VRIDHI CAPITAL & FINANCE PRIVATE LIMITED

CIN : U67190WB2022PTC256728

Account Opening KIT - Trading and Demat

Registered Office	Avani Signature 91A/1, Park Street, 7th Floor Kolkata-700016 Email: customercare@vridhicap.com Website: www.vridhicap.com

SEBI Registration No.	**INZ000323534**

CE0	**Mr. ANUJ AGARWAL** Tel.: (033) 66289121 E-mail ID: kmp@vridhicap.com

Compliance Officer	**Mr. PRITAM HAZRA** Tel.: (033) 66289121 E-mail ID: compliance@vridhicap.com

Members	**National Stock Exchange of India Ltd. (NSE)** **Bombay Stock Exchange Ltd. (BSE)** **Multi Commodity Exchange of India Ltd. (MCX)**
Depository Participant	**Central Depository Services India Ltd. (CDSL)**

Membership Details

Exchange	Segment	TM Code
NSE	CM & F&O	90445
BSE	CM & F&O	6917
MCX	Commodity	57455
Depository	**Registration No.**	
CDSL	12104000 (SEBI No - IN-DP-824-2025)	

Clearing Member Details
VRIDHI CAPITAL & FINANCE PRIVATE LIMITED Avani Signature, 91A/1, Park Street, 7th Floor, Kolkata-700016 (SEBI Registration No – **INZ000323534**)

For any grievance/dispute please contact **VRIDHI CAPITAL & FINANCE PRIVATE LIMITED (VCFPL)** at the above address or mail at:- investorgrievance@vridhicap.com and trading@vridhicap.com (for Trading) and dp@vridhicap.com (for DP)

In case you are not satisfied with the response, please contact the concerned Exchange(s)/Depository(ies):

Exchange / Depository Contacts	**National Stock Exchange of India Limited,** Phone : 022-26598190 • Email : ignse@nse.co.in
	Bombay Stock Exchange Limited, Phone : 022-22728097 • Email : is@bseindia.com
	Multi Commodity Exchange of India Ltd., Phone : 022-67318888, 66494000, Email : grievance@mcxindia.com
	Central Depository Services India Limited, Toll Free no. : 1800-200-5533 • Email : complaints@cdslindia.com

You may also lodge your grievances with SEBI at https://scores.sebi.gov.in. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575/18002667575

FILING OF COMPLAINTS ON SCORES –

Easy & quick: In order to make the complaint redressal mechanism through SCORES more efficient, the aggrieved Investor can file their respective compliant as per the credentials mentioned below:-

a. Register on SCORES portal :
Get yourself registered,

b. Mandatory details for filing complaints on SCORES:
i. Name, PAN, Address, Mobile Number, Email ID,

c. Benefits:
i. Effective communication, ii. Speedy redressal of the grievances.

Please refer SCORES website link https://scores.sebi.gov.in and the FAQs available thereon.

We, VRIDHI CAPITAL & FINANCE PRIVATE LIMITED (VCFPL) are also engaged in Proprietary trading apart from Client based business.

ACCOUNT OPENING KIT - INDEX

This KIT is valid for opening Trading and Demat Account with VRIDHI CAPITAL & FINANCE PRIVATE LIMITED
Clients desirous of opening both or any can utilise the relevant segments of this KIT.

The Trading Code for different desired Segments of the respective Exchanges and Demat account number will be provided on successful generation of the same.

MANDATORY DOCUMENTS

Non-Mandatory Documents as provided by VRIDHI CAPITAL & FINANCE PRIVATE LIMITED

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the form in English and in BLOCK letters.
D) Please fill the date in DD-MM-YYYY format.
E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated
F) Please read section wise detailed guidelines / instructions at the end.
G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
H) List of two character ISO 3166 country codes is available at the end.
I) KYC number of applicant is mandatory for update application.
J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.

For office use only
(To be filled by financial institution)

Application Type* ☐ New ☐ Update
KYC Number ____ (Mandatory for KYC update request)
Account Type* ☐ Normal ☐ Minor ☐ Aadhar OTP based (in non-face to face mode)

☐ 1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				

Date of Birth* D D – M M – Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status ☐ Married ☐ Unmarried ☐ Others

Citizenship ☐ IN-Indian ☐ Others (ISO 3166 Country Code ☐☐)

Residential Status ☐ Residential Individual ☐ Non-Resident Indian ☐ Foreign National ☐ Person of Indian Origin

PAN*

☐ 2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of Possession of Aadhar

II. ☐ E-KYC Authentification

III. ☐ Offline verification of Aadhar

☐ PHOTO*

Affix recent passport size Photograph and Sign across it

Signature / Thumb Impression

Address

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin/Post Code* State/U.T. Code* ISO 3166 Country Code*

☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

☐ Same as above mentioned address (in such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of Possession of Aadhar

II ☐ E-KYC Authentification

III ☐ Offline verification of Aadhar

IV ☐ Deemed Proof of Address - Document Type code

V ☐ Self Declaration

Address

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin/Post Code* State/U.T. Code* ISO 3166 Country Code*

4. CONTACT DETAILS (All communications will be sent on Mobile number, / Email-ID provided) (Please refer instruction **C** at the end)

Tel (Off.) – Tel. (Res) – Mobile –

Email ID

5. REMARKS (If any)

6. APPLICANT 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 or untrue or 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.

Date : D D – M M – Y Y Y Y Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC process ☐ Equivalent e-document ☐ Video Based KYC

☐ KYC DOCUMENT VERIFIED BY ☐ CLIENT INTERVIEWED BY

Date D D – M M – Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

IN PERSON VERIFICATION (IPV) CARRIED OUT BY

Date D D – M M – Y Y Y Y

Name

Code

Designation

Name of the Organisation

[Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

A Clarification / Guidelines on filling 'Personal Details' section

1. Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. One the following is mandatory : Mother's name, Spouse's name, Father's name.

B Clarification / Guidelines on filling 'Current Address details" section

1. In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
2. PoA to be submitted only if the submitted PoI does not have current address or address as per PoI is invalid or not in force.
3. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
4. in Section 2. one of I, II, and III is to.be selected. In case of online E-KYC authentication, II is to be selected.
5. In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
6. List of documents for 'Deemed Proof of Address':

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

7. Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
8. "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
9. 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
10. REs may use the Self Declaration check box where Aadhar authentication has been carried out successfully for a client and clent wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.

C Clarification / Guidelines on filling 'Contact details' section

1. Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
2. Do not add '0' in the beginning of Mobile number.

D Clarification / Guidelines on filling 'Related Person details' section

1. Provide KYC number of related person, if available.

E Clarification on Minor

1. Guardian details are optional for minors above 10 years of age for opening of bank account only
2. However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

Know Your Client (KYC)

Application Form (For Individuals Only)

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

VRIDHI CAPITAL & FINANCE PRIVATE LIMITED

Application Number:

Application Type*: ☐ New KYC ☐ Modification KYC

KYC Mode*: Please Tick (✓)

☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline KYC ☐ Digilocker

1. Identity Details (please refer guidelines overleaf)

PAN* ______________________ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) ______ ______ ______ ______

Maiden Name+ (if any) ______ ______ ______ ______

Fathers/Spouse's Name* ______ ______ ______ ______

Date of Birth* ______________

Gender* ☐ Male ☐ Female ☐ Transgender

Marital Status* ☐ Single ☐ Married

Nationality* ☐ Indian ☐ Other ______________

Residential Status* ☐ Resident Individual ☐ Non Resident Indian

Please Tick (✓) ☐ Foreign National ☐ Person of Indian Origin

(Passport mandatory for NRIs, PIOs and Foreign Nationals)

Recent passport size Applicant Photo

1

Cross Signature across photograph

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A — Aadhaar Card XXXX XXXX __ __ __ __

☐ B — Passport Number ______________ (Expiry Date) ______________

☐ C — Voter ID Card ______________

☐ D —Driving License ______________ (Expiry Date) ______________

☐ E —NREGA Job Card ______________

☐ F — NPR ______________

☐ Z —Others ______________ (any document notified by Central Government)

Identification Number ______________

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* ______________________________

Line 2 ______________________________

Line3 ______________________________

City/Town/Village* ______________ District* ______________ Pin Code* ______________

State* ______________ Country* ______________

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ ☐ Unspecified

Applicant Wet Signature

2

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* ______

Line 2 ______

Line3 ______

City/ Town/Village* ______ District* ______ Pin Code* ______

State* ______ Country* ______

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ ☐ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

☐ A — Aadhaar Card XXXX XXXX __ __ __ __

☐ B — Passport Number ______ (Expiry Date) ______

☐ C — Voter ID Card ______

☐ D —Driving License ______ (Expiry Date) ______

☐ E —NREGA Job Card ______

☐ F — NPR Letter ______

☐ Z—Others ______ (any document notified by Central Government)

Identification Number ______

3. Contact Details

Email ID ______

Mobile No. _____ ______

Tel (Off) _____ ______ Tel (Res) _____ ______

4. Applicant Declaration

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it. I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address. DATE: ______ (DD-MM-YYYY) PLACE: ______	- Applicant Wet Signature 3

In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date ______ Emp. Name ______ Emp. Code ______ Emp. Designation ______	☐ Self certified document copies received (OVD) ☐ True Copies of documents received (Attested) AMC / Intermediary Name : **VRIDHI CAPITAL & FINANCE PRIVATE LIMITED**
Employee Signature and Stamp	Institution Name and Stamp

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity/Other than Individual

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instructions at the end.
I) For particular section update, please tick '✓' in the box available before the section number and strike off the sections not required to be updated.

For office use only (To be filled by financial institution)

Application Type* ☐ New ☐ Update

KYC Number (Mandatory for KYC update request)

☐ 1. ENTITY DETAILS (Please refer instruction A at the end)

☐ Name*

Entity Constitution Type* Others (Specify) (Please refer instruction B at the end)

Date of Incorporation / Formation* D D – M M – Y Y Y Y

Date of Commencement of business D D – M M – Y Y Y Y

Place of Incorporation / Formation*

Country of Incorporation / Formation*

TIN or Equivalent Issuing Country

PAN*

☐ Form 60 furnished

TIN / GST Registration Number

☐ 2. PROOF OF IDENTITY (PoI)* (Please refer instruction B at the end)

☐ Officially valid document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation

☐ Registration Certificate Regn Certificate No.

☐ Memorandum and Articles of Association

☐ Partnership Deed

☐ Trust Deed

☐ Resolution of Board / Managing Committee

☐ Power of Attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only)

☐ Activity Proof - 2 (For Sole Proprietorship Only)

☐ 3. Address* (Please refer instruction C at the end)

☐ 3.1 Registered Office Address / Place of Business*

Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document

Line 1*

Line 2

Line 3

City / Town / Village*

District*

Pin/Post Code*

State/U.T. Code*

ISO 3166 Country Code*

☐ 3.2 Local Address in India (if different from Above)*

Line 1*

Line 2

Line 3

City / Town / Village*

District*

Pin/Post Code*

State/U.T. Code*

ISO 3166 Country Code*

☐ 4. Contact Details (All communications will be sent to Mobile number / Email-ID provided* may be used) (Please refer instruction D at the end)

Tel (Off.) –

FAX –

Mobile –

Email ID

Mobile –

Email ID

☐ 5. NUMBER OF RELATED PERSONS (Please refer instruction E at the end)

☐ 6. REMARKS (If any)

7. APPLICANT 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 or untrue or misleading or misrepresenting. I am aware that may be held liable for it
- I/we hereby consent to receiving information from Central KYC / KRA Registry through SMS/Email on the above registered number/ email address.

Date : D D – M M – Y Y Y Y   Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Authorised Person(s)

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ Equivalent e-document

KYC DOCUMENT VERIFIED CARRIED OUT BY	
Identity Verification	☐ Done Date D D – M M – Y Y Y Y
Emp. Name	
Emp. Code	
Emp. Designation	
Emp. Branch	

[Employee Signature]

INSTITUTION DETAILS	
Name	**VRIDHI CAPITAL & FINANCE PRIVATE LIMITED**
Code	

[Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check List / Guidelines for filling Legal Entity / Other than Individuals KYC Application Form

A Clarification / Guidelines for filing Entity Details section

1 Entity Constitution Type

A - Sole Proprietorship
B - Partnership Firm
C - HUF
D - Private Limited Company
E - Public Limited Company
F - Society
G - Association of Persons (AOP) / Body of Individuals (BOI)
H - Trust
I - Liquidator
J - Limited Liability Partnership
K - Artificial Liability Partnership
L - Public Sector Banks
M - Central/State Government Department or Agency
N - Section 8 Companies (Companies Act, 2013)
O - Artificial Jurisdical Person
P - International Organisation or Agency /Foreign Embassy or Consular Office etc.
Q - Not Categorized
R - Others
S - Foreign Portfolio Investors

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entitites, FORM 60 may be obtained if PAN is not available.

B Clarification / Guidelines for filling 'Proof of Identity[PoI]' section

1 Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
2 Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
4 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines for filling 'Proof of Address [PoA]' section

1 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
2 Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines for filling 'Contact Details' section

1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
2 Do not add '0' in the beginning of Mobile number.

E Clarification / Guidelines for filling 'Related Person Details' section

1 Personal Details
- The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.

2 Proof of Address [PoA]
- PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
- REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.

3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.

4 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F Provision for capturing signature of multiple authorised persons is to be made by the RE.

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instructions at the end.
I) For particular section update, please tick '✓' in the box available before the section number and strike off the sections not required to be updated.

For office use only (To be filled by financial institution)

Application Type* ☐ New ☐ Update ☐ Delete

KYC Number ☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (Mandatory for KYC update and delete request)

1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) ☐☐☐☐☐☐☐☐☐☐☐☐☐☐ If KYC number is availabe only 'Related Person Type' & 'Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor ☐ Beneficiary ☐ Authorised Signatory ☐ Beneficiary Owner ☐ Other (Please Specify ☐ Other (Please Specify

DIN (Director Identification Number) ______ (Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				

Date of Birth* D D – M M – Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Nationality* ☐ IN- Indian ☐ Others (IS) 3166 Country Code ☐☐)

PAN* ☐☐☐☐☐☐☐☐☐☐ ☐ Form 60 furnished

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of Possession of Aadhar

II. ☐ E-KYC Authentification

III. ☐ Offline verification of Aadhar

☐ PHOTO*

Affix recent passport size Photograph and Sign across it

Signature / Thumb Impression

Address

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin/Post Code* State/U.T. Code* ISO 3166 Country Code*

1.3 CURRENT ADDRESS DETAILS (Please refer instruction E at the end)

☐ Same as above mentioned address (in such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of Possession of Aadhar

II ☐ E-KYC Authentification

III ☐ Offline verification of Aadhar

IV ☐ Deemed PoA

V ☐ Self Declaration

Address

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin/Post Code* State/U.T. Code* ISO 3166 Country Code*

1.4 Contact Details (All communications will be sent to Mobile number / Email-ID (Please refer instruction D at the end)

Tel (Off) – Tel (Res) – Mobile –

Email ID

2. APPLICANT DECLARA TION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I am aware of other modes of KYC which are available and I have chosen Aadhar based method voluntarily. My Aadhaar record can be used by KRA only for the specific purpose of validating/ maintaining/sharing my KYC record and as an audit evidence. I will have an option to request for deletion of my Aadhaar record.
- I am/We are also aware that for Aadhaar OVD based KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked. Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have business relationship for KYC purposes only.
- I hereby consent to receiving information from Central KYC/KRA Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Date : D D – M M – Y Y Y Y Place :

Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received
- ☐ Certified Copies
- ☐ E-KYC data received from UIDAI
- ☐ Data received from Offline verification
- ☐ Digital KYC process
- ☐ Equivalent e-document

KYC DOCUMENT VERIFIED CARRIED OUT BY

Date D D – M M – Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name VRIDHI CAPITAL & FINANCE PRIVATE LIMITED

Code

[Institution Stamp]

Know Your Client (KYC)

Annexure (For Non- Individuals Only)

VRIDHI CAPITAL & FINANCE PRIVATE LIMITED

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked ⁺ are pertaining to CKYC and mandatory only if processing CKYC also

Application Number:

Application Type*: ☐ New KYC ☐ Modification KYC

1. Identity Details of Related Person (please refer guidelines overleaf)

PAN* ____________ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) ____ ____ ____ ____

Maiden Name⁺ (if any) ____ ____ ____ ____

Fathers/Spouse's Name* ____ ____ ____ ____

Date of Birth* ____ ____ ____

Gender* ☐ Male ☐ Female ☐ Transgender

Nationality* ☐ Indian ☐ Other____________

Applicant Photo

Related Person Type*

☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointed Official Proprietor

☐ Beneficiary ☐ Authorized Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder

☐ Others ____________(please specify) DIN:____________(mandatory if the related person is Director)

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A — Aadhaar Card XXXX XXXX ________

☐ B — Passport Number ____________ (Expiry Date) ____ ____ ____

☐ C — Voter ID Card ____________

☐ D —Driving License ____________ (Expiry Date) ____ ____ ____

☐ E —NREGA Job Card ____________

☐ F — NPR ____________

☐ Z —Others ____________ (any document notified by Central Government)

Identification Number ____________

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* ____________

Line 2 ____________

Line3____________

City/Town/Village* ____________ District⁺ ____________ Pin Code* ____________

State* ____________Country* ____________

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* ______________________

Line 2 ______________________

Line3______________________

City/Town/Village* __________ District* __________ Pin Code* __________

State* __________ Country* __________

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

☐ A — Aadhaar Card XXXX XXXX __________

☐ B — Passport Number __________ (Expiry Date) ____ ____ ______

☐ C — Voter ID Card __________

☐ D —Driving License __________ (Expiry Date) ____ ____ ______

☐ E —NREGA Job Card __________

☐ F — NPR Letter __________

☐ Z—Others __________(any document notified by Central Government)

Identification Number __________

3. Contact Details

Email ID ______________________

Mobile No. __________

Tel (Off) ____ __________ Tel (Res) ____ __________

4. Applicant Declaration

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it. I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address. DATE: ____ ____ ______ (DD-MM-YYYY) PLACE: __________	Applicant e-SIGN	Applicant Wet Signature

5. For Office Use Only

KYC carried out by*	Intermediary Details*
KYC Date ____ ____ ______ Emp. Name	☐ Self certified document copies received (OVD) ☐ True Copies of documents received (Attested)
Emp. Code	
Emp. Designation __________	VRIDHI CAPITAL & FINANCE PRIVATE LIMITED
Employee Signature and Stamp	Institution Name and Stamp

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instructions at the end.
I) For particular section update, please tick '✓' in the box available before the section number and strike off the sections not required to be updated.

For office use only (To be filled by financial institution)

Application Type* ☐ New ☐ Update ☐ Delete

KYC Number (Mandatory for KYC update and delete request)

1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) If KYC number is availabe only 'Related Person Type' & 'Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor ☐ Beneficiary ☐ Authorised Signatory ☐ Beneficiary Owner ☐ Other (Please Specify ☐ Other (Please Specify

DIN (Director Identification Number) (Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				

Date of Birth* D D – M M – Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Nationality* ☐ IN- Indian ☐ Others (IS) 3166 Country Code)

PAN* ☐ Form 60 furnished

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of Possession of Aadhar
II. ☐ E-KYC Authentification
III. ☐ Offline verification of Aadhar

☐ PHOTO*

Affix recent passport size Photograph and Sign across it

Signature / Thumb Impression

Address

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin/Post Code* State/U.T. Code* ISO 3166 Country Code*

1.3 CURRENT ADDRESS DETAILS (Please refer instruction E at the end)

☐ Same as above mentioned address (in such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of Possession of Aadhar
II ☐ E-KYC Authentification
III ☐ Offline verification of Aadhar
IV ☐ Deemed PoA
V ☐ Self Declaration

Address

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin/Post Code* State/U.T. Code* ISO 3166 Country Code*

1.4 Contact Details (All communications will be sent to Mobile number / Email-ID (Please refer instruction D at the end)

Tel (Off) – Tel (Res) – Mobile –

Email ID

2. APPLICANT DECLARA TION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I am aware of other modes of KYC which are available and I have chosen Aadhar based method voluntarily. My Aadhaar record can be used by KRA only for the specific purpose of validating/ maintaining/sharing my KYC record and as an audit evidence. I will have an option to request for deletion of my Aadhaar record.
- I am/We are also aware that for Aadhaar OVD based KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked. Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have business relationship for KYC purposes only.
- I hereby consent to receiving information from Central KYC/KRA Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Date : D D – M M – Y Y Y Y Place :

Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

- ☐ Certified Copies
- ☐ E-KYC data received from UIDAI
- ☐ Data received from Offline verification
- ☐ Digital KYC process
- ☐ Equivalent e-document

KYC DOCUMENT VERIFIED CARRIED OUT BY	
Date	D D – M M – Y Y Y Y
Emp. Name	
Emp. Code	
Emp. Designation	
Emp. Branch	

[Employee Signature]

INSTITUTION DETAILS	
Name	VRIDHI CAPITAL & FINANCE PRIVATE LIMITED
Code	

[Institution Stamp]

Know Your Client (KYC)

Annexure (For Non- Individuals Only)

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

VRIDHI CAPITAL & FINANCE PRIVATE LIMITED

Application Number:

Application Type*: ☐ New KYC ☐ Modification KYC

1. Identity Details of Related Person (please refer guidelines overleaf)

PAN* ____________ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) ____ ____ ____ ____

Maiden Name+ (if any) ____ ____ ____ ____

Fathers/Spouse's Name* ____ ____ ____ ____

Date of Birth* ____ ____ ____

Gender* ☐ Male ☐ Female ☐ Transgender

Nationality* ☐ Indian ☐ Other ____________

Applicant Photo

Related Person Type*

☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointed Official Proprietor

☐ Beneficiary ☐ Authorized Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder

☐ Others ____________(please specify) DIN:____________(mandatory if the related person is Director)

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A — Aadhaar Card XXXX XXXX ____

☐ B — Passport Number ____________ (Expiry Date) ____ ____ ____

☐ C — Voter ID Card ____________

☐ D —Driving License ____________ (Expiry Date) ____ ____ ____

☐ E —NREGA Job Card ____________

☐ F — NPR ____________

☐ Z —Others ____________ (any document notified by Central Government)

Identification Number ____________

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* ____________

Line 2 ____________

Line3____________

City/Town/Village* ____________ District+ ____________ Pin Code* ____________

State* ____________Country* ____________

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* ______

Line 2 ______

Line3 ______

City/Town/Village* ______ District* ______ Pin Code* ______

State* ______ Country* ______

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

☐ A — Aadhaar Card XXXX XXXX ______

☐ B — Passport Number ______ (Expiry Date) ___ ___ ______

☐ C — Voter ID Card ______

☐ D —Driving License ______ (Expiry Date) ___ ___ ______

☐ E —NREGA Job Card ______

☐ F — NPR Letter ______

☐ Z—Others ______ (any document notified by Central Government)

Identification Number ______

3. Contact Details

Email ID ______

Mobile No. ______

Tel (Off) ___ ______ Tel (Res) ___ ______

4. Applicant Declaration

	Applicant e-SIGN	Applicant Wet Signature
I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it. I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address. DATE: ___ ___ ______ (DD-MM-YYYY) PLACE: ______		

5. For Office Use Only

KYC carried out by*	Intermediary Details*
KYC Date ___ ___ ______ Emp. Name	☐ Self certified document copies received (OVD) ☐ True Copies of documents received (Attested)
Emp. Code	
Emp. Designation ______	VRIDHI CAPITAL & FINANCE PRIVATE LIMITED
Employee Signature and Stamp	Institution Name and Stamp

KYC - APPLICATION FORM FOR TRADING AND DEMAT A/C - NON-INDIVIDUAL

Please fill this form in ENGLISH and in BLOCK LETTERS. (Use black ink)

A. IDENTITY DETAILS

1	Name of the Applicant		
2	Date of incorporation	D D M M Y Y Y Y	Place of incorporation
3	a. Business Commencement date	D D M M Y Y Y Y	b. Regn. No. (eg. CIN)
4	PAN, copy attached ☐		
5	Status (Please tick any one)	☐ Pvt. Ltd. Co. ☐ Bank ☐ FII ☐ BOI ☐ Public Ltd. Co. ☐ Society ☐ HUF ☐ LLP ☐ Body Corporate ☐ Trust ☐ AOP ☐ FI ☐ Partnership ☐ Defense Establishment ☐ Non Govt. Organisation ☐ Government Body ☐ Charities ☐ Others (Please specify)	

B. ADDRESS DETAILS

1	Correspondence Address				
		City/Town/Village		PIN Code	
		State		Country	
2	Specify proof of correspondence address submitted				
3	Contact Details	Telephone (office)		Telephone (Res)	
		Fax No.		Mobile No.	
		Email ID			
4	Registered Address *(if different from above.)*				
		City/Town/Village		PIN Code	
		State		Country	
5	Specify proof of registered address submitted				

C. DECLARATION

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

✔

Place		Signature of Applicant	Date	D D M M Y Y Y Y

FOR OFFICE USE ONLY

	Documents verified with Originals by	Client interviewed by	In-Person Verification done by
Staff Name/ AP			
Code & Designation			
Signature			
Date	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y

☐ (Original verified) Self Certified Documents copies received ☐ (Self Attested) True copies of documents received

Sign/Seal/Stamp of the intermediary

DETAILS OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLETIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC)

Form should be filled in English and in Block Letters (Use Black ink only)

Name of Applicant		PAN										

S.N.	Particulars	Photograph	Signature with Stamp
1	Name Residential Address Designation PAN Dt. of Birth DIN/UID Contact No. Aadhar No. PEP/RPEP ☐Yes ☐No	Affix recent passport size Photograph and Sign across it	
2	Name Residential Address Designation PAN Dt. of Birth DIN/UID Contact No. Aadhar No. PEP/RPEP ☐Yes ☐No	Affix recent passport size Photograph and Sign across it	
3	Name Residential Address Designation PAN Dt. of Birth DIN/UID Contact No. Aadhar No. PEP/RPEP ☐Yes ☐No	Affix recent passport size Photograph and Sign across it	
4	Name Residential Address Designation PAN Dt. of Birth DIN/UID Contact No. Aadhar No. PEP/RPEP ☐Yes ☐No	Affix recent passport size Photograph and Sign across it	
5	Name Residential Address Designation PAN Dt. of Birth DIN/UID Contact No. Aadhar No. PEP/RPEP ☐Yes ☐No	Affix recent passport size Photograph and Sign across it	

✔ First Signatory	Second Signatory	Third Signatory

Place		Name and signature with Stamp of the Authorised Signatory(ies)	Date	D	D	M	M	Y	Y

VRIDHI CAPITAL & FINANCE PRIVATE LIMITED

ADDITONAL KYC RELATED DETAILS FOR DEMAT A/C

For both Individual & Non-Individual

F O R   D E M A T   A C C O U N T   O N L Y

I/We request you to open a Depository Account in my/our name as per the following details: *(Please fill all the details in CAPITAL LETTERS only)*

DETAILS OF ACCOUNT HOLDER(S):

	Sole / First Holder	Second Holder	Third Holder
Name			
PAN			
UID			
UCC			
Exchange Name			
Exchange ID			

For Association of Persons (AOP), Partnership Firm, Unregistered Trust etc., although the DEMAT account is opened in the name of the natural persons, the name & PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. should be mentioned below :

a. Name		b. PAN	

Type of DEMAT Account

For Individual Accounts

- ☐ Minor
- ☐ Ordinary Resident
- ☐ HUF/AOP
- ☐ Margin
- ☐ Promoter
- ☐ Director
- ☐ Director's Relative
- ☐ Margin Trading (MANTRA)
- ☐ QFI
- ☐ Others (pl. specify)______

For Non-Individual Accounts

- ☐ Body Corporate
- ☐ Clearing Member
- ☐ Bank
- ☐ Mutual Fund
- ☐ Trust
- ☐ FI
- ☐ FII
- ☐ QFI
- ☐ HUF
- ☐ OCB
- ☐ Others, plz specify______

For NRI / FOREIGN NATIONAL Accounts

- ☐ Repatriable
- ☐ Non-Repatriable
- ☐ Repatriable-Promoter
- ☐ Non Repatriable-Promoter
- ☐ F.N. Depository Receipts
- ☐ Foreign National
- ☐ Depo. Receipts
- ☐ Others (Plz. specify)___

In case of NRI / Foreign Nationals / FII / Others (as may be applicable)

RBI Approval Reference No.	______	RBI Approval Date	D D M M Y Y Y Y
SEBI Regn. No. (for FIIs only)	______	SEBI Regn. Date	D D M M Y Y Y Y

Standing Instructions

1	I/We authorise you to receive credits automatically into my/our Demat account	☐ Yes ☐ No		
2	Account to be operated through Power of Attorney only	☐ Yes ☐ No		
3	SMS Alert Facility (Mandatory if you are giving Power of Attorney (PoA). (Ensure that the mobile number is provided in the KYC Application Form also.)			
		Sole / First Holder ☐ Yes ☐ No	**Second Holder** ☐ Yes ☐ No	**Third Holder** ☐ Yes ☐ No
		0	0	0
4		Mobile No. belongs to ☐ Self ☐ Family Member	Mobile No. belongs to ☐ Self ☐ Family Member	Mobile No. belongs to ☐ Self ☐ Family Member
5		Email ID belongs to ☐ Self ☐ Family Member	Email ID belongs to ☐ Self ☐ Family Member	Email ID belongs to ☐ Self ☐ Family Member
6	Account Statement Requirement ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly ☐ As per SEBI Regulations			
7	I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID______	☐ Yes ☐ No		
8	Do you wish to receive dividend / interest directly in to your bank account given below through ECS? (If not marked, the default option would be `Yes') [ECS is mandatory for locations notified by SEBI from time to time]	☐ Yes ☐ No		
9	I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end	☐ Yes ☐ No		
10	Basic Services Demat A/c ☐ Yes ☐ No	11	I/We would like to share the email ID with the RTA ☐ Yes ☐ No	
12	Rajiv Gandhi Equity Saving Scheme ☐ Yes ☐ No	13	I/We would like to receive the Annual Report ☐ Physically ☐ Electronic ☐ Both (Tick the applicable box. If not marked the default would be Physical)	

FOR DEMAT ACCOUNT ONLY

Clearing Member Details (to be filled up by Clearing Members only)

1	Name of Stock Exchange		2	Name of Clg. Corpn./Clg. House	
3	Clearing Member ID		4	SEBI Regn. No.	
5	Trade Name				
6	CM-BP ID (to be filled up by DP)		7	TM ID (to be filled up by DP)	

GUARDIAN'S DETAILS (same in line with KYC Form - must be filled up where Sole holder is MINOR)

Affix recent passport size Photograph of the guardian and Sign across it

1	Guardian Name				
2	Guardian Address				
		City/Town/Village		PIN Code	
		State		Country	
3	Relationship with Minor		4	Guardian's PAN	
5	Contact Details of Guardian	Telephone (Office)		Telephone (Res.)	
		Fax No.		Mobile No.	
		Email ID			
6A	Gross Annual Income Income Range per Annum (Plz tick)	☐ Below ₹ 1 Lac ☐ ₹ 1-5 Lac ☐ ₹ 5-10 Lac ☐ ₹ 10-25 Lac ☐ Above ₹ 25 Lac			
	OR				
6B	Networth (should not be older than 1 year)	Amount (₹) ____________		As on (Date)	D D M M Y Y Y Y
7	a. Gender	b. Marital Status	c. Date of Birth	d. Nationality	
	☐ Male ☐ Female	☐ Single ☐ Married	D D M M Y Y Y Y	☐ Indian ☐ Other Pls specify (if other) ____________	
	e. Status	☐ Resident Individual ☐ Non Resident ☐ Foreign National	f. Occupation	☐ Pvt. Sector ☐ Pub. Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Student ☐ Housewife ☐ Others, specify ____________ ☐ Retired ☐ Forex Dealer	
8	Please tick, if applicable	☐ Politically Exposed Person (PEP)	☐ Related to Politically Exposed Person (RPEP)		

FOR BOTH

OTHER DETAILS

1st Holder	1	Gross Annual Income (Income Range per Annum, Plz tick)	☐ Below ₹ 1 Lac ☐ ₹ 1-5 Lac ☐ ₹ 5-10 Lac ☐ ₹ 10-25 Lac ☐ Above ₹ 25 Lac	
		OR / AND (For Non-Individual)		
		Net worth (Not older than 1 year)	Amount (₹) ____________	As on (Date) D D M M Y Y Y Y
	2	Occupation (Pls. tick any one give brief details)	☐ Private Sector ☐ Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others (plz. specify) ____________	
	3	Please tick, if applicable	Politically Exposed Person (PEP) ☐	Related to politically exposed person (RPEP) ☐
2nd Holder	1	Gross Annual Income (Income Range per Annum, Plz tick)	☐ Below ₹ 1 Lac ☐ ₹ 1-5 Lac ☐ ₹ 5-10 Lac ☐ ₹ 10-25 Lac ☐ Above ₹ 25 Lac	
		OR / AND (For Non-Individual)		
		Net worth (Not older than 1 year)	Amount (₹) ____________	As on (Date) D D M M Y Y Y Y
	2	Occupation (Pls. tick any one give brief details)	☐ Private Sector ☐ Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others (plz. specify)	
	3	Please tick, if applicable	Politically Exposed Person (PEP) ☐	Related to politically exposed person (RPEP) ☐
3rd Holder	1	Gross Annual Income (Income Range per Annum, Plz tick)	☐ Below ₹ 1 Lac ☐ ₹ 1-5 Lac ☐ ₹ 5-10 Lac ☐ ₹ 10-25 Lac ☐ Above ₹ 25 Lac	
		OR / AND (For Non-Individual)		
		Net worth (Not older than 1 year)	Amount (₹) ____________	As on (Date) D D M M Y Y Y Y
	2	Occupation (Pls. tick any one give brief details)	☐ Private Sector ☐ Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others (plz. specify) ____________	
	3	Please tick, if applicable	Politically Exposed Person (PEP) ☐	Related to politically exposed person (RPEP) ☐
Any Other Information				

FOR BOTH

BANK DETAILS (Mandatory)

	Primary	Secondary, if any
Bank Account Type	☐ Savings ☐ Current ☐ Others, in case of NRI, NRE/NRO (Plz specify)	☐ Savings ☐ Current ☐ Others, in case of NRI, NRE/NRO (Plz specify)
Bank Account No.		
Bank Name		
Branch Address		
MICR Code		
IFSC Code		
UPI ID		
Proof Provided	☐ Yes ☐ No	☐ Yes ☐ No

PAST ACTIONS

Details of any actions/proceedings initiated / pending/taken by SEBI/Exchange/any other authority against the applicant/constituent or its Partners / Promoter s/Wholetime Directors / Authorised Persons in-charge of dealing in securities/ commodities during the last 3 years **(In case of any details, please provide a separate sheet)**	

FOR TRADING ACCOUNT

TRADING PREFERENCE

Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off.

	EXCHANGE			MCX
	ALL SEGMENT	CASH / MUTUAL FUND	F & O	COMMODITY DERIVATIVES
NSE				
BSE				DATE :

In case you do not wish to trade in any segments, please mention here

1. I/We are interested to trade into commodity options and hereby accord my/our consent to trading in commodity options.
2. I/We have gone through the additional risk disclosure document and have appraised myself/ourselves with the risk of trading in commodity options.
3. This consent is valid till I/we revoke the same. I/We understand that I/we have right lo withdraw the same at any point of time.

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 stock broker.

DP DETAILS

Sr.#	Particulars	Primary DP Details	Secondary DP Details
1	DP	☐ NSDL ☐ CDSL	☐ NSDL ☐ CDSL
2	DP Name		
3	DP ID	Provide Proof	Provide Proof
4	Beneficiary Name		
5	BO/Client ID		

DEALINGS THROUGH 'AP OF OTHER BROKER' AND OTHER STOCK BROKERS

If Client is dealing through the 'AP of other broker', provide the following details :

AP's Name			
Registration Number			
Registered Office Address			
Phone		Fax	
Website		E-mail	

WHETHER DEALING WITH ANY OTHER STOCK BROKER / AP OF OTHER BROKERS (IN CASE DEALING WITH MULTIPLE STOCK BROKER / AP OF OTHER BROKER, PROVIDE DETAILS OF ALL)

Stock Broker's Name			
AP's Name, if any			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/AP of other Brokers			

FOR BOTH DEMAT AND TRADING ACCOUNT

ADDITIONAL DETAILS

Whether you wish to receive physical contract notes/Documents or electronic contract notes (ECN)/Documents, please select	☐ Physical	☐ Electronic
If Electronic, please specify your E-mail ID		
Whether you wish to avail of the facility of Internet Trading / wireless technology, please tick	☐ Yes	☐ No
Number of years of Investment / Trading Experience		
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorised to deal in securities on behalf of company / firm / others : Fill in Annexure A		

INTRODUCER DETAILS

Introducer's Name	First Name	Middle Name	Surname
Introducer's Address			
Introducer's Status	☐ Remisier ☐ Authorised Person ☐ Existing Client ☐ Other (pls. specify)__________________		
Signature		Phone No.	

CLIENT CATEGORISATION

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

Commercial - ☐	**Non-Commercial -** ☐
Product type - ☐	Product type - ☐
Bullion - ☐	Bullion - ☐
Base Metals - ☐	Base Metals - ☐
Energy - ☐	Energy - ☐
Agri-Commodities - ☐	Agri-Commodities - ☐

1. COMMERCIAL: Commercial Client includes Value Chain / Physical market participant / exporter / importer / having direct / indirect Exposure to the underlying Commodity
2. NON-COMMERCIAL: Non Commercial Client includes Trader / Arbitrageur

MOST IMPORTANT TERMS AND CONDITIONS (MITC)

(For non-custodial settled trading accounts)

Name	

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 payin.
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 a similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Client Signature : ____

NOMINATION FORM FOR DEMAT / TRADING ACCOUNTS
(FOR INDIVIDUAL APPLYING SINGLY OR JOINTLY)

Annexure-A

Details of TM / DP : **VRIDHI CAPITAL & FINANCE PRIVATE LIMITED** Avani Signature, 91A/1, Park Street, 7th Floor, Kolkata-700016

Date	D	D	M	M	Y	Y	Y	Y	DP ID	1	2	1	0	4	0	0	0	Client ID								
									UCC																	

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *

Nomination Details

Nominee	Mandatory Details						Additional Details ****	
	Name of nominee	Share of nominee (%)**	Relation ship	Postal Address	Mobile number & E-mail	Identity Number ***	D.O.B. of nominee (dd-mm-yyyy)	Guardian
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								

1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the DP as follows; (please tick, as appropriate)

☐ Name of nominee(s) ☐ Nomination: Yes / No

2) I hereby authorize ____ (nominee number _____________________) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ___% of assets in the account or Rs. ______________________. **(Optional)** *(strike off portions that are not relevant) This nomination shall supersede any prior nomination made by me / us, if any.*

Signature of Sole / 1st Holder ______________________ Signature of 2nd Holder ______________________ Signature of 3rd Holder ______________________

3) Signature(s) – As per the mode of holding in demat account(s)

Name(s) of holder(s)		Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable) *
Sole / 1st Holder (Mr./Ms.)				
2nd Holder (Mr./Ms.)				
3rd Holder (Mr./Ms.)				

* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

*Joint Accounts:

Event	Transmission of Account
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – not having nominee	Legal heir(s) of the youngest holder

Notes:

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving License or Aadhaar (last 4 digits). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.

**** to be furnished only in following conditions / circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/0027, dated February 28, 2025
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgment from the DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account.
- In case all your nominees do not claim the assets from the DP, then the residual unclaimed asset shall continue to be with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account, in case of your physical incapacitation, at any point of time and not just during opening of account. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the demat account(s) i.e.
  - o 'Either or Survivor' Accounts - any one of the holder can sign
  - o 'First holder' Accounts - only First holder can sign
  - o 'Jointly' Accounts - all holders have to sign

Transmission aspects

- DPs shall transmit the account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the DP.

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% Share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % Share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

Declaration Form for Opting Out of Nomination

Details of TM / DP : To **VRIDHI CAPITAL & FINANCE PRIVATE LIMITED** Avani Signature, 91A/1, Park Street, 7th Floor Kolkata-700016	Date D D M M Y Y Y Y

UCC								
DP ID	**1**	**2**	**1**	**0**	**4**	**0**	**0**	**0**
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 MF Folio/ 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 MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account..

Name and Signature of Holder(s)*

Signature:	1. ______	2. ______	3. ______
Name:	1. ______	2. ______	3. ______

Witness	Witness
Signature: ______	Signature: ______
Name: ______	Name: ______
Address: ______	Address: ______
______	______

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

DECLARATION

1. I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and to 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.
2. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".
3. I/We confirm having read/been explained and understood the contents of the document on policy and procedures and tariff sheet of the stock broker.
4. I/We further confirm having received, read and understood the contents of the “Rights and Obligations” and “Risk Disclosure Documents.” I/We hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock broker’s designated website.
5. I also give my consent to download my KYC Records from the Central KYC Registry (CKYCR) /KYC Registration “Agency (KRA), only for the purpose of verification of my Identity and address from the data base of CKYCR Registry/“KRA. I understand that my KYC Record includes my KYC Records/Personal information such as my name, address, date of birth, PAN number etc.

	Sole Applicant / First Signatory / Guardian (in case sole holder is Minor)	Second Applicant / Signatory	Third Applicant / Signatory
Name			
Signature(s) of Holder(s) / Signatory(ies) (Plz use Black ink)	✔		

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.

Place ____________

Date ____________

Signature of Authorised Signatory **Seal / Stamp of VRIDHI CAPITAL & FINANCE PRIVATE LIMITED**

A) Refusal of Orders for Penny Stocks :

Penny stocks are thinly traded shares of small companies which are traded infrequently and having very low volume. Stock Exchange also, from time to time, releases a list of illiquid securities advising trading members to exercise additional due diligence while trading in these securities. These securities may also be called as "Penny Stock".

The Member reserves the right to refuse to take orders for such "Penny Stock".

B) Setting up Client's Exposure Limits :

The Member reserves the right to set, impose and vary limits on the orders that the client can place through the trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.) without prior notice. The order/ exposure limits may vary from time to time, client to client depending upon the margins, client, and financial status of the client as well as market condition.

C) Applicable brokerage rate

The brokerage rate applicable may vary from client to client depending on the category of the client i.e. HNI, Corporate or Retail and the risk /trading profile of the client. Brokerage rates may also differ for different securities and/or classes of securities and/or different type of trades and/or different trading segments for the same client.

The brokerage rate initially fixed for a new client may increase/decrease in course of time with the mutual consent.

Minimum Processing Charge will be levied where brokerage amount is less than Rs. 30 so as to make total of brokerage and Processing charges to be Rs. 30.

However the brokerage rate shall not exceed the maximum as specified by the Exchange/SEBI.

D) Imposition of penalty / delayed payment charges

The Member reserves the right to charge penalty/delayed payment charge to any client, at the rate not exceeding 24% p.a. to its clients for delayed/overdue payment, to discourage the client to do such acts.

E) The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues

The Member reserves the right to liquidate / close out all or any of the client's securities / positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation / closing out shall be charged to and borne by the client.

F) Shortages in obligations arising out of internal netting of trades :

If securities are not received in our Pool A/c from the selling client before the pay in date but there is no failure to meet securities obligations towards the Exchange, i.e., there is an instance of internal shortage, the following procedure will be adopted.

1. The selling client will be asked to deliver the shares to our pool a/c in the designated auction settlement before the settlement of the said clearing.
2. On failure to do so, there will be a buying-in of shares against the selling client through a "deemed auction" for the benefit of buying client. The buying-in shall be from the market and may be with or without the notice of the client having shortage.
3. If for any reason whatsoever the above mentioned couldn't be done then the position of both the clients would be squared off on the T+2 day by the Exchange's auction price for that particular security in that particular settlement. The netting off will be done on FIFO basis for internal shortages.

In absence of Exchange Auction price , the Closing price of the auction day i.e. (T+2) plus 5% will be considered in place of Exchange Auction Price

In case of security having corporate action, fair & equitable adjustment shall be made.

G) Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client:

The member reserves the right to refuse a client to take further position or close the existing position of the client. The conditions under which such actions may be taken by member include:

1) Client's margin not adequate vis a vis exposure of the client.
2) Sudden changes in margin requirement of Exchange
3) Reduction in value of margin of the client for reasons such as fall in the price of securities given as margin or increase in hair cut
4) Taking further position will violate any rules, regulations or by-laws of Exchange or SEBI. In case a position has already been inadvertently taken, the existing position may be closed.
5) Exiting position violates any rules, regulation or by-laws of Exchange or SEBI.
6) Member not having sufficient exposure limit for whatsoever reason
7) If the ledger of a client shows continuous debit balances and the dues are not settled by the client.

H) Temporarily suspending or closing a client's account at the client's request:

The account of the client shall be temporarily suspended or closed on receipt of written request

✔ ______________________________
Signature of Client

from the client specifying the reasons to close the account. The member on being satisfied with the reasons given, shall suspend or close the account of that client after effecting the settlement of the account.

Accounts suspended on client's request can be reactivated only after receiving a written request from the client.

I) Deregistration of a client:

The conditions under which the Member may deregister a client include:

1) On receipt of the specific request from the client to deregister himself and to close his accounts.
2) On account of death or insolvency of the client.
3) On account of breach of terms and conditions of the agreement by the client.
4) On account of any action taken by SEBI/ Exchange/ any other statutory authority against the client.

On the happening of the above, the account of a client is deregistered after effecting settlement of the accounts and securities of the client.

J) Inactive accounts:

The account of a client who do not trade for a single day for 24 months from all Exchanges shall be declared "inactive account" and will be temporarily suspended.

The Member reserves the right to ask for any documents in support of current address, bank account, demat account, financial status, etc. before reactivating such inactive accounts.

K) Policy on voluntary freezing/blocking the online access of the Trading Account

1. Background: SEBI vide circular no. SEBI/HO/MIRSD/POD-l/P/CIR/2024/4 dated January 12, 2024 and NSE Circular no NSE/INSP/61529 Dated April 08, 2024 regarding Framework for Trading Members to provide the facility of voluntary freezing/blocking of online access of the trading account to their clients.
2. In view of the above the company has framed the following policy for the clients using internet based trading/ mobile trading/ other online access for trading. At present, company will be providing the following method of communications through which the client may request for voluntary freezing/ blocking of the online access of trading account if any suspicious activity is observed: -

a) The client can call on 033-40801202 during the market, to place request for freezing their trading accounts. The calls to be received from the dedicated mobile/ landline no. of the respective client. To ensure proper authentication, the agent will verify the client's identity and may be requested for additional information.Once verified, we will freeze the trading account.

b) Any other legally verifiable mechanism: The client can access our website wherein client will be prompted to place the request for freezing of trading account using their registered mobile/e-mail with OTP authentication.

Request sent for such freezing/ blocking and rm-freezing/ un-blocking may not be addressed by the company if it is not sent from client's registered mobile number or sent to any other mobile number of the company.

3. The company shall take the following actions on the receipt of such request through any modes of communications for freezing/blocking of the online access of the trading account from the client:

- Verify whether request is received from the registered mobile number of the client;
- Freeze / block the online access of the client's trading account and simultaneously cancel all the pending orders, if any, of the said client.
- Issue the acknowledgement to the registered email ID or mobile number of the client stating that the online access to the trading account has been frozen / blocked and all the pending orders in the client's trading account, if any, have been cancelled.
- Details of open positions (if any) would also be communicated to registered email ID of the client along with contract expiry information within one hour from the freezing/blocking of the trading account.
- The timelines for freezing/ blocking of the online access of the clients' trading account is as under:

Scenario	Timelines for issuing acknowledgement as well as freezing / blocking of the online access of the trading account.
Request received during the trading hours and within 15 minutes before the start of trading hour.	Within 15 minutes of receiving the request.
Request received after the trading hours and 15 minutes before the closure of trading hour.	Before the start of next trading session

4. The company shall maintain the appropriate records/logs including request received to freeze/block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, and sent them to the clients for the time limit as prescribed by the Regulator.
5. Re-enabling the client for online access of the trading account: - The Trading Member shall re-enable the online access of trading account after carrying out necessary due diligence including validating the client request and unfreezing / unblocking the online access of the trading account.

Client Acceptance of Policies and Procedures stated herein above :

I/We confirm having read and understood the same.

✔

Signature of Client

Tariff Sheet (For Trading in Equity & Commodity Derivatives)

A. BROKERAGE*

Capital Market Segment

	NSE %	NSE Min. Paisa	BSE %	BSE Min. Paisa
Square up Brokerage (chargeable for each leg of transaction)				
Delivery Brokerage				

	Per lot	%	Min. Paisa
NSE-FO	#	%	.00 *
NSE-FO Option	#		*
BSE-FO	#	%	.00 *
BSE-FO Option	#		*

Brokerage Slab	Per lot	%	Min. Paisa
MCX	#	%	.00 *
MCX Options	#		*

*: Please don't mention any (%) or (.) mark here. It should be in terms of absolute paisa only.
: Please don't mention any (%) or (.) mark here. It should be in terms of Rs. per lot only.

LIST OF CHARGES ON ACTUAL BASIS

B. OTHER CHARGES

1. GST on Brokerage
2. GST on Turnover Charges
3. GST on Delay Payment Charges
4. Stamp Duty
5. SEBI Turnover Charges
6. Investor Protection Fund
7. Securities Transaction Charges
8. Investor Protection Fund (CDX only)
9. Minimum Processing Fees, in case of Brokerage being less than Rs. 30 in total Brokerage booked on a particular date

C. Additional charges of Rs. 100/- per PAN per KYC will be applicable as Processing Fees.

Signature of Client ✔______________________________ Date :_________________

* Brokerage as levied shall not exceed the maximum as prescribed in SEBI Guidlines.

ACKNOWLEDGMENT TO VRIDHI CAPITAL & FINANCE PVT LTD. FROM CLIENT

To
VRIDHI CAPITAL & FINANCE PRIVATE LIMITED
Avani Signature, 91A/1, Park Street, 7th Floor, Kolkata-700016

I / We hereby confirm that I / We have gone through all the relevant clauses at the time of execution of KYC and has sought the relevant clarification wherever required from the officials of VCFPL.

Moreover please arrange to provide the following documents in ☐ Electronic via E-mail ☐ Physical

Sl. No.	Brief Description of the Document	
1.	Right and Obligations of Stock Brokers, Sub-Brokers, Authorised Person and Clients	Client Copy
2.	Rights and Obligations of Beneficiary Owner and Depository Participant as prescribed by SEBI &Depository	
3.	Internet and Wireless technology based trading facility provided by Stock Brokers to Client.	
4	Risk and Disclosure document.	
5	Guidance note - Do's and Don't for trading on the Exchange(s) for Investors.	
6	Executed Copy of KYC	

For ____

Client Code : ____________________________________ Client's Signature ✔ ________________________________

(should be signed with Rubber Stamp, if applicable)

Note: The standard documents (Client Copy) are also available in vernacular language on our Website: www.vridhicap.com and can be downloaded at any point of time for reference.

FOR DEMAT ACCOUNT

Charges for Depository Services (Schedule 'A')

Schedule of charges forms an integral part of the DP - Client Agreement (Effective with 1st April, 2026)

Sr.#	Type of Charges	Scheme A ☐	Scheme B ☐	Scheme C ☐	Scheme D ☐
1	**Account Opening**	**NIL**			
2	**Annual Maintenance**	₹ 500/- P.A.	₹ 1500/- (for **LIFETIME**)	₹ 1000/-P.A. **(only for Corporate)**	₹ 2500/- for LIFETIME **(only for Corporate)**
		Scheme-A : ₹ **500**/- per year (Individual Clients) **Scheme-B :** ₹ **1500**/- **LIFETIME** (Individual Clients) **Scheme-C :** ₹ **1000**/- per year for Corporate **Scheme-D :** ₹ **2500**/- **LIFETIME** (Corporate Clients) ***For BSDA clients-** upto ₹**4 Lacs** - NIL AMC More than ₹**4 Lacs** but upto ₹**10 Lac** - ₹**100/-** More than ₹**10 Lacs :** General AMC Charges			
3	**Advance / Deposit**	AMC will be charged in advance			
4	**Transaction (Debit)**	Rs. **23/-** per ISIN for mkt. txn. **0.02%** (Min. Rs. **23/-**) for off mkt. **(for all schemes)**			
5	**Pledge Creation/Closure/Hypothecation**	₹ 35/- Flat for all Schemes			
6	**All kind of lending/borrowing request**	₹ 35/- Flat for all Schemes			
7	**Dematerialisation**	₹ 100/- per certificate + courier charges as per actuals			
8	**Rematerialisation**	₹ 100/- for every 100 securities or part thereof of Rs. 100 per certificate whichever is higher + Courier charges. **(For all Schemes)**			
9	**Easi Facility* / Easiest Facility****	**NIL**			
10	**Margin Pledge / Repledge / Closure / Invocation Charges**	₹ 20/- per instruction for all Schemes.			
11	**Other Charges**	₹ 25/- per modification in client details. DIS Book-Rs. 100, Cheque return charges- Rs.250 **(For all Schemes)**. ₹ 25 per physical statement Demat/Remat rejection charges Rs. 50/-			

NOTES

1. In case of delays in payment of charges, the demat account can be frozen for all operations till such time all dues are cleared.
2. **"All market instructions for transfer must be received latest by 4.00 p.m. on the previous working day prior to the pay-in day as per SEBI guidelines. All off market instructions for transfer must be received at least 24 hours before the execution date. Late instructions would be accepted at the Account Holder's sole risk and responsibility".**
3. Charges are subjected to revision at the company's sole discretion and as per revision in CDSL charges.
4. Any service not quoted above will be charged separately.
5. Value of transactions will be in accordance with rates provided by the depositary.
6. GST and other statutory charges, as applicable will also be levied.
7. Charges may also be collected upfront, by the point of acceptance of Delivery instructions.
8. Charges for DDPI stamping will be charged extra.

I/we have read and understood the "Schedule of Charges" prescribed above and agree to abide by the same.

UNIQUE CLIENT CODE	
DP ID - 12104000	

Signature of Account Holders:

I / We accept the above scheme	SCHEME A ☐	SCHEME B ☐	SCHEME C ☐	SCHEME D ☐

✔ Signature of Sole / 1st Holder	Signature of 2nd Holder	Signature of 3rd Holder

CLIENT COMMODITY-WISE CATEGORIZATION (Mandatory only for Commodity Clients)

To

VRIDHI CAPITAL & FINANCE PRIVATE LIMITED

Avani Signature, 91A/1, Park Street, 7th Floor, Kolkata-700016

I/We do hereby declare that my/our Commodity-wise categorisation as a participant is as follows:

Sr. No.	Symbol Description	*Farmer / EPOS	*Value Chian Participants (VCPs)	*Proprietary Trades	*Domestic Financial Institutional Investors	*Foreign Participants	*Others
1	ALUMINIUM						
2	BARLEY						
3	BRASS						
4	CARDAMOM						
5	CASTORSEED						
6	CHANA						
7	COPPER						
8	COPRA						
9	CORIANDER						
10	COTTON						
11	COTTONSEEDOIL CAKE						
12	CRUDE OIL						
13	CRUDE PALM OIL						
14	DIAMOND						
15	GOLD						
16	GUARGUM						
17	GUARSEED						
18	ISABGUL						
19	JEERA						
20	JUTE						
21	KAPAS						
22	LEAD						
23	MAIZEKHARIF						
24	MAIZERABI						
25	MENTHAOIL						
26	MOONG						
27	NATURALGAS						
28	NICKEL						
29	PADDY BASMATI						
30	PEPPER						
31	RAPE MUSTARSEED						
32	RBDPMOLEIN						
33	RUBBER						
34	SACK						
35	SILVER						
36	SOYABEAN						
37	SOYAOIL						
38	STEEL						
39	SUGAR						
40	TURMERIC						
41	WHEAT						
42	ZINC						

I/We also give any consent to upload the information to the respective commodity exchanges.

(1) Farmers/FPOs: It includes participants such as farmers, farmers' cooperatives, Famers Producers Organisations (FPOs) and such entities of like nature. **(2) Value chain participants (VCPs):** It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Produces, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs. **(3) Proprietary traders:** It includes the members of stock exchanges trading in their proprietary account. **(4) Domestic financial institutional investors:** It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives. **(5) Foreign participants:** It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets. **(6) Others:** All other participants which cannot be classified in the above categories.

Client's Signature

Declaration for Basic Services Demat Account (BSDA)

To,

VRIDHI CAPITAL & FINANCE PRIVATE LIMITED

DP ID :

Date:

With reference to my / our application for opening a depository account, I/ We request you to open my / our depository account as per the following details:

	Name	PAN									
Sole/First Holder											
Second Holder											
Third Holder											

I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA.

I/We are aware that if I/we are eligible to open a depository account as a BSDA, the account shall be opened as a BSDA.

I/We also understand that in case, I/We at any point of time do not meet the eligibility criteria as a BSDA holder, my I our demat account is liable to be converted to regular account.

I/We also state that if at any time choose to opt out of BSDA i.e. avail the facility of regular account the same will be communicated to the Participant from Sole / First Holder registered email ID.

✍ Signature of Sole / 1st Holder	Signature of 2nd Holder	Signature of 3rd Holder

OPTION FORM FOR ISSUE OF DIS BOOKLET

FOR DEMAT ACCOUNT

To,
VRIDHI CAPITAL & FINANCE PRIVATE LIMITED
Avani Signature,
91A/1, Park Street, 7th Floor, Kolkata-700016

Dear Sir / Madam,

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

☐ **OPTION 1:**

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

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	✔		

OR

☐ **OPTION 2:**

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

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	✔		

For CDSL	**SMS Alert Facility** (Refer to Terms & Conditions given as Annexure 2.4)	**Mobile No.** +91 ____________ [(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.)	
	Easi	To register for easi, please visit our website www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	

FATCA / CRS DECLARATION - INDIVIDUAL

NON-MANDATORY

Applicant Name ____

PART I - Please fill in the country for each of the following :

1. Country of :
   a) Birth ______________________ b) Citizenship______________________
   c) Residence for Tax Purposes ______________________
2. US Person* : Yes☐ No☐

PART II - Please note :

a. If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to Part III for signature.

b. If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent** as issued in the specific country in the table below :

   i) TIN______________________ Country of Issue______________________

   ii) TIN______________________ Country of Issue______________________

   iii) TIN______________________ Country of Issue______________________

a. In case any of the parameters in **Part I** indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in **Part IV**.

b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate

   ____

   Please also fill **Part IV** Self-Certification.

PART III - Customer Declaration (Applicable for all customers)

(i) Under penalty of perjury, I/we certify that :

   1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof.

      (This clause is applicable only if the account holder is identified as a US person)

   2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. (This clause is applicable only if the account holder Is a tax resident outside of India)

(ii) I/We understand that Vridhi Capital & Finance Private Limited (VCFPL) is relying on this information for determining the status of applicant named above in compliance with FATCA/CRS. Vridhi Capital & Finance Private Limited is not able to offer any tax adviceon CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iv) I/We agree that as may be required by domestic regulators/tax authorities VCFPL may also be required to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature :✔____

Date (DD/MM/YYYY) :______________________

PART IV - Self-Certification :

To be filled only if-

(a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or

(b) US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.

✔ ________________________________

Signature

Document Proof submitted (Please tick document being submitted)

☐ Passport ☐ Election Id Card ☐ PAN Card ☐ Driving License ☐ UIDAI Letter

☐ NREGA Job Card Govt. ☐ Issued ID Card

*** U.S. Person** means,

(a) an individual, being a citizen or resident of the United States of America;

(b) a partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;

(c) a trust if,-

(i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and

(ii) one or more U.S. persons have the authority to control all substantial decisions of the trust; or

(d) an estate of a decedent who was a citizen or resident of the United States of America;

**** Functional Equivalent of TIN**

Many countries do not issue TIN to their taxpayers. However, such countries issue some other high integrity number with an equivalent level of identification (a functional equivalent). Examples of such numbers are-

- Social Security Number
- National Insurance Number
- Citizen Or Personal Identification Code Or Number
- Resident Registration Number

FATCA / CRS DECLARATION - NON-INDIVIDUAL **NON-MANDATORY**

Applicant Name ____

PART I

A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange:
☐ Yes ☐No

If "No", then proceed to point B. If "yes" please specify name of stock exchange, if you are listed company ____ and proceed to sign the declaration.

B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India : ☐Yes ☐No
If "yes", then please fill of FATCA/ CRS Self certification Form. If "No", proceed to point C.

C. Is the account holder an Indian Financial Institution : Yes ☐ No ☐
If "yes", please provide your GIIN, if any ______________________. If "No", proceed to point D.

D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen : Yes ☐ No ☐
If "yes", (then please fill FATCA/ CRS self-certification form)). If "No", proceed to sign the declaration.

CUSTOMER DECLARATION

( ) Under penalty of perjury, I/we certify that :

1. The applicant is:
   (i) An applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S.,
   (ii) An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)
2. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
   (i) I/We understand that VCFPL is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. VCFPL is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
   (ii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
   (iii) I/We agree that as may be required by domestic regulators/tax authorities VCFPL may also be required to report, reportable details to CBDT or close or suspend my account.
   (iv) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Name of the Entity____

Signature 1 ✔_______________________________________ Signature 2___________________________________

Signature 3____________________________________ (As per MOP)

Date :___________________________

FATCA / CRS DECLARATION - NON-INDIVIDUAL

NON-MANDATORY

PART II

Self-Certification Form (Entity) for Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standards(CRS)

Section 1 : Entity information

Name of Entity____________________

Customer id (if existing) ____________________ Entity Constitution Type____________________

Entity Identification type : Tax Identification Number (TIN) US GIIN Company Identification Number Global Entity Identification Number (EIN) Other

Entity Identification No.____________________

Entity Identification issuing country____________________Country of Residence for tax purpose____________________

Section 2 : Classification of Non-Financial entities

I/We (on behalf of the entity) certify that the entity is:

a) An entity incorporated and taxable in US (Specified US person) : Yes No

If "Yes", please provide your U.S. Taxpayer Identification Number (TIN)____________________

b) An entity incorporated and taxable outside of India (other than US) : Yes No

If "Yes", please provide your TIN or its functional equivalent____________________

Provide your TIN issuing country ____________________

c) Please provide the following additional details if you are not a Specified US Person :

FATCA / CRS classification for Non-financial entities (NFFE)

☐ Active NFFE ☐ Passive NFFE without any controlling Person

☐ Passive NFFE with Controlling Person(s) : ☐ US ☐ Others

☐ Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus Vridhi Capital & Finance Pvt Ltd. is not required to do the reporting)

Please provide GIIN number :____________________

Section 3 : Classification of financial institutions (including Banks)

I/We (on behalf of the entity) certify that the entity is :

a. An entity is a U.S. financial institution : Yes No

If "Yes", (i) Please provide your Taxpayer Identification Number (TIN)

(ii) Please provide GIIN, if any ____________________

If "No", please tick one of the following boxes below :

FATCA classification	**Please provide the Global Intermediary Identification number (GIIN) or other information where**
☐ Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement ("IGA") Jurisdiction	____________________
☐ Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction	____________________
☐ Participating FFI in a Non-IGA Jurisdiction	____________________
☐ Non-reporting FI	____________________
☐ Non-Participating FI	____________________
☐ Owner-Documented FI with specified US owners	____________________

✔

Signature ____________________

Section 4 : Controlling person declaration

If you are classified as **"Passive NFFE with Controlling Person(s)"** or **"Owner documented FFI"** or **"Specified US person"**, please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing country	Controlling person type

Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification Type					
Identification Number					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

Section 5 : Declaration

(i) Under penalty of perjury, I/we certify that :

1. The number shown on this form is the correct taxpayer identification number of the applicant, and
2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or
3. The applicant Is an applicant taxable as a tax resident under the laws of country outside India.

(ii) I/We understand that VRIDHI CAPITAL & FINANCE PRIVATE LIMITED (VCFPL) is relying on this information for the purpose of determining the status of applicant named above in compliance with CRS/FATCA. cc is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.

(iv) I/ We agree as may be required by Regulatory authorities, VCFPL shall be required to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

I/We hereby confirm that details provided are accurate, correct and complete

✔ ____

Authorized Signatories and Company Seal (if applicable)

Name____Date (DD/MM/YYYY)____________________

Declaration Form of Ultimate Beneficial Ownership [UBO] / Controlling Persons

VOLUNTARY

(Mandatory for Non-individual Investors)

(To be provided on Letter Head)

I. Investor Details:

Name of the Client	

II. Category:

☐ Our company is a Listed Company listed / Subsidiary or Controlled by a Listed Company
[If this category is selected, no need to provide UBO details]

☐ Unlisted Company ☐ Partnership Firm / LLP ☐ Unincorporated Association / Body of Individuals

☐ Public Charitable Trust ☐ Private Trust ☐ Religious Trust

☐ Trust created by a Will ☐ HUF ☐ Others [please specify]____________________

UBO / Controlling Person(s) details

Sl. No.	Name of UBO	Country of Tax Residency	Taxpayer Identification Number /PAN / Equivalent ID Number	% of beneficial interest	Address, Address Type & Contact details (include city, Pincode,State, Country)	Gender (Male, Female)	PEP	Nationality	Occupation [Service, Business, Others]

Declaration

We acknowledge and confirm that the information provided above is true and correct to the best of our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, we are aware that we may liable for it. We hereby authorize Vridhi Capital & Finance Pvt Ltd (VCFPL) to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by us, including all changes, updates to such information as and when provided by us to any of the relevant Authorities or any Indian or foreign governmental or statutory or judicial authorities / agencies without any obligation of advising us of the same. Further, we authorize to share the given information to other SEBI Registered Intermediaries and/or any other regulated intermediaries registered with SEBI / RBI / IRDA to facilitate single submission / update & for other relevant purposes. We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

Client Signature ✔__________________

Date: ________________________________ Place: ________________________________

INSTRUCTIONS ON CONTROLLING PERSONS / ULTIMATE BENEFICIAL OWNER

As per SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/ UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

A. For Investors other than individuals or trusts:

(i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:

- more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
- more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

(ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.

(iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

C. Exemption in case of listed companies / foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.

VOLUNTARY

ECN MANDATE

MANDATE TO ISSUE CONTRACT NOTES, DAILY MARGIN STATEMENT AND QUARTERLY STATEMENT IN ELECTRONIC FORMAT

To

VRIDHI CAPITAL & FINANCE PRIVATE LIMITED

Avani Signature, 91A/1, Park Street, 7th Floor, Kolkata-700016 Date : ____________________

Dear Sir,

I/We hereby agree and consent to accept the contract notes, daily margin statement, Settlement details and the quarterly statements of funds and securities issued by you electronically in accordance with the terms and conditions specified herein below and the same shall be binding on me/us. This instruction to issue digital contract notes, daily margin statement, quarterly statements & statement pertaining to settlement of accounts is applicable with immediate effect.

The mandate is subject to terms and conditions mentioned herein below :

Yours faithfully,

✔ ____________________________

Client's Signature

E-mail Id:____________________________________

Client Name __________________________________

Mobile __________________________________

Terms and conditions :

Terms and conditions for availing the facility of the electronic Contract Notes, Daily statement pertaining to settlement & Quarterly statements digitally signed are as follows.

1. The Client will ensure availability of the above mentioned e-mail ID at all times.
2. Non-receipt of bounced e-mail notification by c can be safely taken of having been received.
3. The Client shall update for any change in e-mail ID through a duly executed physical letter.
5. Electronic Contract Notes, Daily margin statement & Quarterly statements will also be available on our Website.
6. Clients can view the electronic Contract Notes, Daily margin statement & Quarterly statements on URL by using the username & Password.
7. Electronic Contract Notes will be archived at an interval of 15 days. If the client intends to view the electronic Contract Notes for a period prior to 15 days, client may request for the same in writing.
8. In case of any failure in system or errors the same will be issued in physical form, which shall be binding on the client.
9. Mandate can be revoked at any time with the issuance of Physical Letter.

DECLARATION-CUM-AUTHORISATION LETTER

To

VRIDHI CAPITAL & FINANCE PRIVATE LIMITED

Avani Signature, 91A/1, Park Street, 7th Floor, Kolkata-700016

Sir,

1. I/We agree not to hold VCFPL liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion, earthquake, riots, war strikes, failure of systems, failure of internal links, government/regulatory actions or any other contingencies beyond your control.
2. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
3. All fines/penalties and charges levied upon VCFPL due to my acts/deeds or transactions may be recovered by VCFPL from my account.
4. Any queries related to my/our contract note shall be brought to the notice of VCFPL within 7 days of the receipt of the contract note.
5. I/We hereby authorize VCFPL not to provide me Order Confirmation /Modification/Cancellation slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We hereby request VCFPL to kindly accept my/our verbal orders/instructions over phone and execute the same. I/We understand the risk associated with placement of verbal orders and accept the same. In case I wish to withdraw this consent I shall inform VCFPL in writing and get the same acknowledged by VCFPL at least one week in advance from the date of withdrawal.
6. I/We will be extending all co-operation to VCFPL in their endeavor towards Anit Money Laundering. VCFPL may initiate any enquiry against me/us and/or my/our transactions any time without any legal implication whatsoever against them.
7. I/We understand the information about me/us and my/our transactions may be reported by VCFPL to FIU/concerned authorities without any intimation to me/us and have no objection to the same.
8. I/We undertake that if I/we fail to deliver any one or more securities to the pool account of VCFPL in respect of the securities sold be me/us before the pay-in date notified by the Exchange from time to time, such undischarged obligation in relation to delivering any one or more securities shall be deemed to have been closed out at the auction price or close-out price, as may be debited to VCFPL in respect of the security for the respective settlement, otherwise the close-out price on the date of pay-out in respect of the relevant securities, declared by the Exchange. The loss, if any, on account of the close-out shall be borne by me/us.
9. I agree to VCFPL tape-recording the conversation between my/us and VCFPL officers in its absolute discretion, whether personally or over the telephone. Such recordings may be relied upon in case of dispute.
10. I hereby authorize VCFPL to debit my account with depositary service charges, bank charges on account of dishonor of cheques, stop payment instruction charges, demand draft/pay order/PGP charges, NEFT/RTGS charges, call and trade charges, SMS charges, settlement/professional charges (for as may be applicable to NRIs), research service/message fees, trading platform charges, application money and processing charges for mutual funds, initial public offerings/follow on public offerings, right issue, fixed deposits(s), money market instruments etc. Generally various investment avenues / products, processing fess/charges towards contract note/statement of account etc. and any other such or similar fess / charges as may become applicable from time to time.
11. I/We hereby authorize VCFPL to retain the credit balance in my/our account for adjustment with the debit in subsequent Settlements.
12. I/We hereby authorize VCFPL to setoff outstanding in any of my/our account(s) against credits available or arising in any other account(s) maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of any Exchange and/or against the margins provided to you by me/us.
13. I/We hereby authorize VCFPL to release the payment partly of fully against the credit balance in my/our account

Client Signature ✔ ____________________________

on receiving any verbal or written instruction from me/us or any of the person authorized by me/us.

14. I/We hereby authorize VCFPL to retain the pay-out of the shares in your Demat account for our margin/future obligations at stock exchanges in any segment, unless you receive any verbal or written instruction from me/us to deliver the shares to my/our Depositary Account.
15. Following person(s) is/are authorized to transact on my/our behalf:

1. ______________________________ 2. ______________________________

3. ______________________________ 4. ______________________________

16. Following person(s) is/are authorized to receive Contract notes & Account statements on my/our behalf:

	Name	Signature
1.	______________________________	______________________________
2.	______________________________	______________________________

17. I/We hereby also acknowledge receipt of your information that you do Client based trading as well as Proprietary Trading. I/we hereby unconditionally and irrevocably undertake that all the transaction done through you in every market segments are my/our proprietary transaction.

Client Signature ✔ __________________________

DEPOSIT OF SECURITIES/FUNDS TOWARDS MARGIN

VOLUNTARY

To

Date :

VRIDHI CAPITAL & FINANCE PRIVATE LIMITED

Avani Signature, 91A/1, Park Street, 7th Floor, Kolkata-700016

Dear Sir,

I/We understand that the Member accepts deposit of securities towards “Margin” for the purpose of allowing additional exposure/turnover and this document has been signed by me/us voluntarily without any coercion or force.

In respect of the above margins, I/We also undertake and agree to the following:

1. I /We shall pay initial margin as specified by NSE/BSE/SEBI before placing any order. Vridhi Capital & Finance Pvt Ltd (VCFPL) will have all the rights not to execute the order if I/We fail to place the required initial margin with them
2. that the above margins are subject to the first and paramount lien for any sum due to VCFPL by me/us for the due fulfillment of my/our engagements, obligations and liabilities arising out of or relating or incidental to any bargains, dealings, transactions and contract made through or with you.
3. that VCFPL has a clear and undisputed right to dispose of the margin securities and adjust the proceeds or the cash margin provided towards overdue balances in my/our account, at my risk and cost, without any need for clearance or reference to me/us whatsoever
4. I/we shall when called upon to do so, provide additional margin money to VCFPL as required by them or Stock Exchange in respect of positions taken by me/us

Your Sincerely,

Client Signature ✔ __________________________

AUTHORITY LETTER FOR RUNNING ACCOUNT

VOLUNTARY

To
VRIDHI CAPITAL & FINANCE PRIVATE LIMITED
Avani Signature, 91A/1, Park Street, 7th Floor, Kolkata-700016

Date: ________________________

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain funds receivable by me/us until specifically requested by me/us to be settled.

2. I/We understand and agree that no interest will be payable to me/us on the amounts so retained with you.

3. I/We authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund which form part of margin.

4. I/We may revoke the authorization at any time by issuing a physical letter for the effect.

5. I/We also agree that the actual settlement of fund shall be done, at least once in a

   Tick your preference

90 days ☐	30 days ☐

6. There shall be no inter-client adjustment for the purpose of settlement of the 'running account'.

7. You may retain the requisite funds towards settlements as per the applicable norms as prescribed by SEBI/Exchange as and when updated.

8. I / We shall bring any dispute on the "Statement of Running Account" to your notice within 30 working days from the date of receipt of the same.

Client Signature ✔_________________________

LETTER FOR AUTHORITY TO TRADE

VOLUNTARY

To,

VRIDHI CAPITAL & FINANCE PRIVATE LIMITED
Avani Signature, 91A/1, Park Street, 7th Floor, Kolkata-700016

Sub: Authority to trade on my / our behalf.

Dear Sir / Madam,

I hereby authorise Mr/Ms. ____ having PAN ______________________

& Mobile No. ____ _____is my husband /wife /son / daughter / brother/sister/parents/other (Please Specify) to trade on my behalf and to perform all or any of the following acts, deeds and things for and on my /our behalf and in my /our interest.

I/we confirm that the aforementioned Authorised Person is well aware of risks associated with trading.

1. To operate the Account on my/our behalf.
2. To issue necessary instructions to you, for purchase, sale or transfer of shares and commodities from or to the Account as per Representative own judgment, and to sign necessary documents, wherever required effectuating such instructions of purchase, sale or transfer of securities and commodities from or to the Account.
3. To accept and give valid discharges for acceptance and submission of contract notes, bills, ledger statements, transaction statements and all correspondence on my behalf and report any discrepancy therein to VRIDHI CAPITAL & FINANCE PRIVATE LIMITED.
4. To receive & accept necessary telephonic calls pertaining to margin &/or trade confirmation or any other call including verification call from VRIDHI CAPITAL & FINANCE PRIVATE LIMITED. at designated mobile no. & undertake to update this contact detail in writing with VRIDHI CAPITAL & FINANCE PRIVATE LIMITED. in the event of any such change, taking place at any time in future.
5. I/we hereby agree and undertake that all such acts, deeds and things done by the Representative shall be deemed to be binding upon me/us as the same has been done by me/us only and I/we shall hereby ratify all and such acts, deeds, or things done by Representative in any manner whatsoever in discharge of the duties conferred upon him/her under the present instrument.
6. I/we hereby agree and acknowledge that this letter of Authority shall be effective and operational until VRIDHI CAPITAL & FINANCE PRIVATE LIMITED., received and acknowledged revocation letter at its registered office.

Name of the Client			
Signature of the Client		Trading Code	
DP ID	1 2 1 0 4 0 0 0	Client ID	
Signature of Authorised Person			

CONSENT LETTER FOR EMAIL AND MOBILE ALERT FACILITIES

VOLUNTARY

To,

VRIDHI CAPITAL & FINANCE PRIVATE LIMITED

Avani Signature, 91A/1, Park Street, 7th Floor, Kolkata-700016 Date :______________________

Sir,

This is with reference to my/our trading account opened with you; I/we request you arrange facility of receiving email and/or mobile alert facility issued by Exchange in compliance with regulation and guidelines issued by concern authorities from time to time.

Email Facility	Service Required - YES☐ NO☐							
Email ID								
Owned by - Name								
- PAN Number*								
Relationship with Client	Self		Spouse		Dependent Child		Dependent Parent	
Signature of the Client	✔							
SMS Facility	Service Required - YES☐ NO☐							
Mobile Number								
Owned by - Name								
- PAN Number								
Relationship with Client	Self		Spouse		Dependent Child		Dependent Parent	
Signature of the Client	✔							

* Please specify the Name and PAN detail in case email id and/or Mobile Number is other than that of the client.

In this regards we state the following :

1. This is to further confirm that it will be my/our responsibility that my/our Email ID and/or Mobile Number are active and the relevant Inbox is not full. Further, the trading member will not be held liable for the mails and / or SMS alert not received.
2. I/we undertake that any change in my/our Email ID and/or Mobile Number shall be communicated to you in writing through a physical letter.
3. I/we agree that this authority shall be valid, until it is revoked by me/us at any time by giving a written notice to VRIDHI CAPITAL & FINANCE PRIVATE LIMITED.

Client Signature ✔ ________________________

Annexure 2.4
TERMS AND CONDITIONS-CUM-REGISTRATION / MODIFICATION FORM FOR RECEIVING SMS ALERTS FROM CDSL
[SMS Alerts will be sent by CDSL to BOs for all debits]

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 I ndia under the Companies Act 1956 and having its registered office at 17th Floor, P. J.. Towers, Dalai 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 account holders 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.

Signature of Client

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. 1/ 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.

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

BOID	1	2	1	0	4	0	0	0									

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name :________________________________

Second Holder's Name :________________________________

Third Holder's Name :________________________________

Mobile Number on which messages are to be sent	+91										

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

The mobile number is registered in the name of:____________________________

Email ID:____

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

Signature

✔ __________________	✔ __________________	✔ __________________
Sole / First Holder	Second Holder	Third Holder

Place : ____________________ Date : ____________________

DO's and DON'Ts

Do's and Don'ts which are relevant for operation of Trading / Demat account with VCFPL

DO's

- Issue cheuqe(s) towards margin / pay-in obligation of funds only in the name of "Vridhi Capital & Finance Pvt Ltd" • Transfer securities against Pay-in obligations only in designated Demat Accounts of Vridhi Capital & Finance Pvt Ltd) • Any receivables from VCFPL on account Pay-out shall be from Bank / Demat Account from VCFPL only and not from sub- broker / Authorised Person /Advisor • Ensure that no separate fees, charges, commissions or any consideration is paid to Sub Broker / Authorised Person / Advisor; other than what is payable to VCFPL • Make payments of bills/ dues in time to avoid delayed payment burden or Risk Management actions • Check ledger, derivative position, demat statement and your account details at regular intervals • Ensure that all your trades and Investments are executed under your instructions. Ensure that the digital contracts notes sent to your email are in concurrence with the said orders • Any change / modifications in your contact details should be immediately updated with VCFPL • Ensure to read all the tariff / brokerage applicable to you, before placing your orders with VCFPL.

DON'TS

- Do not give any discretionary rights to your advisor / Relationship Manager / Sub Broker /Authorized Person to trade in your account • As there are no fixed or guaranteed returns on investments in securities market, do not rely on any such commitments if any given by Sub Broker /Authorised Person /Advisor • Never handover blank or signed Demat slips book to anyone it is akin to signing a blank cheque • Do not give cash / securities to your Advisor / Relationship Manager / Sub Broker /Authorized Person for any transaction • Never give a third party cheque for funds pay-in or shares for shares pay-in • Do not enter into any personal agreement with Sub Broker / Authorised Person / Advisor in connection with your transaction in trading / demat account opened with VCFPL.

(Above Do's and Don't's are in addition to Guidance Note prescribed by SEBI)

Client Signature ✔ ____________________________

DECLARATION ON OPEN INTEREST POSITION

(Mandatory if client wants to trade in MCX opt for IBT)

To,

VRIDHI CAPITAL & FINANCE PRIVATE LIMITED

Avani Signature, 91A/1, Park Street, 7th Floor, Kolkata-700016

Dear Sir,

Subject : My/Our request for trading in commodity contracts/commodity derivatives on MCX of your client

I/We, the undersigned, have taken cognizance of Circular issued by SEBI or MCX from time to time and on the guidelines provided by the respective exchange for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by respective exchanges or Securities and Exchange Board of India and such position limits will be calculated in accordance with the circulars of MCX as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/ Trusts in which I or any of above such person is a partner/director/karta/ trustee, takes or holds any position in any commodity forward contract/commodity derivative on respective exchanges through you or through any other member(s) of respective exchanges, to enable you to restrict our position limit as prescribed by the above referred circulars of respective exchanges as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity contracts/commodity derivatives for me/us as your clients on respective exchanges only on the basis of our above assurances and undertaking.

Yours faithfully,

For ____________________________

Signature ✔______________________________

(In case of Non-Individual client, the same to be signed by the Authorised signatory with Company Seal)

Note :- Futures & Options in commodities will be on the underlying commodity or Index

QUESTIONNAIRE TOWARDS RISK PROFILING OF CLIENTS

IDENTIFYING YOUR INVESTMENT RISK (From Investment Trading Perspective)

1 Familiarity with the Investment

(Tick the applicable)

☐ Not familiar at all ☐ Somewhat familiar ☐ Fairly familiar ☐ Very familiar

2 Investment Longevity

(Tick the applicable)

☐ Less than 1 year ☐ Within 1-3 years ☐ Within 3-5 years ☐ More than 5 years

3 Approximate percentage of your currently held asset in investment products

(Tick the applicable)

☐ Above 75% ☐ Between 50% to 75% ☐ Between 10% to 25% ☐ Less than 10%

4 Your experience in Stock Market

(Tick the applicable)

☐ Highly Experienced ☐ Very Experienced ☐ No Experienced

5 Legal Actions

(Tick the applicable)

☐ Yes Rs. ____________________ (Amount involved) ☐ No

6 Quantum of bearable loss

(Tick the applicable)

☐ Minimal amount of Capital loss ☐ Moderate Capital Loss ☐ High Capital Loss

7 Source of deployment of funds, whether borrowed

(Tick the applicable)

☐ Yes Name of the lender: ______________________ and amount borrowed Rs.________________ ☐ No

ADDITIONAL INFORMATION

1 Details of the family member / group Companies being the promoter of the listed Company

(Tick the applicable)

☐ Yes Name of the listed Company ____ ☐ No

2 Details of the family member / group Companies registered with SEBI

(Tick the applicable)

☐ Yes Mention details ____ ☐ No

3 Details of the family members / relatives having trading account with VCFPL

(Tick the applicable)

☐ Yes Client Code _______________________ Name ______________________________________ ☐ No

Additional Comments (to be filled by Client)

(Please write down any additional comments you may have relevant to determining your Risk Profile

____

____

Client Signature ✔ ______________________

CERTIFIED TRUE COPY OF RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF

M/s. .... HAVING ITS REGISTERED OFFICE

AT...

HELD ON.......................... DAY......................OF .... 20...... AT ....

RESOLVED THAT, a Demat and Trading account of the company be opened with **VRIDHI CAPITAL & FINANCE PRIVATE LIMITED** who is member of National Stock Exchange of India Ltd. (NSE) and Bombay Stock Exchange Ltd.(BSE) for the purpose of dealing in Capital Market Segment, Future & Options Segment, Currency Derivatives Segment or any other segment and the said Member be and is hereby authorized to honor instruction oral or written, given on behalf of the company by any of the undernoted authorized signatories:

Sr. No.	Name	Designation	Specimen Signature
1.			
2.			
3.			

who is/are singly authorized to sell, purchase, transfer, endorse, negotiable documents and/or otherwise deal through **VRIDHI CAPITAL & FINANCE PRIVATE LIMITED** on behalf of the Company.

RESOLVED FURTHER THAT aforesaid signatory(ies) of the Company be and is/are hereby singly authorized to sign, execute and submit such applications, undertakings, agreements, Demat Debit and Pledge Instruction and other requisite documents, writing and deeds as may be deemed necessary or expedient to open and operate the aforesaid account and give effect to the above resolution.

And RESOLVED FURTHER THAT, the common seal of the Company be affixed, wherever necessary, in the presence of any Director of the Company, who shall sign the same in token of their presence.

For ....

- **The Background**

  The Prevention of Money-Laundering Act, 2002 (as amended) was notified on July 1, 2005. Subsequent to this, the Securities and Exchange Board of India (SEBI) has, on 18th January 2006, required market intermediaries to adopt a policy framework with respect to anti-money laundering measures to be followed by the intermediaries. Vridhi Capital & Finance Private Limited (VCFPL) is inter alia, a stock broker and a depository participant needs to adhere to the same.

- **The Objective**

  (a) Money laundering has now become one of the major concerns of international financial community. Money Laundering is not just an attempt to disguise money derived from illegal activities. Rather, money laundering is involvement in any transaction or series of transactions that seek to conceal or disguise the nature or source of proceeds derived from illegal activities, including drug trafficking, terrorism, organized crime, fraud and many other crimes.

  (b) Know Your Customer (KYC) is the guiding principle behind the Anti-Money Laundering (AML) measures. It incorporates the "Know Your Customer" Standards & "Anti Money Laundering" Measures, hereinafter to be referred as "KYC Standards" and "AML Measures". The objective of is to have in place adequate policies, practices and procedures that promote high ethical and professional standards and prevent Vridhi Capital & Finance Private Limited from being used, intentionally or unintentionally, by criminal elements

  (c) KYC Standards and AML Measures would enable Vridhi Capital & Finance Private Limited to know/understand its customers, the beneficial owners in case of non-individual entities, the principals behind customers who are acting as agents and their financial dealings better which in turn will help the Company to manage its risks prudently.

- **Mandate issued by SEBI**

  SEBI has mandated that KYC policy should be designed to combat Money Laundering which covers Customer acceptance policy and customer due diligence measures, including requirements for proper identification of the customers. In view thereof, Vridhi Capital & Finance Private Limited has framed comprehensive KYC and AML policy.

  (a) No account should be opened in anonymous or fictitious/benami name(s) i.e. to say that anonymous or fictitious/benami customers shall not be accepted.

  (b) No account should be opened or transactions conducted in the name of or on behalf of banned/suspended individuals, organisations, entities, etc. For the purpose, necessary cross checks must be made to ensure that the identity of a customer does not match with any person with known criminal background or with banned/ suspended entities. In case of requirement, clarification would be sought from the prospective / registered client.

  (c) No account should be opened if appropriate due diligence measures cannot be applied to a customer for want of verifiable documents on account of non co-operation of the customer or non-reliability of the data/information furnished to VCFPL.

- **Customer Identification procedure**

  Customer identification for each customer, whether existing, new, regular or occasional is an essential element of an effective customer due diligence programme.

  The same includes "profiling of Customer", and solicitation of their "Identification", "Signature", "Address" and "income" documentation.

  Clients need to provide documents as required in the account opening document and required under SEBI and PMLA regulations.

  Clients need to also provide details of their Income/Net worth in order to ascertain their financial profile.

  Clients are expected to update the same frequently and at least on annual basis.

CKYC DOWNLOAD CONSENT FORM

NON-MANDATORY

Date	D	D	M	M	Y	Y	Y	Y	DP ID									Client ID								
									UCC																	

Dear Sir/Madam

I, ____

S/o / D/o / W/o __________________________________,
give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records /Personal information such as my name, address, date of birth, PAN number etc.

Signature of Sole / First Holder / Signatory : ______________________________

Dear Sir/Madam

I, ____

S/o / D/o / W/o __________________________________,
give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records /Personal information such as my name, address, date of birth, PAN number etc.

Signature of Second Holder / Signatory : ______________________________

Dear Sir/Madam

I, ____

S/o / D/o / W/o __________________________________,
give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records /Personal information such as my name, address, date of birth, PAN number etc.

Signature of Third Holder / Signatory : ______________________________

INTERNET & WIRELESS TECHNOLOGY BASED TRADING LETTER

VOLUNTARY

To

VRIDHI CAPITAL & FINANCE PRIVATE LIMITED

Avani Signature, 91A/1, Park Street, 7th Floor, Kolkata-700016

Sub :- Internet Trading

I/We wish to trade through internet in various segments as opted by me/us of NSE/BSE and confirm that I am / we are fully aware of and understands the risk associated with availing of a service of routing orders through internet including the risk of misuse and unauthorized use of my/our Username and/or Password by a third party and the risk of a person hacking into our account on your ITORS system and unauthorized routing order on behalf of us through the system. I/we agree that we shall be fully liable and responsible for any and all unauthorized use and misuse of my/our Password and /or Username and also for any and all acts done by any person through your ITORS system on our Username in any manner whatsoever.

I/We hereby confirm you to send our Username and Password on the below mentioned e-mail address.

Email Address : ____

The non-receipt of bounced email notification by you shall not be construed as a ground for dispute in the future.

Thanks and best regards,

Applicant's Name			
Applicant's Address			
Applicant's Signature	✔		
Mobile No.		Telephone No.	
Place		Date	

Declaration for Authorization for trading on Online and Offline Mode

VOLUNTARY

To

VRIDHI CAPITAL & FINANCE PRIVATE LIMITED

Avani Signature, 91A/1, Park Street, 7th Floor, Kolkata-700016

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to kindly allow me/us to trade on both online and offline mode
2. I/we can trade online on internet as well as mobile device and can trade offline on the dealer's terminal of my/our Sub Broker/Authorized Person/Trading Member terminal
3. I/We completely understand that I/we shall be solely responsible for the rewards, risks or liabilities arising out of my/our trades that I/we place either on the online/offline mode as described above
4. I/we may revoke the authorization at any time by issuing a physical letter for the effect.

Thanking You,

Yours truly,

✔ ____________________

Signature of the client

Name:

Client Code:

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
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 regional 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.

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 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/ Unique Identification Number (UID) (Aadhaar).
2. Utility bills like Telephone Bill (only land line) / Postpaid Mobile Bill for CKYC, , Electricity bill or Gas bill **-** Not more than 3 months old/2 months old for CKYC.
3. Bank Account Statement/Passbook — Not more than 3 months old.#
4. Self-declaration by High Court and Supreme Court Judges, giving a 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/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 apositled 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/CLARIFICATION 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, FVCs, 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.

F. IN CASE OF NON-INDIVIDUALS, ADDITIONAL DOCUMENTS TO BE OBTAINED FROM NON-INDIVIDUALS, OVER & ABOVE THE POI & POA, AS MENTIONED BELOW:

CORPORATE

- Copy of the balance sheets for the last 2 financial years or for the relevant applicable period (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

- Copy of the balance sheets for the last 2 financial years or as applicable (to be submitted every year).
- Certificate of registration (for registered partnership firms only).
- Copy of partnership deed.
- Authorised signatories list with specimen signatures.
- Photograph, POI, POA, PAN of Partners.

TRUST

- Copy of the balance sheets for the last 2 financial years or as applicable (to be submitted every year).
- Certificate of registration (for registered trust only).
- Copy of Trust deed.
- List of trustees certified by managing trustees/CA.
- Photograph, POI, POA, PAN of Trustees.

HUF

- PAN of HUF.
- Deed of declaration of HUF/ List of coparceners.
- Bank pass-book/bank statement in the name of HUF.
- Photograph, POI, POA, PAN of Karta.

UNINCORPORATED ASSOCIATION OR A BODY OF INDIVIDUAL

- Proof of Existence / Constitution document
- Resolution of the managing body & Power of Attorney granted to transact business on its behalf.
- Authorised signatories list with specimen signatures.

BANK / INSTITUTIONAL INVESTORS

- Copy of the constitution / registration or annual report / balance sheet for last 2 Financial years
- Authorised signatories list specimen signatures

FOREIGN INSTITUTIONAL INVESTORS (FII)

- Copy of SEBI registration certificate
- Authorised signatories list with specimen signatures

ARMY/GOVERNMENT BODIES

- Self-certification on letterhead.
- Authorized signatories list with specimen signatures.

REGISTERED SOCIETY

- Copy of Registration Certificate under Societies Registration Act.
- List of Managing Committee members.
- Committee resolution for persons authorised to act as authorised signatories with specimen signatures.
- True copy of Society Rules and Bye Laws certified by the Chairman / Secretary.

Not applicable for CKYC