



SHREE BAHUBALI STOCK BROKING LTD

NSE • BSE • MCX • MSEI | NSDL • CDSL



REGISTRATION KIT

DOCUMENTS CHECKLIST

INDIVIDUALS

1. Photograph
2. PAN
3. Aadhar
4. Proof of Permanent Address
5. Correspondence Address
6. Bank Proof with MICR Code (cancelled Cheque)
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. Cheque for DP AMC (as per the scheme opted)

NRI

1. Photograph
2. PAN
3. Aadhar (if available)
4. Proof of Foreign Address
5. Proof of Local Address
6. Additional Documents
 - a. Passport with visa copy/PIO Card/OCI Card
 - b. PIS Declaration Copy
 - c. In case of Merchant Navy NRIs, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate)
7. Bank Proof with MICR Code (Cancelled Cheque)
8. Demat Proof (required if opening only a trading account)
9. Income Proof (for trading in derivatives segments)
10. Cheque for DP AMC (as per the scheme opted)

HUF

1. Photograph of Karta
2. PAN -
 - a. HUF
 - b. Karta
3. Proof of Address -
 - a. HUF
 - b. Karta
4. Aadhar of Karta*
5. Deed of Declaration of HUF/List of coparceners
6. Bank Proof with MICR Code of the HUF (cancelled Cheque)
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. Cheque for DP AMC (as per the scheme opted)
10. UBO Declaration

CORPORATE

1. Photograph
 - a. Whole time directors/two directors in charge of day to day operations
 - b. Individual promoters holding control – either directly or indirectly
2. Proof of Address
 - a. Whole time directors/two directors in charge of day to day operations
 - b. Individual promoters holding control – either directly or indirectly
 - c. Applicant

3. PAN –
 - a. of Company
 - b. Whole time directors/two directors in charge of day to day operations
 - c. Individual promoters holding control – either directly or indirectly
4. Aadhar of person holding attorney to transact on company's behalf*
5. DIN Number
 - a. Whole time directors/two directors in charge of day to day operations
6. Bank Proof with MICR Code (cancelled Cheque) with Bank Statement
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. Balance Sheet and Profit & Loss account with net-worth information for last two years or for applicable period.
10. Share Holding Pattern (as of last quarter or more recent)
11. Memorandum and Articles of Association and certificate of incorporation
12. Board Resolution
13. Form 32 / DIR 12 with Challan
14. List of Directors
15. Authorized signatories List
16. UBO Declaration
17. Cheque for DP AMC (as per the scheme opted)

PARTNERSHIP FIRM

1. Photograph of all the Partners
2. PAN -
 - a. Partnership Firm
 - b. All the Partners
3. Proof of Address -
 - a. Partnership Firm
 - b. All the Partners
4. Aadhaar of person holding attorney to transact on Firm's behalf*
5. Balance Sheet and Profit & Loss account for last two years or for applicable period.
6. Copy of Partnership Deed
7. Certificate of Registration (for registered Partnership Firms only)
8. Authorized Signatories list with specimen signatures
9. Bank Proof with MICR Code (cancelled Cheque)
10. Demat Proof (required if opening only a trading account)
11. Income Proof (for trading in derivatives segments)
12. UBO Declaration
13. Cheque for DP AMC (as per the scheme opted)
14. Declaration as per format

LIMITED LIABILITY PARTNERSHIP (LLP)

1. Photograph of all the Partners
2. PAN -
 - a. LLP
 - b. All the Partners
3. Proof of Address -
 - a. LLP
 - b. All the Partners

4. Aadhaar of person holding attorney to transact on firm's behalf*
5. Balance Sheet and Profit & Loss account for last two years or for applicable period
6. Net-worth certificate (certified by a CA)
7. Copy of Partnership Deed
8. Certificate of Registration
9. Authorized Signatories list with specimen signatures (as per our format)
10. Bank Proof with MICR Code (cancelled Cheque)
11. Demat Proof (required if opening only a trading account)
12. Income Proof (for trading in derivatives segments)
13. UBO Declaration
14. Cheque for DP AMC (as per the scheme opted)
15. Declaration as per format

TRUST

1. Photograph of all the signatories
2. PAN -
 - a. Trust
 - b. All the signatories
3. Proof of Address
 - a. Trust
 - b. All the signatories
4. Aadhaar of person holding attorney to transact on Trust's behalf*
4. Balance Sheet and Profit & Loss account for last two years of for applicable period.
5. Copy of Trust Deed
6. Certificate of Registration (for registered trusts only)
7. List of Trustees certified by Managing Trustees/CA
8. Bank Proof with MICR Code (cancelled Cheque)
9. Demat Proof (required if opening only a trading account)
10. Income Proof (for trading in derivatives segments)
11. UBO Declaration
12. Cheque for DP AMC (as per the scheme opted)

FOREIGN INSTITUTIONAL INVESTORS (FIIS)

1. Photograph of all the signatories
2. PAN
 - a. Bank/Institutional Investors
 - b. All the Signatories
3. Proof of Address
4. Copy of the SEBI registration certificate
5. Authorized Signatories list with specimen signatures
6. Bank Proof with MICR Code (cancelled Cheque)
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. UBO Declaration
10. Cheque for DP AMC (as per the scheme opted)



SHREE BAHUBALI STOCK BROKING LTD

CIN : U17125WB1994PLC210459

REGISTRATION KIT
Trading and Demat

Registered Office & Corporate Office	12, India Exchange Place, Jute House, 3rd Floor, Kolkata-700001 Phone: 8069209500 E-mail: backoffice@bahubali.in Website: www.bahubali.in
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Members	National Stock Exchange of India Ltd. (NSE) (07818) BSE Ltd. (BSE) (914) Metropolitan Stock Exchange of India Limited (MSE) (45500) Multi Commodity Exchange of India Ltd. (MCX) (56490)
Depository Participant	Central Depository Services India Ltd. (CDSL) National Securities Depository Ltd. (NSDL)

SEBI Registration No.	INZ000103838
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Depository	Registration No.
NSDL	IN-DP-NSDL-80-99
CDSL	IN-DP-CDSL-632-2011

Managing Director	Mr. SURENDRA KUMAR JAIN Tel: 8069209500 Email: backoffice@bahubali.in
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Compliance Officers (Trading & DP)	Mr. AMIT KUMAR JAIN Tel. : 8069209500 E-mail ID : compliance@bahubali.in
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Membership Details

Exchange	Segment	TM Code
NSE	CM / F&O / CDS	07818
	SLBM / MFSS / IPO	
	COMMODITY	
BSE	CM / FO / CDS / MFSS / IPO	914
	COMMODITY	
MCX	COMMODITY	56490

For any grievance / dispute please contact at the above address or mail at:- ig@bahubali.in (for Tradings & DP) or call us at Phone: 8069209500

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 (NSE) , Phone : 022-26598190 • Email : ignse@nse.co.in
	BSE Limited (BSE) , Phone : 022-22728097 • Email : is@bseindia.com
	Metropolitan Stock Exchange of India Limited (MSE) Phone: 022-61129000, EXT 9028 • Email : investorscomplaints@mse.in
	Multi Commodity Exchange of India Ltd. (MCX) , Phone: 022-67318888, 66494000 • E-mail: grievance@mcxindia.com
	Central Depository Services India Limited (CDSL) , Toll Free no. : 1800-200-5533 • Email : complaints@cdslindia.com
	National Securities Depository Limited (NSDL) , Phone : 022-24994200 • Email : relations@nsdl.co.in

You may also lodge your grievances with SEBI at <http://scores.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 complaint 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.gov.in/scores/Welcome.html> and the FAQs available thereon.

DISCLOSURE INFORMATION OF PROPRIETARY TRADING

To increase transparency in the dealings between us as a Trading Member and you as a Client we do hereby disclose that apart from Client Based Trading, we also do Proprietary Based Trading (self account) in ALL SEGMENTS of ALL EXCHANGES in which we are members. You are requested to please take a note of the same.

DISCLOSURE INFORMATION OF INTER-SETTLEMENT OF SECURITIES

Clients are advised not to sell shares unless lying in Demat Account. However, Inter-Settlement of Securities will be provided to the client on request.

SBSBL will debit appropriate charges from the client account for this service.

SBSBL will be not responsible/liable for any profit/loss incurred/sustained by the Client for mistake/failure of whom so ever for Inter-Settlement of Securities.



REGISTRATION KIT - INDEX

This KIT is valid for opening Trading Account and Demat Account with SHREE BAHUBALI STOCK BROKING LTD
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.

Sl.	Name of the Document	Brief Significance of the Document	Pg No.
MANDATORY DOCUMENTS			
1	CKYC-Form (Individual)	Central Know Your Customer or c KYC is a centralized depository of KYC records of customers engaged in various financial market segments.	1-2
2	CKYC-Form (Non Individual)	Central Know Your Customer or c KYC is a centralized depository of KYC records of customers engaged in various financial market segments.	3-6
3	Know Your Client Form (Non-Individual)	KYC Form captures the basic information about the Client (Trading & Demat)	7-8
4	Additional KYC Form	Additional KYC related details for Trading & Demat Account (Both Individual & Non Individual)	9-16
5	Policies & Procedures	Document describing significant policies and procedures of member with respect to dealing with clients	17-19
6	Tariff Sheet (Trading & Demat)	Document detailing the rate / amount of brokerage & other charges	20-21
7	Client Commodity-wise Categorization	Document giving consent to upload the information to the respective commodity exchanges	22

Voluntary Documents as provided by SHREE BAHUBALI STOCK BROKING LTD			
8	Issue of DIS Booklet	Option Form for Issue of DIS Booklet	23
9	FATCA / CRS-Individual	Declaration pertaining to foreign tax liability	24-25
10	FATCA / CRS-Non-Individual	Declaration pertaining to foreign tax liability	26-28
11	UBO / Controlling Persons Declaration	Declaration Form of Ultimate Beneficial Ownership [UBO] / Controlling Persons. (Non Individual only)	29
12	Consent Letter For Email And Mobile Alert Facilities	It contains the authorisation by client to communicate through Email and Mobile	30
13	ECN Mandate (Electronic Format)	It contains authority given to the member towards providing various statements in electronic format	31
14	Declaration / Authorisation	Declaration for smooth operation & adherence of compliance	32-33
15	Declaration	Declaration on Open Interest	33
16	Authority Letter for Running Account	It contains the authorisation by the client to the member to maintain running account of funds/securities	34
17	Deposit Of Securities/ funds Towards Margin	Declaration pursuant to margin deposit in terms of funds/securities	35
18	DOs & DON'Ts	It contains the Do's and Don'ts which are relevant for operation of Trading / Demat account	35
19	Questionnaire	It contains the Common Questions towards Risk Profiling of Clients	36
20	Internet Trading Declaration	It contains authorisation by the client to be provided trading facility in internet	37
21	Trading on Online and Offline Mode	It contains relevant authorisation by the client to trade in both online and offline mode	37
22	Terms And Conditions for SMS Alerts from CDSL	It contains the total documentation for receiving alert from CDSL	38-40
23	Instruction / Checklist	This section gives an illustrative list of instructions / Check list for filling KYC Form	41-42

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.

[Signature / Thumb Impression]

Date : ----- Place :

 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 -----
 Emp. Name
 Emp. Code
 Emp. Designation
 Emp. Branch

IN PERSON VERIFICATION (IPV) CARRIED OUT BY

Date -----
 Name
 Code
 Designation
 Name of the Organisation **SHREE BAHUBALI STOCK BROKING LTD.**
 [Signature]

INSTITUTION DETAILS

Name **SHREE BAHUBALI STOCK BROKING LTD.**
 Code **I N 1 1 1 4**
 [Institution Stamp]

[Employee Signature]

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

A Clarification / Guidelines on filling 'Personal Details' section

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

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

- In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
- PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 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.
- 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.
- 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.

- 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.
- "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.
- 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- REs may use the Self Declaration check box where Aadhar 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.

C Clarification / Guidelines on filling 'Contact details' section

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

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

- Provide KYC number of related person, if available.

E Clarification on Minor

- Guardian details are optional for minors above 10 years of age for opening of bank account only
- 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.

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 Registry through SMS/Email on the above registered number/ email address.

[Signature / Thumb Impression]

Date : - -

Place :

 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 - -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name SHREE BAHUBALI STOCK BROKING LTD.

Code I N 1 1 1 4

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

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

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

- 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.
- Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- '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.
- 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 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

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

D Clarification / Guidelines for filling 'Contact Details' section

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

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

- 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.
- Proof of Address [PoA]
 - PoA to be submitted only if the submitted Pol does not have an address or address as per Pol 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.
- If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- 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 'v' 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 'v' in the box available before the section number and strike off the sections not required to be updated.

For office use only Application Type* [] New [] Update [] Delete
(To be filled by financial institution) 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 available 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)

[] Name* (Same as ID proof) Prefix First Name Middle Name Last Name
Maiden Name
Father / Spouse Name
Mother Name
Date of Birth* DD - MM - YYYY
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 [] PHOTO*
[] 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 Authentication
III. [] Offline verification of Aadhar

Address
Line 1*
Line 2
Line 3
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 Authentication
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 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 Registry through SMS/Email on the above registered number/ email address.

[Signature / Thumb Impression]

Date : - - 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 - -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **SHREE BAHUBALI STOCK BROKING LTD.**

Code **I N 1 1 1 4**

[Institution 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	<input type="checkbox"/>																		
5	Status (Please tick any one)	<input type="checkbox"/> Pvt. Ltd. Co.	<input type="checkbox"/> Public Ltd. Co.	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Partnership	<input type="checkbox"/> Charities	<input type="checkbox"/> Bank	<input type="checkbox"/> Society	<input type="checkbox"/> Trust	<input type="checkbox"/> Defense Establishment	<input type="checkbox"/> Others	<input type="checkbox"/> FII	<input type="checkbox"/> HUF	<input type="checkbox"/> AOP	<input type="checkbox"/> Non Govt. Organisation	<input type="checkbox"/> BOI	<input type="checkbox"/> LLP	<input type="checkbox"/> FI	<input type="checkbox"/> Government Body	<i>(Please specify)</i>

B. ADDRESS DETAILS

1	Correspondence Address															
		City/Town/Village						PIN Code	D	D	M	M	Y	Y	Y	Y
		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 <i>(if different from above.)</i>															
		City/Town/Village						PIN Code	D	D	M	M	Y	Y	Y	Y
		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
-------	--	------------------------	------	---	---	---	---	---	---	---	---

Shree Bahubali Stock Broking Ltd

FOR OFFICE USE ONLY

	Documents verified with Originals by	Client interviewed by	In-Person Verification done by																					
Staff Name/ AP																								
Designation/ Reg. Code																								
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
<input type="checkbox"/> (Original verified) Self Certified Documents copies received		<input type="checkbox"/> (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 <input type="checkbox"/> Yes <input type="checkbox"/> 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 <input type="checkbox"/> Yes <input type="checkbox"/> 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 <input type="checkbox"/> Yes <input type="checkbox"/> 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 <input type="checkbox"/> Yes <input type="checkbox"/> 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 <input type="checkbox"/> Yes <input type="checkbox"/> 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
-------	--	------	---	---	---	---	---	---

Shree Bahubali Stock Broking Ltd



ADDITIONAL KYC RELATED DETAILS FOR TRADING & DEMAT A/C

For both Individual & Non-Individual

Demat Account Preference (Please tick in relevant boxes)

Depository Central Depository Services Limited (CDSL) National Securities Depository Limited (NSDL)

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	For Non-Individual Accounts	For NRI / FOREIGN NATIONAL Accounts
<input type="checkbox"/> Minor <input type="checkbox"/> Director <input type="checkbox"/> Ordinary Resident <input type="checkbox"/> Director's Relative <input type="checkbox"/> HUF/AOP <input type="checkbox"/> Margin Trading (MANTRA) <input type="checkbox"/> Margin <input type="checkbox"/> QFI <input type="checkbox"/> Promoter <input type="checkbox"/> Others (pl. specify)_____	<input type="checkbox"/> Body Corporate <input type="checkbox"/> FII <input type="checkbox"/> Clearing Member <input type="checkbox"/> QFI <input type="checkbox"/> Bank <input type="checkbox"/> HUF <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> Trust <input type="checkbox"/> Others, <input type="checkbox"/> FI plz specify_____	<input type="checkbox"/> Repatriable <input type="checkbox"/> F.N. Depository Receipts <input type="checkbox"/> Non-Repatriable <input type="checkbox"/> Foreign National <input type="checkbox"/> Repatriable-Promoter <input type="checkbox"/> Depo. Receipts <input type="checkbox"/> Non Repatriable-Promoter <input type="checkbox"/> 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	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2	Account to be operated through Power of Attorney only	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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.)			
3	Sole / First Holder <input type="checkbox"/> Yes <input type="checkbox"/> No	Second Holder <input type="checkbox"/> Yes <input type="checkbox"/> No	Third Holder <input type="checkbox"/> Yes <input type="checkbox"/> No
4	Mobile No. belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member	Mobile No. belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member	Mobile No. belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member
5	Email ID belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member	Email ID belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member	Email ID belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member
6	Account Statement Requirement <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly <input type="checkbox"/> As per SEBI Regulations		
7	I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____		<input type="checkbox"/> Yes <input type="checkbox"/> 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]		<input type="checkbox"/> Yes <input type="checkbox"/> 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		<input type="checkbox"/> Yes <input type="checkbox"/> No
10	Basic Services Demat A/c <input type="checkbox"/> Yes <input type="checkbox"/> No	11 I/We would like to share the email ID with the RTA <input type="checkbox"/> Yes <input type="checkbox"/> No	
12	Rajiv Gandhi Equity Saving Scheme <input type="checkbox"/> Yes <input type="checkbox"/> No	13 I/We would like to receive the Annual Report <input type="checkbox"/> Physically <input type="checkbox"/> Electronic <input type="checkbox"/> 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) - Non-Individual DEMAT Account

FOR DEMAT ACCOUNT 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)

1	Guardian Name					Affix recent passport size Photograph of the guardian and Sign across it	
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))	<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> 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			
	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Single <input type="checkbox"/> Married	D D M M Y Y Y Y	<input type="checkbox"/> Indian <input type="checkbox"/> Other Pls specify (if other) _____			
	e. Status	f. Occupation					
		<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National	<input type="checkbox"/> Pvt. Sector <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Pub. Sector <input type="checkbox"/> Professional <input type="checkbox"/> Housewife <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Govt. Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Others, specify _____				
8	Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP)		<input type="checkbox"/> Related to Politically Exposed Person (RPEP)			

OTHER DETAILS

FOR BOTH

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



BANK DETAILS (Mandatory)

FOR BOTH

	Primary	Secondary, if any
Bank Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others, <small>in case of NRI, NRE/NRO (Plz specify)</small>	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others, <small>in case of NRI, NRE/NRO (Plz specify)</small>
Bank Account No.		
Bank Name		
Branch Address		
MICR Code		
IFSC Code		
UPI ID		
Proof Provided	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

PAST ACTIONS

Details of any actions/proceedings initiated / pending/taken by SEBI/Exchange/any other authority against the applicant/constituent or its Partners / Promoters/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)

TRADING PREFERENCE

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

FOR TRADING ACCOUNT

		NSE	BSE	
1.	Cash Market	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
2.	Futures & Options	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
3.	Currency Derivatives	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
4.	Commodity	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
5.	SLBM Segment	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
6.	Mutual Fund	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
7.	Commodity Derivatives (Future & Options)	MCX		
		<input checked="" type="checkbox"/>		
	Date	<input type="checkbox"/>	Date	<input type="checkbox"/>

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 to 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	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL <input type="checkbox"/> 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			

ADDITIONAL DETAILS

FOR BOTH DEMAT AND TRADING ACCOUNT	Whether you wish to receive physical contract notes/Documents or electronic contract notes (ECN)/Documents, please select	<input type="checkbox"/> Physical	<input type="checkbox"/> Electronic
	If Electronic, please specify your E-mail ID		
	Whether you wish to avail of the facility of Internet Trading / wireless technology, please tick	<input type="checkbox"/> Yes	<input type="checkbox"/> 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	<input type="checkbox"/> Remisier <input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Other (pls. specify)_____		
Signature			Phone No.

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/SBSBL 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 of 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', Voluntary Document 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 along with Do's and Don'ts has been displayed for information on stock broker's designated website.

	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)			
Place		Date	

We undertake that we have made the client aware of 'Policy and Procedures', 'Tariff Sheet' and all the 'Non-Mandatory' documents. We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. We have provided him/it a copy of all the KYC documents. 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. We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on our website, if any, for the information of the clients.

Place _____

Date _____

Signature of Authorised Signatory

Seal / Stamp of SHREE BAHUBALI STOCK BROKING LTD



NOMINATION FORM (FOR INDIVIDUAL APPLYING SINGLY OR JOINTLY)

Details of TM / DP :
SHREE BAHUBALI STOCK BROKING LTD
 12, India Exchange Place, Jute House, 3rd Floor, Kolkata-700001

Date	D	D	M	M	Y	Y	Y	Y	DP ID	I	N	3	0	0	7	7	3	Client ID						
UCC																								

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

Nomination Details

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

Nomination can be made upto three nominees in the account.		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nominee Equally <small>[If not equally, please specify percentage]</small>			
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>				
3	Relationship With the Applicant (If Any)			
4	Address of Nominee(s) City / Place: State & Country: PIN Code			
5	Mobile / Telephone No. of nominee(s)			
6	Email ID of nominee(s)			
7	Nominee Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no.	 Affix recent passport size Photograph  Signature / Thumb Impression	 Affix recent passport size Photograph  Signature / Thumb Impression	 Affix recent passport size Photograph  Signature / Thumb Impression

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:

8	Date of Birth {in case of minor nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10	Address of Guardian(s)			

NOMINATION Details

	City / Place: State & Country: PIN Code:			
11	Mobile / Telephone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no.	 Affix recent passport size Photograph  Signature / Thumb Impression	 Affix recent passport size Photograph  Signature / Thumb Impression	 Affix recent passport size Photograph  Signature / Thumb Impression
	Name(s) of holder(s)	Signature		
	Sole / First Holder (Mr./Ms.)			
	Second Holder (Mr./Ms.)			
	Third Holder (Mr./Ms.)			

* Signature of witness, if the account holder affixes thumb impression, instead of signature

Witness

Name:	Address:	Signature:

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

Declaration Form for opting out of Nomination

Details of TM / DP : To SHREE BAHUBALI STOCK BROKING LTD 12, India Exchange Place, Jute House, 3rd Floor, Kolkata-700001	Date	D	D	M	M	Y	Y	Y	Y
UCC									
DP ID	I	N	3	0	0	7	7	3	
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
Name and Signature of Holder(s)*									
1. _____ 2. _____ 3. _____									
Name:									

Witness
Signature: _____
Name: _____
Address: _____

* Signature of witness, if the account holder affixes thumb impression, instead of signature

a) Refusal of Orders for Penny Stocks:

SHREE BAHUBALI STOCK BROKING LIMITED (hereinafter referred to as "SBSBL") shall have absolute discretion to term a stock as "PENNY". As per our policy, "PENNY STOCK" can be referred to as the stocks which are appearing in the list of illiquid securities issued by the Exchanges time to time and any other stocks which SBSBL might consider to be illiquid. The details of such stocks' will be posted on the website of SBSBL

SBSBL at its discretion can accept, refuse or partially accept any buy or sell order for execution from the client in respect of such scrips. SBSBL may allow restrictive acceptance of orders in such scrips and may demand appropriate declarations and additional margin from the client before accepting order of such stocks. SBSBL may cancel orders in such scrips received by the clients before execution or partial execution or place any other kind of restrictions on the trade on such scrips without assigning any reasons thereof to the client.

SBSBL shall not be responsible for any consequential opportunity loss or financial loss that a client may incur from delay or non execution of orders in 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's financial status and market condition.

c) Applicable Brokerage Rate:

SBSBL follows the policy of charging brokerage not more than the maximum permissible brokerage as per the rules and regulation of the exchange/SEBI. Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration. The brokerage slab of a client shall be reviewed at intervals after assessment of the amount and quality of volume generated by the client as per his/her commitment. The rates may be increased with prospective effect at 15 days notice sent to the E-mail address or postal address of the client registered with SBSBL. The brokerage amount debited to the client does not include any exchange related charges or statutory levies as applicable. Any other applicable taxes imposed by statutory authority including securities transaction taxes, duties, service tax, etc will be paid by the client separately as may be levied on the transactions from time to time.

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 by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)

Clients will be liable to pay delayed payment charges not exceeding 2% per month for not making payment of their pay-in obligation on time as per the exchange requirement or net ledger debit balance as applicable.

The client agrees that SBSBL may impose fines/penalties for any orders/trades/deals/actions of the client which are contrary to this agreement/rules/regulations/bye laws of the exchange or any other law for the time being in force, at such rates and in such from as it may deem fit. Further where SBSBL has to pay fine or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the orders/traders/delas/actions of the client, the same shall be borne by the client.

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 (This shall be limited to the extent of settlement/margin obligation)

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

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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

Policy for settling shortage in obligation out of internal netting of trades is as under:

The securities delivered short are purchased from the market on T + 2 day and the purchase consideration (including all statutory taxes & levies) along with a penalty is debited to the short delivering seller client. In case the shares are not available for purchase for any reason then the shortage will be closed out as per the prevailing rules of the respective exchanges, Currently, the penalty levied amounts to-NSE & BSE Clients charges 1% on value of purchase consideration.

g) Condition under which a client may not be allowed to take further position or the broker may close the existing position of a client.

- Client unable to meet his pay-in obligation as per exchange requirement irrespective of the value of collaterals available.
- Long pending debit balance in the client's account.
- Margin shortfall not compensated by the client.
- Dishonor of Cheque
- Client dealing in "illiquid" stock as declared by Exchange.
- Transactions which may appear to be suspicious in nature.
- Sudden changes in margin requirement of Exchange
- Where based on the happening of an event, SBSBL has a risk perception that further trading in the contracts /securities may not be in the interest of the clients and/or the market.

h) Temporarily Suspending or Closing a Client's account at the clients request:

SBSBL may carry out periodic review of the client accounts and may suspend the accounts from trading (i.e. prohibiting any market transactions, only allowing client shares/ledger balance settlement to take place) under any of the following circumstances:

- Where the Client who do not trade for a single day for 12 months from all Exchanges shall be declared "inactive account" and will be temporarily suspended.
- Where the Client has not cleared his dues after repeated reminders.
- Where Physical statements or contract notes, etc are received back undelivered and the client is not responding to update the correct address.
- Where the Client is reported or known to have expired.
- Where client lodges a complaint either directly with SBSBL or through the Exchange relating to alleged unauthorized Trades being executed in his account.
- Where the account is under investigation by any regulatory body.
- As per direction of the Exchanges, SEBI or any other regulatory body.
- On written request received from the client and the same can be activated on the written request of the client only.

The Client account can be closed on the written request of the client provided the client account is settled. If the client wants to reopen the account then the client has to again complete the KYC requirement.

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i) Deregistering a client:

Notwithstanding anything to the contrary stated in the agreement, SBSBL shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- If the action of the client are prima facie illegal/improper or such to manipulate the price of any securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- On the death/lunacy or other disability of the Client.
- If the client being a partnership firm/any other organization, has any steps taken by the Client and/or its partners for dissolution or liquidation.
- If the client suffers any adverse material change in his/her/ its financial position or defaults in any other agreement with the Stock Broker.
- If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security.
- If the Client is in breach of any term, condition or covenant of this Agreement.
- Any suspicious information found by SBSBL in sites like CIBIL, world check, etc or if there is any commencement of a legal process against the client under any law in force.
- If the client forms a part of the list of debarred entities published by SEBI and/or any action is taken by NSE/BSE/SEBI on the client.
- SBSBL reserves the right to deregister a client after giving 30 days notice to the client without specifying any reason whatsoever. SBSBL may freeze the assets of the client where it deems prudent and shall have the right to close out the existing positions, sell all the collaterals to recover its dues, if any, before deregistering the client.

Inactive client account will be considered is inactive if the client does not trade for a period of twelve months. Calculation will be done at the beginning of every month and a written request has to be made by the client for reactivation of their account.

Client Acceptance of Policies and Procedures stated here-in-above:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforce-ability and applicability of any provision/clauses in this document under any circumstances whatsoever. These Policies and Procedures may be amended/changed by giving 15 days notice by the broker, provided the change is informed to me/us through any one or more means/methods. I/we agree never to challenge the same on any grounds including delayed receipt/non-receipt or any other reason whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute/difference or claim between me/us and SBSBL before any court of law/ judicial/adjudicating authority including arbitrator/mediator, etc.

 _____



Tariff Sheet (For Trading)

A. BROKERAGE*

1. Capital Market Segment

Square up Brokerage
(chargeable for each leg of transaction)
Delivery Brokerage

2. Future & Options Segment

Brokerage in Futures
Brokerage in Options (per lot)

3. Currency Derivative Segment

Brokerage in Futures
Brokerage in Options (per lot)

4. Commodity Segment

Brokerage in Futures
Brokerage in Options (per lot)

5. **SLBM**

6. **MCX**

NSE

% *Min. Paisa*

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BSE

% *Min. Paisa*

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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 Guidelines.

ACKNOWLEDGMENT TO SHREE BAHUBALI STOCK BROKING LTD

To
SHREE BAHUBALI STOCK BROKING LTD
12, India Exchange Place, Jute House, 3rd Floor, Kolkata-700001

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 SBSBL.

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.bahubali.in and can be downloaded at any point of time for reference.



Charges for Depository Services (Schedule 'A')

Schedule of charges forms an integral part of the DP - Client Agreement (Effective with 1st Aug., 2021)

FOR DEMAT ACCOUNT

Sr.#	Type of Charges	<input type="checkbox"/> Scheme 1	<input type="checkbox"/> Scheme 2	<input type="checkbox"/> Scheme 3
1	Account Opening	NIL		
2	Advance / Deposit	Scheme-1: Rs. 500/- (Adjustable), Scheme-2: NIL		
3	Annual Maintenance	₹ 450/-	₹ 2000/- (for LIFETIME)	₹ 1000/-P.A. (only for Corporate)
		Scheme-1 : Rs. 400/- per year for Individuals Scheme-2 : Rs. 2000/- LIFETIME AMC Scheme-3 : Rs. 1000/- per year for CORPORATE clients (NSDL/CDSL— AMC extra for Corporate Clients) *For BSDA clients- upto 100000 - NIL AMC, from 100001 to 200000- Rs. 100 per year, above 2 lakh general AMC charges. *AMC will be charged in advance.		
4	Transaction (Debit)	Rs. 15/- per ISIN for mkt. txn. 0.02% (Min. Rs. 20/-) for off mkt. (for all schemes) For BSDA client-Min. Rs. 20/- per Mkt. Txn and 0.02% (Min. Rs. 40) for off Mkt. Txn.		
5	Pledge Creation/Closure/Hypothecation (including Margin Pledge/Repledge/Closure)	₹ 50/- (Pledge Creation/Closure/Hypothecation) ₹ 15/- (Margin Pledge/Repledge/Closure)		
6	Dematerialisa tion	₹ 3/- per certificate subject to Minimum Rs.50/- *Rs.50/- Courier charges extra		
7	Rematerialisa tion	₹ 20/- for every 100 securities or part thereof or Rs. 20/-per certificate whichever is higher (*₹ .50/- Courier charges extra)		
8	Other Charges	* Failed Instruction: Rs.15/-Per instruction * Rs.25/- per modification in client details * DIS Book-Rs.100/- * Rs.10/- per statement, * Rs.25/- per transaction statement * Cheque return charges Rs.200/- * Demat/Remat rejection charges Rs.100/-		

Government levies /Taxes chargeable as per applicable rate

NOTES

1. Cheque/Demand Draft should be in favor of "SHREE BAHUBALI STOCK BROKING LTD."
 2. SHREE BAHUBALI STOCK BROKING LTD. reserves the right to change the above tariff meant exclusively for DP by providing 30 days written notice and this will be binding on all.
 3. Clients must ensure that their name, Client/BO ID is written behind every cheque/Demand Draft deposited by them.
 4. Tax as applicable would be levied on the above charges.
 5. In case of any debit balance in Client's name existing with the Company, DP is authorised to refuse to accept any type of instruction relating to transfer of shares/securities from client's account, till the clearance of such dues.
 6. ₹100/- + bank charges will be levied for any cheque dishonour, per instance.
 7. AMC Charges will be applicable on quarterly basis.
 8. Franking/Stamp charges will be applicable extra.
 9. Extra account maintenance charges for Corporate Account ₹500/- p.a. with scheme applied.
 10. The Client agrees to pay the charges as set out herein above subject to any change therein from time to time and specifically authorises DP to debit all type of dues/charges as set out herein above to client's Trading Account Code _____ having with SHREE BAHUBALI STOCK BROKING LTD. in NSE and/or BSE Segment.
 11. Consolidated Account Statement Charges as levied by respective Depository will be levied as and when applicable.
 12. In case of late payment of DP Bill, Client shall be liable to pay interest @ 18% per annum.
 13. I/We authorise SHREE BAHUBALI STOCK BROKING LTD. as a DP to convert my/our Demat account to BSDA scheme as and when the same becomes applicable as per SEBI/Regulatory Guidelines. Yes No
- I/We have read and understand the "Schedule of Charge" prescribed above and agree to abide by the same.

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

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Signature of Sole / 1st Holder

Signature of 2nd Holder

Signature of 3rd Holder



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

To

SHREE BAHUBALI STOCK BROKING LTD

12, India Exchange Place, Jute House, 3rd Floor, Kolkata-700001

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

Sr. No.	Symbol Description	*Farmer / EPOS	*Value Chain 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, Farmers 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, Producers, 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.





OPTION FORM FOR ISSUE OF DIS BOOKLET

To,
SHREE BAHUBALI STOCK BROKING LTD
 12, India Exchange Place, Jute House, 3rd Floor, Kolkata-700001

Dear Sir / Madam,

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

OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our NSDL/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. **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 DEMAT ACCOUNT

For CDSL	SMS Alert Facility (Refer to Terms & Conditions given as Annexure 2.4)	Mobile No. <u> +91 </u> [(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.)																	
	Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2.6	I wish to avail the TRUST facility using Mobile number registered for SMS Alert Facility. I have read and understand the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST																	
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;">Stock Exchange Name / ID</th> <th style="width: 30%;">Clearing Member Name</th> <th style="width: 40%;">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)										<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;">Easi</th> <th style="width: 70%;">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.</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> </tr> </tbody> </table>			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.	
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For NSDL	SPEED-e	For SPEED-e registration, please visit at https://eservices.nsd.com .																	

SOCIAL MEDIA INFORMATION OF THE CLIENT

Facebook ID																			
Twitter ID																			



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 Shree Bahubali Stock Broking Ltd. (SBSBL) is relying on this information for determining the status of applicant named above in compliance with FATCA/CRS. Shree Bahubali Stock Broking Ltd. 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 becomes incorrect.
- (iv) I/We agree that as may be required by domestic regulators/tax authorities SBSBL 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 : _____

Name : _____ 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



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 Shree Bahubali Stock Broking Ltd. is relying on this information for the purpose of
determining the status of the applicant named above in compliance with FATCA/CRS. SBSBL 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 SBSBL 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 : _____

Signature _____

**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 Shree Bahubali Stock Broking 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 :
- The number shown on this form is the correct taxpayer identification number of the applicant, and
 - 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
 - The applicant is an applicant taxable as a tax resident under the laws of country outside India.
- (ii) I/We understand that Shree Bahubali Stock Broking Ltd. is relying on this information for the purpose of determining the status of applicant named above in compliance with CRS/FATCA. Shree Bahubali Stock Broking Ltd. 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, Shree Bahubali Stock Broking Ltd. 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 NON-MANDATORY
 (Mandatory for Non-individual Investors)
 (To be provided on Letter Head)

I. Investor Details:

Name of the Client	
--------------------	--

II. Category:

<input type="checkbox"/> Our company is a Listed Company listed / Subsidiary or Controlled by a Listed Company <i>[If this category is selected, no need to provide UBO details]</i>		
<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm / LLP	<input type="checkbox"/> Unincorporated Association / Body of Individuals
<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Private Trust	<input type="checkbox"/> Religious Trust
<input type="checkbox"/> Trust created by a Will	<input type="checkbox"/> HUF	<input type="checkbox"/> 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 Shree Bahubali Stock Broking Ltd. [SBSBL] 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.



DECLARATION FOR MOBILE NUMBER AND EMAIL ID

NON-MANDATORY

(Mandatory if E-mail ID or Mobile No. is already registered with us)

Date : _____

To,

SHREE BAHUBALI STOCK BROKING LTD

12, India Exchange Place, Jute House, 3rd Floor, Kolkata-700001

Subject : Common Mobile number / Email ID For Trading accounts and DEMAT accounts

Dear Sir,

I, Mr/Mrs _____ would like to confirm that the Mobile number _____ and Email ID _____

is registered in my name. I am your registered client having trading code as _____ and Demat account number as _____.

Upon understanding from you that my mobile number/email id is registered with some of the clients who have trading and/or demat accounts with you, I have to state that this is in my full knowledge and I have consented to the below clients who are my relative/s to state my mobile number/email id in their KYCs to which I have no objection. All the transactions in their accounts are not only done as per their respective instructions but they are well conveyed by us of all the SMS/Email belonging to them which are sent by you to us on our above mobile number/email id.

All these below clients also do not have any objection to the same, in consent they have also signed:

Sr.No.	Client Name	Trading Code	Demat A/c.	Relation
1.				
2.				
3.				
4.				
5.				

However, in case of any further regulatory requirements, I undertake to abide upon hearing from you.

Thanking You.

Client Signature :  _____

Name : _____

Note : The close relatives ONLY to be included are – Spouse, Dependent Children and Dependent Parents



Electronic Contract Note [ECN] — DECLARATION
(Mandatory if client opts for ECN)

To,
SHREE BAHUBALI STOCK BROKING LTD
12, India Exchange Place, Jute House,
3rd Floor, Kolkata-700001

Dear Sir,

I/We _____, a client with Member,
M/s. Shree Bahubali Stock Broking Ltd, member of respective Exchanges undertake as follows:

- I/We am/are aware that the Member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself/ourselves want the same in the electronic form.
• I/We am/are aware that the Member has to provide electronic contract note for my/our convenience on my/our request only.
• Though the Member is required to deliver physical contract note, I/We find that it is inconvenient for me/us to receive physical contract notes. Therefore, I/We am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/us.
• I/We have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations.
• My/Our email Id is/are * _____. This has been created by me/us and not by someone else.
• I/We am/are aware that this declaration form should be in English or in any other Indian language known to me/us.
• I/We am/are aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN as envisaged by the exchange have been read and understood by me/us. I/We am/are aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

*(The email id must be written in own handwriting of the client.)

Client Name : _____

Unique Client Code : _____ PAN : _____

Address : _____

Signature _____ Date : _____ Place : _____

Verification of the client signature done by : ✓ _____

Name & Designation of the designated officer of the Member : _____

Signature : ✓ _____ Date: _____

Terms and Conditions :

Terms and Conditions for availing the facility of the Electronic Contract Notes & Daily Margin Statement are as follows :

1. The Client will ensure availability of the above mentioned e-mail ID at all times.
2. The Client shall update for any change in e-mail ID through a duly executed physical letter.
3. Electronic Contract Notes & Daily Margin Statement will also be available on URL https://www.bahubali.in
4. Clients can view the Electronic Contract Notes & Daily Margin Statement on URL by using the Username & Password.
5. In case of any failure in system or errors the same will be issued in physical form, which shall be binding on the client.
6. Mandate can be revoked at any time with the issuance of Physical Letter.



I/We have executed KYC with you for dealing in Cash, F&O, Commodity and Currency Segment of National Stock Exchange of India Limited (NSE), BSE Limited (BSE), Metropolitan Stock Exchange (MSE), and Multi Commodity Exchange of India Ltd. (MCX) as applicable (hereinafter referred as Exchanges).

I / We hereby declare the following:

1. I / We will not carry out any unfair trade practices such as Synchronized deals, Structured deals, Circular Trading.
2. I / We will not place any order on the exchanges, which will reflect as an arrangement for profit or loss transactions. All the orders placed on the exchange will be in the normal market where there are corresponding underlying Shares/Securities/Commodities positions in the Cash, F&O, Commodity Derivatives (Futures & Options) and CDX as applicable segment of the respective Exchange.
3. I / We will not introduce any kind of money acquired illegally in the financial system.
4. I / We will submit the necessary documents / information required under the PMLA and/ or any other statute.
5. I/ We will not indulge in any act which creates false or misleading appearance of trading in the Shares/ Securities/Currency Derivatives/Commodity Derivatives/Futures & Options market;
6. I/ We shall not deal in a security not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of such security for wrongful gain or avoidance of loss.
7. I/ We will not advance or agree to advance any money to any person thereby inducing any other person to offer to buy any security.
8. I/ We will not pay, offer or agree to pay or offer, directly or indirectly, to any person any money or money's worth for inducing such person for dealing in any security with the object of inflating, depressing, maintaining or causing fluctuation in the price of such security;
9. I/We will not act in such a manner resulting manipulation of the price of a security;
10. I / We will not sell, deal or pledge any of the stolen or counterfeit security in dematerialized form;
11. I/ We will inform the management of Shree Bahubali Stock Broking Ltd. (SBSBL) of any encouragement by a dealer to trade in Shares/Securities/Contracts/Commodities solely with the object of enhancing brokerage or commission;
12. I/ We will not plant any false or misleading news which may induce sale or purchase of Shares/Securities/ Contracts/ Commodity Derivatives (Futures & Options) .
13. I/We agree to abide by client level position limit and authorize you not to increase my/our open position beyond the stipulated limit, and if inadvertently exceeded, to actually reduce and bring it within acceptable limits. I/We further authorize you to debit my/our ledger for any penalty imposed on you for my/our violation towards position limit.
14. I/We also hereby authorize SBSBL with whom both the beneficiary demat account and trading account is operated, to debit the trading account for any charges payable to SBSBL as Depository Participant for providing Depository Services. Any such amount debited to my/our account shall be binding on me/us.
15. I/We hereby authorise SBSBL to meet the Pay-in / Pay-out obligations arising at Exchanges (as applicable) without transferring the same to my/our Demat Account as and when such inter exchange obligations arise in the Security(ies)/ Contract(s) traded by me/us across Exchanges.
16. I/We undertake that if any claim or dispute arises between us in respect of any transactions, contracts, etc. entered into on my/our account, I/We shall refer it to Arbitration as per the Rules, Bye-Laws and Regulations and conventions of the SEBI and/or exchange(s) which are applicable to me/us.
17. I/We undertake that I/we shall not hold SBSBL, its Directors or Officers liable towards my/our acceptance of any lucrative offer of fixed return on investment without the knowledge of the Company and the onus to bring the same to the notice of the Company lies with me/us.
18. It shall be my/our responsibility to check the data provided through SMS Alert Service with the actual Contract Notes/Financial Ledgers given by SBSBL. I/We agree to inform you of any changes in the mobile number on which the updates are required.

Client Signature  _____

19. I/We do hereby confirm that levy of Rs 10/- on the physical issuance of the contract note (in addition to ECN) as an extra service is duly acceptable.
20. I/We do hereby confirm that I/we shall not deposit any third party cheque towards meeting my/our obligation for the trades executed by me/us and hence shall not hold SBSBL against any such credit.
21. Excess Margins deposited towards one exchange may be adjusted, on a running basis, towards margin requirement/ debit balance in same / other Exchange where I/We have the client account.
22. SBSBL can/may pass on me/us any penalty imposed/loss suffered together with incidental expenses due to my/our violating any of the requirements/stipulations of Exchanges or any other regulatory authority including but not limited to my/our disturbing fair price determination in the market or resorting to unfair trade practices.
23. SBSBL and its directors, officers, employees and Associates shall not be responsible or liable for any loss suffered or which may be suffered by me/ us, arising from any delay or failure in the transmission, receipt, execution or confirmation of orders due to any breakdown, interruption or failure of transmission of the Internet, computer network, software, hardware, other computer devices, Internet system and any problem arising from my/our side.
24. SBSBL and/or its agents will not be liable for losses caused directly or indirectly by government restriction, Exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions beyond its control.
25. SBSBL may restrict my/our trading as per their risk management and/or due diligence policies or any other reason inspite of my/our having paid full margin. I/We will comply to their requirements which may include submission of updated documents, undertaking, financial etc.
26. I/We shall not hold SBSBL or any of its employee/official/agent/affiliate responsible or liable for any information, recommendation or advice with respect to any investment/trading decision or transaction, and if so acted upon by me/us, the same shall be at my/our sole risk and cost.

Client Signature  _____

DECLARATION ON OPEN INTEREST POSITION

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

To,
SHREE BAHUBALI STOCK BROKING LTD
12, India Exchange Place, Jute House, 3rd Floor, Kolkata-700001

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



AUTHORITY LETTER FOR RUNNING ACCOUNT

NON-MANDATORY

To
SHREE BAHUBALI STOCK BROKING LTD
12, India Exchange Place, Jute House,
3rd Floor, Kolkata-700001

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 (Default is Quarterly Settlement)

90 days <input type="checkbox"/>	30 days <input type="checkbox"/>
----------------------------------	----------------------------------

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 vide up Circular No. SEBI/HO/MIRSD/DOP/P/CIR/2021/577 dated 16th June, 2021 applicable from 1st August, 2021 or any amendments made thereafter.
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  _____



To
SHREE BAHUBALI STOCK BROKING LTD
12, India Exchange Place, Jute House, 3rd Floor, Kolkata-700001

Date :

Dear Sir,

I/We understand that the Member accepts deposit of funds and Securities/Commodities (by way of pledge) 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 Exchanges before placing any order. Shree Bahubali Stock Broking Ltd. (SBSBL) 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 SBSBL 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 SBSBL has a clear and undisputed right to dispose of the margin in terms of securities/commodities (by way of revocation of pledge) 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 after giving reasonable opportunity.
4. I/We shall when called upon to do so, provide additional margin money to SBSBL as required by them or Stock Exchange in respect of positions taken by me/us.
5. The margin as required shall be in equal proportion of that of securities & funds . SBSBL shall have the final authority to execute trades in case of non maintenance of the prescribed proportion.

Your Sincerely,

Client Signature  _____

DO's and DON'Ts

Do's and Don'ts which are relevant for operation of Trading / Demat account with Shree Bahubali Stock Broking Ltd.:

DO's

- Issue cheque(s) towards margin / pay-in obligation of funds only in the name of "Shree Bahubali Stock Broking Ltd."
- Transfer securities against Pay-in obligations only in designated Demat Accounts of Shree Bahubali Stock Broking Ltd.
- Any receivables from SBSBL on account Pay-out shall be from Bank / Demat Account from SBSBL only and not from Authorised Person /Advisor. •Ensure that no separate fees, charges, commissions or any consideration is paid to Authorised Person / Advisor; other than what is payable to SBSBL. •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 SBSBL. •Ensure to read all the tariff / brokerage applicable to you, before placing your orders with SBSBL.

DON'TS

- Do not give any discretionary rights to your Advisor / Relationship Manager / 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 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 / 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 Authorised Person / Advisor in connection with your transaction in trading / demat account opened with SBSBL.

(Above Do's and Don'ts are in addition to Guidance Note prescribed by SEBI)

Client Signature  _____

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 SBSBL (Tick the applicable)

Yes Client Code _____ Name _____ No

4 Annual Income Bracket of the Customer (Tick the applicable)

= < ₹10 lacs ₹10 to ₹50 lacs ₹50 to ₹1 Crore ₹1Crore and above

5 Residential Status (Tick the applicable)

NRI Indian Resident

6 Purpose of Investment (Tick the applicable)

Wealth Creation Retirement Corpus Succession Plan Corpus

7 Customer Occupation (Tick the applicable)

Business Service Professional

8 Risk Appetite (Tick the applicable)

Low Medium High Very High

9 Preferable Asset Class (Tick the applicable)

Equity Debt Hybrid Real Estate Rent yielding property Alternative Investment Funds

Additional Comments (to be filled by Client)

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

Client Signature 



To
SHREE BAHUBALI STOCK BROKING LTD
 12, India Exchange Place, Jute House,
 3rd Floor, Kolkata-700001

Sub :- Internet Trading

I/We wish to trade through internet in various segments as opted by me/us 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 shall not held SBSBL or any of its employees liable for non execution of trades due to failure of networking or for any other reason thereof.

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	



To
SHREE BAHUBALI STOCK BROKING LTD
 12, India Exchange Place, Jute House,
 3rd Floor, Kolkata-700001

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 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:



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 India 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. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

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

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

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

BOID

1	2	0	7	2	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 : _____

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.)

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

<p>CORPORATE</p> <ul style="list-style-type: none"> • 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 <p>PARTNERSHIP FIRM</p> <ul style="list-style-type: none"> • 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. <p>TRUST</p> <ul style="list-style-type: none"> • 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. 	<p>HUF</p> <ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta. <p>UNINCORPORATED ASSOCIATION OR A BODY OF INDIVIDUAL</p> <ul style="list-style-type: none"> • Proof of Existence / Constitution document • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorised signatories list with specimen signatures. <p>BANK / INSTITUTIONAL INVESTORS</p> <ul style="list-style-type: none"> • Copy of the constitution / registration or annual report / balance sheet for last 2 Financial years • Authorised signatories list specimen signatures <p>FOREIGN INSTITUTIONAL INVESTORS (FII)</p> <ul style="list-style-type: none"> • Copy of SEBI registration certificate • Authorised signatories list with specimen signatures <p>ARMY/GOVERNMENT BODIES</p> <ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures. <p>REGISTERED SOCIETY</p> <ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman / Secretary.
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Not applicable for CKYC

INSTRUCTIONS / NOTES

1. All communication shall be sent at the address of the Sole/First Holder only.
2. Thumb impressions and signatures other than English or Hindi or any other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Signatures should be preferably in Black Ink.
4. Details of the Names, Address, Telephone Number(s) etc., of the Magistrate / Notary / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. Instructions related to nomination, are as below :
 - I. The nomination can be made only by individuals holding beneficiary owner/trading account on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the Demat account is held jointly, all joint holders must sign the nomination form.
 - II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
 - III. The Nominee(s) can not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
 - IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
 - V. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
 - VI. The cancellation of nomination can be made by individuals holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of Power of Attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all holders must sign the cancellation form.
 - VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
 - VIII. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
 - IX. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
 - X. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided.
 - XI. Savings bank account details shall only be considered if the account is maintained with the same participant.
 - XII. DP ID and Client ID shall be provided where Demat details is required to be provided.
7. Strike off whichever is not applicable
8. Clarifications with respect to Bank Proof to be submitted
 - i Photocopy or cancelled cheque having the pre-printed name of the account holder where the cheque book is issued, (or)
 - ii Photocopy of the Bank Statement for last two quarters having name and address of the client with Bank Logo or attested through respective bank.
 - iii Photocopy of the Passbook having name and address of the client, (or)
 - iv Letter from the Bank.In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present/ mentioned on the document.
9. Provide a copy of either Demat Master or a recent holding statement issued by DP bearing name of the Client
10. **For Individuals:**
 - a. Stock Broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub broker's office.
 - b. Registered Authorised Person / Sub-broker are also authorised to perform 'In-person Verification'.
 - c. In case of non-resident clients, employees of the stock broker's local office, overseas, can do 'in-person' verification. Further, considering the infeasibility of carrying out 'in-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy/Consulate General in the country where the client resides may be permitted.
11. **For Non Individuals:**
 - a. Account Opening Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.
12. **Additional documents in case of trading in Derivatives Segments - illustrative list:**

Copy of ITR Acknowledgment	In case of Salary Income - Salary Slip, Copy of Form 16
Copy of Latest Annual Accounts	Net Worth Certificate
Copy of Latest Demat Account Holding Statement	Copy of Bank Statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents.

FOR OFFICE USE ONLY
(Only for Defective Forms)

Date of First Receipt of Agreement : _____

Reason(s) for Return, if any:

Rectified / Corrected (✓)

- | | |
|-----------|--------------------------|
| 01. _____ | <input type="checkbox"/> |
| 02. _____ | <input type="checkbox"/> |
| 03. _____ | <input type="checkbox"/> |
| 04. _____ | <input type="checkbox"/> |
| 05. _____ | <input type="checkbox"/> |
| 06. _____ | <input type="checkbox"/> |
| 07. _____ | <input type="checkbox"/> |
| 08. _____ | <input type="checkbox"/> |
| 09. _____ | <input type="checkbox"/> |
| 10. _____ | <input type="checkbox"/> |

Name of Returning Official : _____

Signature of Returning Official : _____

Date of Return : _____

Corrected Form Received on : _____

Note: Please ensure that no point is left blank. In case there are no points to mention, write "N.A." in that point.

CLIENT ID

CLIENT NAME

BRANCH NAME & GROUP CODE

SHREE BAHUBALI STOCK BROKING LTD

Member: NSE • BSE • MSEI • MCX | NSDL • CDSL

Registered Office:

12, India Exchange Place, Jute House, 3rd Floor, Kolkata-700001

Phone: (033) 4602 3670, E-mail: backoffice@bahubali.in

Website: www.bahubali.in

Mumbai Office:

MIDAS, Sahar Plaza Complex, Room No. 107

C.T.S. No. 243 (A), Kondivita Village, Mathuradas VasANJI Road

Andheri (East), Mumbai-400 059