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VARDHAMAN CAPITAL PRIVATE LIMITED

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

M IND

**For office use only**

(To be filled by financial institution)

Application Type\* ☐ New ☐ UpdateKYC Number                 (Mandatory for KYC update request)Account Type\* ☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)☐ 1. PERSONAL DETAILS

	Prefix	First Name	Middle Name	Last Name
Name* (Same as PAN)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
Gender*	<input type="checkbox"/> M - Male	<input type="checkbox"/> F - Female	<input type="checkbox"/> T - Transgender	
PAN*	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="checkbox"/> Form 60 furnished		
Marital Status*	<input type="checkbox"/> Single	<input type="checkbox"/> Married		
Nationality*	<input type="checkbox"/> Indian	<input type="checkbox"/> Other <u>Please Specify</u>		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin

☐ 2. PROOF OF IDENTITY AND ADDRESS

I. Certified copy of Official Valid Document (OVD) or equivalent e-document of OVD or DVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

<input type="checkbox"/>	A - Passport Number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Expiry Date	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="checkbox"/>	B - Voter ID Card	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
<input type="checkbox"/>	C - Driving Licence	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Expiry Date	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="checkbox"/>	D - NREGA Job Card	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
<input type="checkbox"/>	E - National Population Register Letter	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
<input type="checkbox"/>	F - Proof of Possession of Aadhaar	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
II. <input type="checkbox"/>	E - KYC Authentication	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
III. <input type="checkbox"/>	Offline verification of Aadhaar	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
	Z - Others	<input type="text"/>	Identification Number	<input type="text"/>

(any document notified by Central Government)

Address Type\* ☐ Residential / Business ☐ Residential / Business ☐ Registered Office ☐ UnspecifiedLine 1\* Line 2 Line 3  City / Town / Village\* District\*  Pin/Post Code \*  State / U.T Code \* ISO 3166 Country Code\*  (For State/U.T Code - please refer Page No. 10)

☐ PHOTO\*

Affix recent passport size photograph and Sign across it

☐ 3. CURRENT ADDRESS DETAILS☐ 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 DVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

<input type="checkbox"/>	A - Passport Number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="checkbox"/>	B - Voter ID Card	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="checkbox"/>	C - Driving Licence	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="checkbox"/>	D - NREGA Job Card	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="checkbox"/>	E - National Population Register Letter	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="checkbox"/>	F - Proof of Possession of Aadhaar	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
II. <input type="checkbox"/>	E - KYC Authentication	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
III. <input type="checkbox"/>	Offline verification of Aadhaar	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
IV. <input type="checkbox"/>	Deemed Proof of Address - Document Type code	<input type="text"/> <input type="text"/>
V. <input type="checkbox"/>	Self Declaration	Z - Others <input type="text"/> Identification Number <input type="text"/>

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

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_

District\* \_\_\_\_\_ Pin/Post Code \* \_\_\_\_\_ State / U.T Code \* \_\_\_\_\_

ISO 3166 Country Code\* \_\_\_\_\_ (For State/U.T Code - please refer Page No. 10)

☐ **4. CONTACT DETAILS (All communications will be sent to Mobile number/Email-ID provided) ( Please refer instruction C at Page 6)**

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 DD MM YYYY 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

**IN-PERSON VERIFICATION (IPV) CARRIED OUT BY**


IPV Date DD MM YYYY

Emp. Name \_\_\_\_\_

Emp. Code \_\_\_\_\_

Emp. Designation \_\_\_\_\_

Emp. Branch \_\_\_\_\_



**INSTITUTION DETAILS**

Name **VARDHAMAN CAPITAL PRIVATE LIMITED**

Code **IN0056**

**Instructions / Check list / Guidelines for filling Legal Entity / Other than Individuals 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 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, etc. or self declaration, the document need not be uploaded in 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.   |
| 7.            | Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.   |
| 8.            | "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016. |
| 9.            | 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.   |
| 10.           | REs may use the Self Declaration check box where 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.   |
- C) Clarification / Guidelines on filling 'Current Address 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.

**PART I - KNOW YOUR CLIENT (KYC)****APPLICATION FORM****(FOR NON INDIVIDUALS ONLY)**PLEASE FILL THIS FORM IN **ENGLISH** AND IN **BLOCK** LETTERS.

REGISTERED & CORPORATE OFFICE:  
25 SWALLOW LANE WARDLEY HOUSE 2ND FLOOR  
KOLKATA - 700001  
TEL. : +91 33 6820 2020  
Email: info@vardhamancapital.net

**A IDENTITY DETAILS**

Name of the Applicant

Date of Incorporation

D D M M Y Y Y Y

Date of Comm.of Business

Place of Incorporation

D D M M Y Y Y Y

PAN

Regn. No.  
(Eg.CIN)Status  
(Please  
Tick any  
one)☐ Private Ltd Co.☐ Bank☐ Body Corporate☐ Charities☐ NGO's☐ LLP☐ Partnership☐ Defense Estb.☐ Society☐ AOP☐ Trust☐ FII☐ HUF☐ BOI☐ Non-Govt. Org.☐ FI☐ Public Ltd. Co.☐ Govt. Body☐ Others *(Please Specify)***PHOTOGRAPH**

Please affix your  
recent passport  
size photograph  
and sign across it

**B ADDRESS DETAILS**Correspondence  
Address

City/Town/Village

Pin Code

State

Country

Specify the Proof of Address Submitted for Corres. Address

Tel. (Off.)

Mobile No.

Tel. (Res.)

Fax No.

Email ID

Registered Address  
(If different from  
above)

City/Town/Village

Pin Code

State

Country

**DECLARATION**

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

D D M M Y Y Y Y



Signature with Stamp

Place:

Name &amp; Signature of The Authorised Signatory

FOR OFFICE USE ONLY

IPV Details: \_\_\_\_\_ (DD/MM/YYYY)

Name of the Auth. Signatory

☐ Originals Verified & Self  
Attested Documents  
Copies Received

Employee Name

✓ Signature of the Auth. Signatory



Employee Signature

Date

Employee Designation

Seal / Stamp of the Intermediary

C	OTHER DETAILS										FOR NON INDIVIDUALS ONLY														
Details of Promoters/Partners/Karta/Trustees & Whole Time Directors forming part of KYC application Form																									
<b>1st SIGNATORY</b>	<b>1</b>	Name																							
	Relationship with Applicant <small>(i.e. promoters, whole time directors etc.)</small>												Date of Birth												
	Residential/ Registered Address																								
	City/Town/Village												PIN												
	State												Country												
	Tel. (O)												Mobile No.												
	PAN												Equity % <small>PSR Ownership Stake</small>												
	Aadhar Number, If Any																								
	DIN No. <small>i.e Whole time Directors</small>																								
Proof of Identity (POI)																									
Proof of Address (POA)																									
<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="text-align: center;">  Signature </div> <div style="text-align: center;"> <b>PHOTOGRAPH</b>   Please affix your recent passport size photograph and sign across it   </div> </div>																									
<b>2nd SIGNATORY</b>	<b>2</b>	Name																							
	Relationship with Applicant <small>(i.e. promoters, whole time directors etc.)</small>												Date of Birth												
	Residential/ Registered Address																								
	City/Town/Village												PIN												
	State												Country												
	Tel. (O)												Mobile No.												
	PAN												Equity % <small>PSR Ownership Stake</small>												
	Aadhar Number, If Any																								
	DIN No. <small>i.e Whole time Directors</small>																								
Proof of Identity (POI)																									
Proof of Address (POA)																									
<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="text-align: center;">  Signature </div> <div style="text-align: center;"> <b>PHOTOGRAPH</b>   Please affix your recent passport size photograph and sign across it   </div> </div>																									
<b>3rd SIGNATORY</b>	<b>3</b>	Name																							
	Relationship with Applicant <small>(i.e. promoters, whole time directors etc.)</small>												Date of Birth												
	Residential/ Registered Address																								
	City/Town/Village												PIN												
	State												Country												
	Tel. (O)												Mobile No.												
	PAN												Equity % <small>PSR Ownership Stake</small>												
	Aadhar Number, If Any																								
	DIN No. <small>i.e Whole time Directors</small>																								
Proof of Identity (POI)																									
Proof of Address (POA)																									
<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="text-align: center;">  Signature </div> <div style="text-align: center;"> <b>PHOTOGRAPH</b>   Please affix your recent passport size photograph and sign across it   </div> </div>																									
Name of the Auth. Signatory										Signature of the Auth. Signatory										Date					
<b>Note: In case of more than three authorised signatories, please submit all the required details in a separate sheet.</b>																									

PART II - TRADING & DEMAT ACCOUNT RELATED DETAILS (FOR INDIVIDUALS & NON INDIVIDUALS)				
<b>A BANK ACCOUNT DETAILS</b>				
	1 <sup>st</sup> Account/Primary	2 <sup>nd</sup> Account	3 <sup>rd</sup> Account	
Bank Name				
Branch Name & Address				
Bank Account No.				
Account Type <small>(Saving/Current/Others In case of NRI/NRE/NRO)</small>				
MICR No.				
IFSC Code				
<b>B DEPOSITORY ACCOUNT DETAILS</b>				
DP Name				
CDSL/NSDL				
DP ID				
Beneficiary ID (BO ID)				
Beneficiary Name 1				
Beneficiary Name 2				
Beneficiary Name 3				
<b>C TRADING PREFERENCES</b>				
Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.				
Exchanges				
All Segments	Cash	F&O	NSE-SLBM	NSE-COMM
NSE & BSE				
If you do not wish to trade in any of segments please mention here				

<b>➤</b>	<b>PAST ACTIONS</b>			
Details of any action/proceedings initiated/pending/taken by SEBI/Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: _____				
Are You Member Of Any Stock Exchange?    Y    N <span style="color: #ccc;">Please Specify</span>				
<b>➤</b>	<b>DEALINGS THROUGH AUTHORIZED PERSON OF OTHER STOCK BROKERS</b>			
<i>If client is dealing through the AP, provide the following details:</i>				
AP Name		Exchange Regn. No.		
Registered Office Address				
Phone			Fax	
Website				
<b>WHETHER DEALING WITH ANY OTHER STOCK BROKER</b> <i>(If case dealing with multiple stock brokers, provide details of all)</i>				
Name of Stock Broker		Client Code		
Name of AP, If Any		Exchange		
Details of Disputes/Dues Pending from/to such Stock Broker/AP:				
<b>➤</b>	<b>ADDITIONAL DETAILS</b>			
GST Registration Details				
Whether You Wish to Receive Physical Contract Note or Electronic Contract Note (ECN) <i>(Please Specify)</i> :				
Specify Your Email ID, If Applicable				
Whether You Wish to Avail of the Facility of Internet Trading/Wireless Technology <i>(Please Specify)</i>				<input type="checkbox"/> Yes <input type="checkbox"/> No
Number of Years of Investment/Trading Experience				
Any Other Information				
<b>➤</b>	<b>INTRODUCER DETAILS (OPTIONAL)</b>			
Name of the Introducer		<div style="display: flex; justify-content: space-between; width: 100%;"> <span style="color: #ccc;">Surname</span> <span style="color: #ccc;">Name</span> <span style="color: #ccc;">Middle Name</span> </div>		
Status of the Introducer		<input type="checkbox"/> Authorized Person <input type="checkbox"/> Employee <input type="checkbox"/> Existing Client <input type="checkbox"/> Other <span style="color: #ccc;"><i>(Please Specify)</i></span>		
Address of the Introducer				
Mobile/Phone No. of the Introducer		<div style="border-top: 1px solid black; height: 30px; width: 100%;"></div>		
		Signature of the Introducer		

► **DEMAT ACCOUNT OPENING FORM** Client ID:

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) Date:

► **TYPE OF ACCOUNT**

STATUS	SUB-STATUS			
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual Director	<input type="checkbox"/> Individual Promoter	
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Other <i>(Please Specify)</i>	
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Qualified Foreign Investor		
<input type="checkbox"/> Non-Individual	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Trust	<input type="checkbox"/> Bank	<input type="checkbox"/> FI
	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Margin	<input type="checkbox"/> HUF	<input type="checkbox"/> Other <i>(Please Specify)</i>

► **DETAILS OF ACCOUNT HOLDER(S)**

<b>Name of Sole/First Holder</b>										
	PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Name of Second Holder</b>										
	PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Name of Third Holder</b>										
	PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

\* Please provide a separate KYC Application Form (KRA Form) for all Joint Holders

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

<b>Name</b>	<input type="text"/>	<b>PAN</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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► **IN CASE OF NRIs/FOREIGN NATIONALS/FIIs/Others (as may be applicable)**

RBI Approval Ref. No.	<input type="text"/>	RBI Approval Date	<input type="text"/>
SEBI Regn. No. (for FIIs)	<input type="text"/>		

► **STANDING INSTRUCTIONS**

I/We authorise you to receive credits automatically into my/our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through DDPI	<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]	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
<b>MODE OF RECEIVING STATEMENT OF ACCOUNT (TICK ANY ONE)</b>	I/We wish to opt for BSDA <input type="checkbox"/> Yes <input type="checkbox"/> No	
<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form [Read Note 5 and ensure that email ID is provided in KYC Application Form]		
<b>MODE OF RECEIVING DP CLIENT RIGHTS &amp; OBLIGATIONS (TICK ANY ONE)</b>	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form	
<b>MODE OF RECEIVING RTA DOCUMENTS</b>	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form	
<b>Auto Pledge</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	<b>Saral Account</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	<b>Positive Confirmation</b> <input type="checkbox"/> Yes <input type="checkbox"/> No

► **GUARDIAN DETAILS (where sole holder is a minor)**

<b>[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]</b>	
Guardian Name	<input type="text"/>
PAN No.	<input type="text"/>
Relationship of Guardian with Minor	<input type="text"/>



➤	<b>MODE OF OPERATION FOR SOLE/FIRST HOLDER [For Non-Individuals]</b> (In case of joint holdings, all the holders must sign)		
	<input type="checkbox"/> Any One Singly <input type="checkbox"/> Jointly		
	<input type="checkbox"/> As per Resolution <input type="checkbox"/> Other (Please Specify)		
➤	<b>CLEARING MEMBERS DETAILS (to be filled up by Clearing Members only)</b>		
	Name of Stock Exchange		
	Name of Clearing Corporation/Clearing House		
	Clearing Member ID		
	SEBI Registration Number		
	Trade Name		
	CM-BP-ID (To Be Filled Up By Participant)		
➤	<b>DECLARATION FOR DEMAT ACCOUNT</b>		
	<p>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".</p> <p><i>Non-Individuals-Authorised Signatories (Enclose a Board resolution for Authorised Signatories).</i></p>		
	Sole/First Holder/or Guardian (In case of minor) or First Signatory	Name	Signature
	Second Holder or Second Signatory	Name	Signature
	Third Holder or Third Signatory	Name	Signature
➤	<b>NOTES</b>		
	<div style="display: flex;"> <div style="flex: 1;"> <p><b>1. All communication shall be sent at the address of the Sole/First holder only.</b></p> <p><b>2. For Non-Individual-</b> In case of additional signatures, separate annexures should be attached to the application form.</p> <p><b>3.</b> Thumb impressions and signatures other than English or Hindi or any of the 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.</p> <p><b>4. Instructions related to nomination, are as below:</b></p> <p>I. The nomination can be made only by individuals holding beneficiary owner accounts 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 account is held jointly all joint holders will sign the nomination form.</p> <p>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.</p> <p>III. The Nominee shall 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.</p> <p>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</p> </div> <div style="flex: 1;"> <p>shall stand terminated upon transfer of the securities.</p> <p>V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.</p> <p>VI. The cancellation of nomination can be made by individuals only 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 joint holders will sign the cancellation form.</p> <p>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.</p> <p><b>5. For receiving Statement of Account in electronic form:</b></p> <p>I. Client must ensure the confidentiality of the password of the email account.</p> <p>II. Client must promptly inform the Participant if the email address has changed.</p> <p>III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.</p> </div> </div>		

BOTH FOR TRADING & DEMAT ACCOUNT	<b>OTHER DETAILS</b>		<b>FOR INDIVIDUAL ONLY</b>														
	Occupation 1st Holder (Please tick any one)		<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others <u>(Please Specify)</u>														
	<b>Gross Annual Income Details:</b> Income Range per Annum (Please Tick Any One)		<input type="checkbox"/> Below ₹ 1 Lacs <input type="checkbox"/> ₹ 1-5 Lacs <input type="checkbox"/> ₹ 5-10 Lacs <input type="checkbox"/> ₹ 10-25 Lacs <input type="checkbox"/> More than ₹ 25 Lacs														
	Occupation 2nd Holder (Please tick any one)		<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others <u>(Please Specify)</u>														
	<b>Gross Annual Income Details:</b> Income Range per Annum (Please Tick Any One)		<input type="checkbox"/> Below ₹ 1 Lacs <input type="checkbox"/> ₹ 1-5 Lacs <input type="checkbox"/> ₹ 5-10 Lacs <input type="checkbox"/> ₹ 10-25 Lacs <input type="checkbox"/> More than ₹ 25 Lacs														
	Occupation 3rd Holder (Please tick any one)		<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others <u>(Please Specify)</u>														
	<b>Gross Annual Income Details:</b> Income Range per Annum (Please Tick Any One)		<input type="checkbox"/> Below ₹ 1 Lacs <input type="checkbox"/> ₹ 1-5 Lacs <input type="checkbox"/> ₹ 5-10 Lacs <input type="checkbox"/> ₹ 10-25 Lacs <input type="checkbox"/> More than ₹ 25 Lacs														
	Please Tick, If Applicable :		<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)														
	Any Other Information																
BOTH FOR TRADING & DEMAT ACCOUNT	<b>OTHER DETAILS</b>		<b>FOR NON INDIVIDUAL ONLY</b>														
	<b>Income Details Please Specify:</b> Income Range Per Annum		<input type="checkbox"/> Below ₹ 20 Lacs <input type="checkbox"/> ₹ 20-50 Lacs <input type="checkbox"/> ₹ 50 Lacs - 1 Crore <input type="checkbox"/> Above ₹ 1 Crore														
	Networth Amount (₹) _____ As on date _____ (Networth should not be older than 1 year)																
	Please Tick, if Applicable, for Any of Your Authorized Signatories/Promoters/Partners/Karta/ Trustees/Whole Time Directors:					<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)											
	Any Other Information																
BOTH FOR TRADING & DEMAT ACCOUNT	<b>DECLARATION</b>		<b>FOR TRADING ACCOUNT</b>														
	<p>1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that I/we may be held liable for it.</p> <p>2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.</p> <p>3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.</p>																
Place _____																	
Signature of the Client/(All) Authorized Signatory(ies)					<table border="1" style="display: inline-table; text-align: center; width: 100px;"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>					D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y										

VARDHAMAN CAPITAL PRIVATE LIMITED

VARDHAMAN CAPITAL PRIVATE LIMITED

	<b>POLICIES &amp; PROCEDURES</b>
a)	<p><b>Refusal of Orders for Penny Stocks:</b></p> <p>“VCPL” allows their client to deal in various compulsorily dematerialized stocks listed on designated stock exchanges. However, VCPL may at anytime at its sole discretion prohibit or restrict the clients' dealing or refuse completely/partially acceptance of the orders of the client for various reasons including but not limited to the trading in penny stocks. Penny stock shall include any illiquid stocks as declared by the stock exchanges and/or illiquid options and/or dealing in far months options and/or highly speculative stocks and/or stocks having low market capitalization and/or securities which are not in dematerialized form and/or securities which are restricted/ not permitted by the stock exchanges/SEBI/VCPL.</p> <p>VCPL, however, may allow solely on its own discretion, acceptance of orders of the client in penny stocks. Prior to acceptance of such orders, VCPL reserves the right to ask the client for compulsory settlement / pay full upfront margin/ delivery of securities for settlement. It is known that trading in penny stocks are highly risky and that any financial obligations/ losses thus aroused will be borne exclusively by the client alone. VCPL shall not be liable for any losses caused due to any delay in execution of such orders or any other orders/ enhancement of the limit/ limitation on order quantity/ any unexpected technical fault in the trading system. By means of internal control, VCPL may restrict such orders on Internet Based Trading terminals facilitated to the client and/or any dealer terminals operated at designated branches.</p> <p>Client shall indemnify and keep indemnified the VCPL or its directors or its employees from and against any loss, claims, liabilities, obligations, damages, deficiencies, actions, suits, proceedings or liability suffered or incurred or fastened due to any partial/complete refusal and/or delay/failure in execution of the client orders in penny stocks, clients' inability to use internet based trading terminals, limit enhancement and/or by incomplete information provided by the client in relation to trade in penny stocks.</p>
b)	<p><b>Setting up client's exposure limits</b></p> <p>Setting up the client's exposure limit is subject to internal control mechanism of the VCPL where client is provided collectively a variable trading limit for placing the orders in various segments of exchanges. Normally the client exposure limit is calculated by adding the available ledger balance, cash equivalent collaterals and purchased securities pledge account with applicable variable haircuts. The list of approved stocks for the purpose of margin consideration is provided to the client by the regulator/exchanges/VCPL from time to time.</p> <p>However, the VCPL can at its sole discretion vary the applicable haircut on the approved stocks from time to time.</p> <p>Client exposure limit vary as the margin components varies. However, VCPL can vary or reduce or impose the exposure limit at anytime without any prior notice to the client. VCPL shall not be responsible for any such variation or reduction or imposition or the clients' inability to route any order through the VCPLs' trading system on account of any such variation or reduction or imposition of limits.</p> <p>Other factors can also influence the set client exposure limit that may include but not limited to the market condition, SEBI and/or exchange restrictions/limitations on either script-wise or VCPL-wide set limits. Exposure limits can also vary from client to client based variable factors such as financial status and/or residential status and/or risk tolerance of the client. RMS department of the VCPL shall assess and evaluate the risk involved in the transactions of each client on one to one and at any time on case to case basis. If the clients' available margin diminishes, RMS may reset the limit immediately to manage the risk exposure while and in the open market. It is provided that client shall execute his/her trades within the set limit only. If the client wishes to increase the exposure limit, client shall deposit additional fund/margins in the designated form as stated above into the designated account.</p> <p>Client exposure limit for intraday, carry forward and delivery based transactions may vary from each other. Within the set exposure limit for a client, allocation of the limit may vary based on clients' transactions/position in various categories of stocks and/or in derivatives (futures and options). Defining the categories of the stock is discretionary and shall be communicated to the client from time to time. VCPL may at its sole discretion and without prior notice, prohibit or restrict the clients' ability to place orders or trades in securities due to but not limited to the reason of lack of margin or the order being outside the limits set by VCPL/exchanges/SEBI or any other reason which the VCPL may deem appropriate. Setting up exposure limit doesn't entitle any right to the client and that VCPL at any time without any notice withdraw the set exposure limit. Client shall indemnify and keep indemnified the VCPL against any loss/damage incurred due to such withdrawal of the exposure limit. Any loss thus occurred shall be borne by the client only and client shall clear all his/her/its outstanding debit balance along with any other applicable charges.</p>

	<b>POLICIES &amp; PROCEDURES</b>
c)	<b>Applicable Brokerage Rates</b> <p>The VCPL imposes the brokerage on the clients' transactions in various segments as provided by the SEBI/Exchanges/ any other competent authority from time to time. However, the maximum brokerage chargeable for each transactions in the</p> <ul style="list-style-type: none"> <li>• Cash/Capital Market segment shall be 2.5% of the transaction value excluding statutory levies. however in capital market segment VCPL can charge brokerage upto 0.25 paisa per share if the market value of the scrip is less than Rs. 10/-.</li> <li>• Futures contracts in derivative segment shall be 2.5% of the transaction value excluding statutory levies.</li> <li>• Option contracts in derivative segment shall be 2.5% of the premium amount or Rs 100/- per lot whichever is higher.</li> </ul>
d)	<b>Imposition of penalty/ delayed payment charges/ other charges</b> <p>Clients are required to settle all their dues on time. If the client fails to settle the amount outstanding/overdue towards his/her trading or any other reasons, VCPL would impose penalty/delayed payment charges on the account(s) of the client, at such rates as may be determined by the VCPL from time to time. Not exceeding 2% per month.</p> <p>In addition, it is provided that client shall pay to the VCPL the applicable brokerage charges, all statutory charges applied by exchanges due to clients' trading/dealing in securities, penalty on clients' material default in pay-in obligation or any penalty imposed on VCPL by exchanges/SEBI/any other competent authority in relation to clients' default/action/dealing/ trading, any incidental charges such as postage, courier etc as they apply to the clients' account from time to time and any other charges/penalty as imposed to the clients' account by the VCPL due to the clients' non-performance/ misrepresentation of any facts/evidence/ commitment provided in any manner whatsoever or by any other reason as may be provided by the VCPL from time to time.</p> <p>Clients shall abide by the Client Registration Kit executed with VCPL. VCPL at any time may impose penalty/fines on the client account if the clients' orders/trades/any action breaches the terms of this agreement. Also if the clients' any other action breaches any statutory laws/ rules/Bylaws/ regulations of the exchanges/SEBI orders and/or circulars/orders of any other competent authority in force at time, VCPL may impose fines/penalties as it deem fit. However, due to the clients' action if the VCPL has been imposed any fine/penalty by any such authority the same shall be borne exclusively by the client.</p>
e)	<b>The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payments of clients' dues</b> <p>The VCPL shall have the right to sell client's securities purchased which are lying in VCPLs demat account, or close out clients' positions without giving prior notice to the client to meet clients' pay-in obligation and/or delay or failure to meet the margin obligations towards his/her/its trading and/or any other reason as may be decided by the VCPL. Client would be responsible to monitor its open position and review continuously the valuation of his/her/its position in the open market. Client is aware that stock market is volatile in nature, at any time, if the clients' open position attracts the additional margin client shall immediate, whether or not communicated by any way or received any margin call, deposit in the designated account an additional fund/approved securities in the form as may be decided by the VCPL. In case, if the client fails to provide the additional margin requirement, RMS can at its own risk perception at any time without any prior information to the client sell the clients' securities or close the clients' position at market rate/price or at such rate as the VCPL deem fit. The losses/deficit if any on account of such square off by the VCPL shall be borne exclusively by the client alone.</p> <p>If the client gives orders/trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) and if such anticipated availability does not materialize in actual availability of securities/funds for pay in for any reason whatsoever including but not limited to any delays/shortages at the exchange or VCPL level/ non release of margin by the VCPL or by any other reasons, the loss which may occur to the client as a consequences of such shortages in any manner such as on account of auctions/square off/closing outs or any other manners as the case may be, shall be solely to the account of the client. The VCPL shall not be responsible for the same in any form or manner whatsoever.</p> <p>Client shall be responsible for the timely availability of funds/securities in the designated form and manner at designated time and place in designated account, for meeting his/her/its pay-in obligation.</p> <p>Margin thus provided in the form of funds/securities by the client to the VCPL are subject to the actual realization in the designated account of the VCPL. In any case if the provided fund instruments/instruction slips undergoes any clarification/verification than in such case client alone shall be responsible for any loss/</p>

## POLICIES & PROCEDURES

damage/ square off/auctions/imposition of penalty or any other penalty as applied due to any delay/rejection of the instruments by the competent authority/banks/depository participants/SEBI/Exchanges/VCPL.

Client is aware and understands that if the such selling of shares is not enough to recover any dues/debit balance in the clients' account, Stock broker can legally send the notice to the client and ask to clear the outstanding balance to avoid any legal action by the competent court of law.

### f) **Shortage in obligations arising out of internal netting of trades**

VCPL as a member of the exchange delivers/receives securities to/from the exchange on net obligation basis in respect of a settlement. In such a process, if a client, who has sold securities, short delivers the securities, which are to be delivered to another client of VCPL, auction is not possible as positions are internal and hence it is treated as internal shortage of securities. VCPL has an internal shortage closeout policy.

So as per our internal policy, close out price in case of Internal Shortages of a symbol would be determined as below:

Any type of costs, risk, loss occurring as a result of treatment of internal shortage by VCPL shall be solely on account of client and VCPL shall not be responsible for the same. In the event a client fails to deliver to VCPL any securities that have been sold by the client to meet the sale obligation by the stipulated pay-in-time or informs VCPL of the shortage earlier, VCPL shall be entitled to obtain such securities to enable VCPL to deliver securities to the client who has purchased these securities.

If for any reason, obtaining such securities is not possible, seller delivering short shares (i.e. client failing to deliver shares against sell transactions) would be debited at the closing rate (as per bhav copy) on T+1 day or Auction day on Exchange plus additional 1%

The client on the buy side would be credited with the same amount which was debited to the defaulting (i.e. selling) client as computed above. The provisional entry, if any, debited to the short delivering client (i.e. seller) would get reversed on T+1 day.

This policy would be applicable in case of corporate action also, where the scrip is suspended or not traded in further.

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

The VCPL may not allow a client to take further position or may close the existing position of a client at any time without any prior notice to the client if they fail to meet the required margin in time. VCPL may prohibit or restrict the clients' ability to place orders or trades in securities or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to but not limited to the reasons of

- Lack of margin
- Securities or the order being for securities which are not in the permitted list of the VCPL/exchanges/SEBI
- The order being outside the limits set by the VCPL/exchanges/SEBI
- Delay in meeting pay in obligation of funds/securities
- Breach of member client agreement/ rules, Bylaws and regulations of the exchanges and/or SEBI
- Non availability/disown/default in the committed fund instruments/securities instruction slips deposited/provided for margin consideration
- Non clearance of debit balance in the trading account accumulated over five (5) days from the date of settlement.
- Client being squared off and have not provided fresh margin to place new orders
- Fail to meet mark to market losses in his/her/its open positions in various segments of exchanges
- Breach of market wide and/or client-wise permitted position limit
- Any other reasons as may be provided by the VCPL from time to time.

### h) **Temporary suspending or closing a client's account.**

VCPL shall have right to suspend or close the client's account at its own discretion without any prior notice to the client if at any point of time the VCPL observe the followings.

- Clients' breach of any of the terms of member client agreement/ rules, Bylaws and regulations of the exchanges and/or SEBI directives.



## POLICIES & PROCEDURES

- Clients' involvement in suspicious transactions, price manipulation of the securities, matching of trades and/or money laundering.
- Client has not traded in his/her/its account for last 24 months.
- Clients' failure to complete the KYC due diligence.
- Delivery failure of important communication from the VCPL such as contract notes, statement of account, statement of holding etc. sent to the client at its registered correspondence address, email id, mobile no. as per the record
- Under any unpleasant event such as death/disablement as reported to the VCPL
- Client restricted/ prohibited to deal in the securities by the SEBI/ Exchanges
- Clients' inability to provide important financial/ non-financial documents / any such mandatory document as may be required by VCPL from time to time and/or as directed by the exchanges/SEBI to maintain such document in the records of the VCPL.

Client can also request to the VCPL at any time in writing with atleast 15 days in advance for temporary suspension/ closure of his/her/its account. After suspension of the account, client can't place any order/trade through the trading system of the VCPL.

From the date of closure of the client account, VCPL shall be free from any/all liabilities/ obligations towards the client for any reason whatsoever and the client indemnify and keep indemnified the VCPL from any such liabilities/loss/damage/ suit/ proceedings arising from or in respect of transactions entered into prior to such closure / suspension.

If the client wishes to reactivate his/her/its account requested temporarily to be suspended by the client, client shall fulfill the KYC norms of the VCPL and submit the necessary details to the VCPL.

After closing of the account and upon request of the client, all assets (funds/securities) will be returned, after the necessary adjustment/settlement of his/her/its dues if any, to his/her/its designated bank account/ depository as per the information provided by the client to the VCPL.

### i) Deregistering a client

VCPL at its sole discretion at any time without any notice to the client terminate the member client agreement with immediate effect and deregister the client in any of the following circumstances:

- If the action of the client are prima facie illegal/improper or such as to suspicious transaction or manipulate the price of any securities or facilitating money laundering/terrorist financing or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- If the client is in breach of any of the term, condition or covenant of member client agreement or any other agreement executed with the stock broker or is in breach of any rules, Bylaws and regulations of the exchanges or SEBI directives or appears in the list SEBI's debarred entity.
- If there is any commencement of a legal process against the client under any law in force
- On the death/lunacy or other disability of the client.
- If the client has been declared/filed its bankruptcy or insolvency
- If the client, him/her/itself admitted its inability to pay his/her/its dues towards his/her/its obligations.
- Before deregistering the client, VCPL shall have right to settle any dues/debit balance in the clients' account.
- Either party can terminate the agreement between the parties upon written notice of atleast 30 days in advance. Any such termination by either party or deregistration by the VCPL shall not affect any/all rights, obligations and liabilities of the parties arising out or in respect of the transactions entered/executed into prior to termination/deregistration.

### j) Client Acceptance and Acknowledgment:

I/we have fully read the clauses and contents of these policies and procedures of VCPL. and do here by acknowledge the same and give my/our clear consent to you not to question the validity, enforceability and applicability of any provisions of this policy and procedure document under any circumstances whatsoever.

I/we understand and acknowledge that these policies and procedures are subject to change/amend and thus any change(s)/amendment(s) shall be incorporated in the document and placed/updated on the website [www.vardhamancapital.co.in](http://www.vardhamancapital.co.in) from time to time by the VCPL.

**POLICIES & PROCEDURES**

I/we here by acknowledge and confirm my/our unconditional acceptance to follow these policies and procedures, any subsequent amendments made there to and the member client agreement and any other agreement(s) executed between the parties.

I/we acknowledge that a copy of this document is available on the website [www.vardhamancapital.co.in](http://www.vardhamancapital.co.in) and I/we are referred to the website contents and update regularly myself/ourselves for any amendment made to this document from time to time.


I/we acknowledge that in case of any dispute/ grievance arising in dealing between me/us and the VCPL, this policy and procedure document shall be referred compulsorily before any legal suit/ court proceeding/arbitration or to any other adjudicating authority.

I/we also acknowledge that the copy of this document shall be made available to me/us on my/our request to the [info@vardhamancapital.net](mailto:info@vardhamancapital.net) or on a telephonic request to the Help Desk at +91-33-68202020.

 Signature of Client

D	D	M	M	Y	Y	Y	Y

► **TARIFF SHEETS/BROKERAGE SLAB**

Segment	Delivery		Square Off		Remarks	Risk Category
	(%)	(Paissa)	(%)	(Paissa)		
Cash						
Futures						
Options						
Commodity						
(The above rates are exclusive of STT/CTT, GST, Stamp Duty, SEBI Fee, Transaction Charges & other charges, if any, which will be separately charged as per applicable rates from time to time.)				 Signature of the Client		

► **FOR OFFICE USE ONLY**

	Name, Designation, Code of the Employee	Signature	Date
Documents Verified with Originals		✓	
Client Interviewed by		✓	
In-Person Verification Done by		✓	




We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. We have also given/sent him a copy of 'Rights and Obligations' document (s), Risk Disclosure Document (RDD), Guidance Note and made him aware of the contents therein. We have given/sent him 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 Risk Disclosure Document (RDD) would be made available on our website for the information of the clients.

Name of the Authorised Signatory		Seal/Stamp of the Intermediary							
✓ Signature of the Authorised Signatory	<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>		D	D	M	M	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		



## DEMAT TARIFF SHEET

DP ID : IN303212

DESCRIPTION		PLATINUM - LIFE TIME	PLATINUM - AMC	STANDARD - AMC	BSDA - I	BSDA - II
Annual Maintenance Charges		Rs. 2000	Rs. 400 P.A.	Rs. 600 P.A.	NIL	Rs. 100 P.A.
AMC - CORPORATE		NIL	RS. 1500 P.A.	RS. 2000 P.A.	N.A.	
Advance Deposit		Rs. 1500	Rs. 1500	Rs. 2000	Rs. 1500	Rs. 1500
Transaction & Interdepository charges						
Debit to VCPL CM		Rs. 20	Rs. 15	Rs. 20	Rs. 20 FLAT	
Debit to CM A/C (DP VCPL)		Rs. 20	Rs. 20	Rs. 20		
Outside VCPL DP CM		0.03% OR Rs. 25 whichever is higher				
Off Market/Interdepository Charges		0.03% OR Rs. 25 whichever is higher				
Pledge Creation	50 per transaction OR 0.02% whichever is higher		Margin Pledge	Rs. 20 per ISIN		
Pledge Closure	50 per transaction OR 0.02% whichever is higher		Margin Pledge Closure	Rs. 20 per ISIN		
Pledge Invocation	50 per transaction OR 0.02% whichever is higher		Margin Pledge Invocation	Rs. 20 per ISIN		
Other Charges						
Demar Request		Rs. 20 per certificate   Min Rs. 200 request				
Demat/Remat Rejection		Rs. 100 per rejection				
Remat Request		Rs. 20 per 100 SHARES   Min Rs. 200 per request				
Additional Booklet		Rs. 50 per booklet plus courier charges, if any (at actuals)				
Freeze / Defreeze		Rs. 100 per instance				
Redemption of MF units		Rs. 20 per instruction				
Holding/Transaction Statement Charges		Rs. 10 per page or Rs. 100, whichever is higher			Rs. 25 FLAT	
Categories Defined						
PLATINUM SCHEME - LIFE TIME / AMC		APPLICABLE TO TRADING CLIENTS OF VCPL				
STANDARD SCHEME		NON TRADING CLIENTS OF VCPL				
ELIGIBILITY FOR BSDA						
Individuals shall be eligible to opt for BSDA subject to the following conditions:-						
• All the individuals who have or propose to have only one demat account where they are the sole or first holder.						
• Individuals having any other demat account/s where they are not the first holder shall be eligible for BSDA in respect of the single demat account where they are sole or first holder.						
• The individual shall have only one BSDA in his/her name across all depositories.						
• Value of securities held in the demat account shall not exceed Rupees Ten Lakhs at any point of time.						
• BSDA - I is applicable to clients having holding value less than Rs. 400000.						
• BSDA - II is applicable to clients having holding value between Rs. 400000 & Rs. 1000000.						
IN CASE YOU ARE ELIGIBLE AND WISH TO OPT FOR BSDA ACCOUNT, PLEASE TICK FOLLOWING BOX CAREFULLY :- <input type="checkbox"/> <input type="checkbox"/>						
WE DO NOT OPT FOR BSDA, HENCE OPT FOR FOLLOWING SCHEME.						
PLEASE FILL IN HE FOLLOWING DETAILS						
Tick the appropriate category clearly : <input type="checkbox"/> PLATINUM - LIFE TIME <input type="checkbox"/> PLATINUM - AMC <input type="checkbox"/> STANDARD - AMC						
(Not applicable if you have opted for BSDA Account)						
Email*		BO ID		Trading Code		
<div><div><div>1<sup>st</sup> Signatory</div></div><div><div>2<sup>nd</sup> Signatory</div></div><div><div>3<sup>rd</sup> Signatory</div></div></div>						
NOTES						
<div><div><div>• The above schedule is effective from 1<sup>st</sup> June 2023 and supercedes all Previously applicable rates to all categories of clients.</div><div>• Cheque/Demand Draft should be in favour of "Vardhaman Capital Private Limited."</div><div>• ONE TIME AMC should be paid upfront at the time of Opening or Change of scheme.</div><div>• Client must ensure that their name, Client/BO ID and Bill number is Written be hind every cheque/DD deposited by them.</div><div>• All charges are exclusive of GST. Taxes and other government levies will be charged extra as applicable from time to time.</div><div>• Above rates are based on NSDL/SEBI Charges and may be revised upon revision by NSDL/SEBI.</div><div>• Cheque dishonor charges Rs.100 (Min) or actual plus GST.</div><div>• interest for late payment will be charged @ 1.5% per month from the due date.</div><div>• In case of any upward revision of Transaction charges, 30 days notice will be given which shall be treated as sufficient notice.</div><div>• A settlement fee at the rate of Rs. 4.00 per debit instruction in a Client's account shall be charged to the Participant of the Client.</div></div><div><div>• In case of any debit balance in Client's name existing with Company, DP is authorized to refuse to accept any type of Instruction relating to transfer of shares from client's account, till the clearance of such clues and the DP services are liable to be discontinued within a period of 30 days from the date of demand. The renewal charges for Resuming the services will be Rs. 100.</div><div>• Stamp charges will be applicable extra.</div><div>• The AMC will be charged on prorata basis from the month of account opening. Subsequently, it will be charged annually in the month of April.</div><div>• Except for the month of April, an amount of Rs. 250 (Non adjustable/non refundable) will be charged for each scheme change request. The new scheme will be applicable from the following month in which the scheme is charged without adjustment of previous bills.</div><div>• Any service not quoted above will be charged separately.</div><div>• Additional account maintenance charges for corporate account-Rs.500 P.A. with scheme applied.</div><div>• AMC will be charged in advance at the time of opening the account.</div><div>• Same day DIS for Same Day Pay-in (upto 9:50 A.M. at client's own risk &amp; on best efforts basis)- Rs. 100 per transaction.</div></div></div>						



## Annexure I

[For New Accounts]

## Declaration for Basic Services Demat Account (BSDA)

To,

Date: 

D	D	M	M	Y	Y	Y	Y
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Vardhaman Capital Pvt. Ltd. - (DPID - IN303212)  
 25, Swallow Lane, Wardley House, 2<sup>nd</sup> Floor,  
 Kolkata - 700001

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

	Name	PAN							
Sole/First Holder									
Second Holder									
Third Holder									

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

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

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

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

1 \_\_\_\_\_ 2 \_\_\_\_\_ 3 \_\_\_\_\_  
 Signature(s) of Account Holder(s)

## Annexure A

### Nomination Form

**[ SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]**

<b>Vardhaman Capital Pvt. Ltd.</b> 25, Swallow Lane, Wardley House, 2 <sup>nd</sup> Floor, Kolkata-700001										<b>FORM FOR NOMINATION</b> <i>(To be filled in by individual applying singly or jointly)</i>																			
Date	D	D	M	M	Y	Y	Y	Y	UCC/DP ID	I	N							Client ID											
I/We wish to make a nomination. [As per details given below]																													
<b>Nomination Details</b>																													
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.																													
<b>Nomination can be made upto three nominees in the account.</b>										<b>Details of 1<sup>st</sup> Nominee</b>										<b>Details of 2<sup>nd</sup> Nominee</b>					<b>Details of 3<sup>rd</sup> Nominee</b>				
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:																												
5	Mobile / Telephone No. of nominee(s)																												
6	Email ID of nominee(s)																												
7	<b>Nominee Identification details –</b> [Please tick any one of following and provide details of same]  Photograph & Signature PAN <input type="checkbox"/> Aadhaar Saving Bank account no. Demat Account ID																												
<b>Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:</b>																													
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)																												

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

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

## Annexure B

### Declaration Form for opting out of nomination

**[SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]**

To	Date	D	D	M	M	Y	Y	Y	Y
Vardhaman Capital Pvt. Ltd. 25, Swallow Lane, Wardley House, 2 <sup>nd</sup> Floor, Kolkata-700001									
UCC/DP ID	I	N							
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.									
<b>Name and Signature of Holder(s)*</b>									
1. _____ 2. _____ 3. _____									

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