will not hold Finopia or its group companies, associates or any of its employees, directors, officers or sub brokers/authorized persons responsible or liable for any direct or indirect, punitive, special or exemplary damages, for any profit/loss arising or resulting due to transactions effected in my trading/demat account.
7. I/We further agree to receive the following documents by way of a separate booklet/email for Equity / Derivatives Segment.
  - a. Rights & Obligations
  - b. Rights and Obligations of the Beneficial Owner and Depository Participant
  - c. Additional Rights and Obligations
  - d. Risk Disclosure Document
  - e. Guidance Note
  - f. Policies & Procedures
  - g. RMS Policy
8. I / We have read the Rights and Obligations document (Annexure 2.7) and terms & conditions (Annexure 2.4) and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details/particulars mentioned by me / us in this form. I/We further agree that any false/misleading information given by me/us, or suppression of any material information will render my account liable for termination and suitable action. In case of a non-resident account, I/We also declare that I have complied and will continue to comply with FEMA regulations.
9. I/We hereby declare that the details furnished under FATCA are true and correct to the best of my/our knowledge and belief. In case of any change in the given status on a future date, I/We undertake to inform Finopia of the same within 30 days. I/We agree that as may be required by domestic regulators/tax authorities, Finopia may also be required to report with reportable details to CBDT/regulatory authority and comply with its direction.
10. I willingly give my consent to Finopia to accept a copy of my Aadhaar card as Address proof and proceed with the application.

CLIENT'S NAME	PLACE
Client's SIGNATURE [17]	DATE (DD/MM/YYYY)

## VOLUNTARY AUTHORIZATION LETTER

To  
Finopia Fintech Private Limited.  
H.No. 6-3-649/5/4, Somajiguda, Hyderabad - 500082. Telangana, India

Sub: Voluntary Authorization Letter

Ref: 1. Trading account no: \_\_\_\_\_

2. Demat account no: \_\_\_\_\_

### 1. Running Account Authorization

- a. I request you to maintain my trading account on a running account basis & retain the available credit balance i.e. funds towards my margin/pay-in/other future obligation(s) on all segments(s) of Exchange(s)/Clearing Corporation unless I instruct you otherwise.
- b. I agree that no interest need be paid in respect of funds so retained by you.
- c. I request you to settle my funds (except funds given toward collaterals/ margin in form of bank guarantee / or fixed deposit)  Once in a Calendar Month or  Once in a Quarter or  such other higher period or  allowed by SEBI /Exchange (s) from time to time.
- d. I also authorize you to transfer/adjust all the additional funds lying to my credit in my trading account against my Settlement obligations in any of the segments in any of the Exchanges in which I have opted to trade.
- e. I confirm that this running account authorization can be revoked by me at any point in time.

### 2. Authorization for Sending documents through E-Mail

I hereby authorize you to send any and all documents pertaining to my trading/depository account (including but not limited to Electronic Contract Notes/Statement of Funds and Securities/Margin Bills etc./Notices/Letters/Trade Confirmations/ Circulars/ Amendments/ Statement of Transaction/ Statement of Holding/ Rejection Intimation/Bills/Amendments/Debit - Credit Intimations "etc.) to the below mentioned e-mail id.

E- Mail ID: \_\_\_\_\_

I hereby declare that I have read and understood Additional Rights and Obligations pertaining to Delivery of Documents and agree to the same.

### 3. Contact Number Declaration

- a. I confirm and declare that the contact number(s) given in the KYC Form or any updation thereto (either in writing or through internet) belong to me/my relative/my acquaintance and as such authorize you to either call or send any/all information pertaining to my trading/demat accounts and/or any promotional material related to financial products manufactured/ distributed by you or your group/associate companies (including but not limited to alerts/confirmations/passwords/research recommendations/intimation of account balances/commercial communication etc.) on the said contact numbers.
- b. I further confirm that I will neither hold you or your service provider liable nor will institute complaint under the Telecom Commercial Communications Customer Preference (TRAI) Regulations 2010 or such other applications Legislations including amendment thereof.
- c. I further agree and confirm to the applicability of all Regulations/Rights and Obligations/Circulars issued by SEBI/ Exchanges/Depositories and Additional Rights and Obligations pertaining to receipt of communication on contact numbers in addition to this declaration.
- d. **Authorization to debit various Depository Charges**
  - a. I confirm and consent for debiting any and all depository charges (including but not limited to schedule of charges agreed upon by me/inter-settlement charges/statutory charges/taxes etc.) to my trading account irrespective of the balance in my trading account.
  - b. I further confirm that once the charges are debited to my trading account and the same shall be treated like any other trading debit and as such authorize you to recover the same from available balances in my trading account, including sale of securities available to my credit in margin/dues/demat account (s).

### 4. Client defaulter declaration

I \_\_\_\_\_ having PAN \_\_\_\_\_ do hereby declare that I have not been involved in any unlawful activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/various Exchanges/Regulatory bodies, etc. I further declare that the above-mentioned declaration/statement is true and correct

<b>CLIENT'S NAME</b>	<b>PLACE</b>
Client's SIGNATURE [18]	DATE (DD/MM/YYYY):

### DISCLOSURE OF PROPRIETARY TRADING

To,  
Sir,

This is to inform you that we do client based trading and Pro-account trading in Bombay Stock Exchange Ltd. (BSE) / Multi Commodity Exchange Limited (MCX).

Thanks and Best Regards,

Sd/  
Director  
Finopia Fintech Private Limited,  
Hyderabad

I acknowledge the receipt of information given above by Finopia Fintech Private Limited that they do Client base trading and Pro — account trading.

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

Client Signature[19]: \_\_\_\_\_

(Note: To be signed by person himself / herself not to be signed by his / her attorney / authorised person etc,)

### ELECTRONIC CONTRACT NOTE (ECN) – DECLARATION

To,  
Finopia Fintech Private Limited.  
H.No. 6-3-649/5/4, Somajiguda, Hyderabad - 500082. Telangana, India

Sir,

I, \_\_\_\_\_ a client with Member

M/s. Finopia Fintech Private Limited member of BSE & MCX Exchange undertake as follows:

- I/We am/are aware that the Member has to provide physical contract note in respect of all the trades placed by me/ us unless I/ we myself want the same in the electronic form.
- I/We am/are am aware that the Member has to provide electronic contract note for my/ our convenience on my/ our request only.
- Though the Member is required to deliver physical contract note, I/ we find that it is inconvenient for me/ us to receive physical contract notes. Therefore, I/ we am/ are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/ us.
- I/ We have access to a computer and am/ are a regular internet user, having sufficient knowledge of handling the email operations.
- My/ Our email id is \_\_\_\_\_. This has been created by me/ us and not by someone else.
- I/We am/are aware that this declaration form should be in English or in any other Indian language known to me.
- The above declaration has been read and understood by me/ us. I/We am/are aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.<sup>21</sup>

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
Name			
Client's Signature [20]			

## DISCLOSURE BY MEMBER TO CLIENT UNDER PMLA 2002

Dear Client,

Subject: Prevention of Money Laundering

Money laundering is a process of making dirty money clean. Money is moved around the financial system again and again in such manner that its origin gets hidden. It involves complex chain of activities where by huge amount of money generated from illegitimate activities viz. selling of narcotic drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. is put through a series of process so that it comes out at the other end as clean and legal money. Terrorist organizations encourage money laundering to support their illegal acts. It is important to note that due to increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws or we becoming an instrumental or apart of the chain, even if unknowingly or ignorantly, may invite the trouble. In order to fight against the money laundering and terrorist financing the prevention of Money Laundering Act (PMLA) was brought into force w.e.f July 1, 2005 in India.

Guidelines were also issued in the context of the recommendations made by the Financial Action Task Force on anti- money laundering standards. Compliance with these standards has become imperative for international financial relations. PMLA is applicable to every intermediary registered with SEBI, which includes a Commodity Brokers and any other intermediary associated with Commodities Market. As per the provisions of PMLA, the intermediaries are required to comply with Know Your Client (KYC) norms, conduct ongoing client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile. In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time of registration as a client with us or subsequently whenever asked for during the course of your dealings with us.

### DISCLOSURE BY CLIENT UNDER PMLA 2002

Client Name:

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

S. No	Name	Entity Type	Nature of Business	Relationship	PAN

I/We hereby submit and agree to submit as the commitment every financial year following documents to Finopia Fintech Private Limited

1. Audited Annual Accounts
2. Self-attested copy of Income Tax Return or
3. Any other Financial information as requested by the Finopia Fintech Private Limited

I/We further confirm that I/We invest in the Commodity Market with:

- My/our owned funds
- Borrowed Funds from Bank/NBFC or
- Borrowed Funds from others

I/We hereby declare that I/We am/are not doing any benami transactions in my/our account. I/We understand that in case of any Cash/ Suspicious/ Benami transactions being observed into my account, the Member may report the same to Director FIU-IND, New Delhi under the provisions of PMLA, 2002 and thereafter I/we will be liable for any enquiry or penalty which might be levy by the Regulatory Authority under the said Act.

I/We acknowledge the receipt of the information given by Finopia Fintech Private Limited that they do client based trading only.

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
Name			
Client's Signature [21]			

## Demat Debit and Pledge Instruction (DDPI)

I/We agree to the terms of the Demat Debit and pledge Instructions (herein referred to as DDPI) between the undersigned individuals(s)/entities (hereinafter referred to as client(s)) and M/s. Finopia Fintech Private Limited (hereinafter referred to as Finopia) a company duly incorporated under the Companies Act 2013 and having registered office at H.No. 6-3-649/5/4, Somajiguda, Hyderabad - 500082. Telangana, India.

Whereas Wealthy is a SEBI registered Stockbroker & Depository Participant and is providing stock broking and depository participant services to their registered clients. Whereas Wealthy has the following Principal account/ Clearing member account/ Early Pay-in /Pool/Margin Pledge accounts/CBMP Ids to receive securities from the clients.

Sl .No	Particulars	DP ID	Client Id
1	CDSL BSE PRINCIPAL A/C	12096900	00000033
2	BSE POOL(NSDL)	IN301330	22407146
3	BSE POOL (CDSL)	12096900	00000048
4	BSE EARLY PAYIN	11000010	

Whereas the Client(s) are desirous of availing various broking and depository participant services offered by wealthy and for the purpose of facilitating transactions and services in broking and depository accounts(s) in a seamless manner, the clients(s) authorises Wealthy to execute instructions and perform severally the following acts by accessing the beneficial owners account(s) of Client(s):

Purpose	Signature of the Client*	
Transfer of securities held in the beneficial owner accounts of the client towards stock exchange related deliveries / Settlement obligations arising out of trades executed by the clients on the stock exchange through the stockbroker.	Sole/First Holder [22]	
	Second Holder	
	Third Holder	
Pledging / re-pledging of securities in favor of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the client in connection with the trades executed by the client on the Stock Exchange	Sole/First Holder [23]	
	Second Holder	
	Third Holder	
Mutual Fund transactions being executed on Stock Exchange order entry platform	Sole/First Holder [24]	
	Second Holder	
	Third Holder	
Tendering Shares in open offer through stock exchange Platforms	Sole/First Holder [25]	
	Second Holder	
	Third Holder	

This DDPI document is made on the date and place mentioned hereunder:

Client Name:			
Demat BO id	12096900	Trading Code	
Date		Place	

Signatures of all major co-parceners are required (Only for HUF (Mandatory))


## DECLARATION FOR UPDATING MOBILE NUMBER AND EMAIL ADDRESS

To,  
Finopia Fintech Private Limited.  
H.No. 6-3-649/5/4, Somajiguda, Hyderabad - 500082. Telangana, India

I hereby confirm that the mobile number / email id provided by me as per KYC belongs to me/my Family (self, spouse, dependent children and dependent parents Only)

Mobile		Self / Spouse / Dependent Children / Dependent Parents
Email		Self / Spouse / Dependent Children / Dependent Parents

I hereby declare that the information is true and correct to the best of my knowledge and belief. I further undertake to keep you informed about the changes in the mobile number/email id non-receipt of such updation may be construed that the above given mobile number/email id is valid and subsisting.

In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Yours Faithfully

CLIENT'S NAME	PLACE
Client's SIGNATURE [26]	DATE (DD/MM/YYYY)

## DECLARATION FOR TRANSFER OF GOVERNMENT SECURITIES

To,  
Finopia Fintech Private Limited.  
H.No. 6-3-649/5/4, Somajiguda, Hyderabad - 500082.

**Kind Attn: Compliance Officer – DP**

Dear Sir,

I/we, undersigned, having demat account with you as per the details mentioned below, hereby declare that I/we will submit for execution only those transfer instructions which are bonafide and arising out of genuine trade or transfer transaction.

Demat Account Number	
DP Name	<b>FINOPIA FINTECH PRIVATE LIMITED</b>
Name of Sole/First Account Holder	
Name of Second Account Holder	
Name of Third Account Holder	

Yours faithfully,

Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder
Client's SIGNATURE [27]		

## Finopia Fintech Private Limited

Registered Office	Corporate Office
H.No. 6-3-649/5/4, Somajiguda, Hyderabad - 500082. Telangana, India	H.No. 6-3-649/5/4, Somajiguda, Hyderabad - 500082. Telangana, India
Multi Commodity Exchange of India Limited	SEBI Reg No: INZ000304635
Bombay Stock Exchange Limited	
Central Depository Services (India) Limited	SEBI Reg.No: IN-DP- 737-2022

Managing Director	Compliance Officer
Mr. SUNIL REDDY LANKELA Telephone No.: +91 - 40 - 46009010 E-mail ID: <a href="mailto:sunil.lankela@finopiafintech.com">sunil.lankela@finopiafintech.com</a>	Mr. SREENIVASULU SIBBALA Telephone No.: +91 - 40 - 46009010 E-mail ID: <a href="mailto:compliance@finopiafintech.com">compliance@finopiafintech.com</a>

Please contact us at the above address or mail us at [info@finopiafintech.com](mailto:info@finopiafintech.com) for trading related queries [dp@finopiafintech.com](mailto:dp@finopiafintech.com) for depository related queries or call our customer care department @ Telephone No.(s): +91 - 40 - 46009010. If not satisfied with our response, you may contact the concerned exchange(s) / Depositories(s) at:

### **Contact details in case of Grievance / Dispute:**

Name	Telephone Number	E-mail ID
Multi Commodity Exchange of India Limited	+91-22-6731 8888	<a href="mailto:grievance@mcxindia.com">grievance@mcxindia.com</a>
Bombay Stock Exchange Limited	+91-22-2272 1233 / 4	<a href="mailto:is@bseindia.com">is@bseindia.com</a>
Central Depository Services (India) Limited	+91-22-2272 3333	<a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>
Securities Exchange Board of India (SEBI)	Toll free Investor Helpline 1800 266 7575 or 1800 22 7575	<a href="https://scores.gov.in/">https://scores.gov.in/</a>