

CKYC No.		FORM No.	
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**60** years  
with you



# Bharat Bhushan Equity Traders Ltd.

Member NSE Capital Market, Currency Derivatives & F&O  
BSE Capital Market & F&O

## CLIENT REGISTRATION KIT (CASH, F&O AND CURRENCY)

For:  INDIVIDUAL  HUF  PROPRIETORSHIP FIRM  NRI  CORPORATE



BRANCH CODE/NAME		
GROUP (RM) CODE/NAME		
CLIENT CODE/NAME		
MOBILE / E-MAIL ID		
DATE OF OPENING / CLOSING		

**Thinking Investments...Contact Bharat Bhushan**

*60* years  
*with you*



S I N C E 1 9 5 4

## INDEX OF DOCUMENTS

S. No.	Name of Document	Brief Significance of the Document	Page No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1.	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction/check list.	1 to 5
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	6 to 9
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)	As per separate Booklet Page 1-8
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	10 to 13
6.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	14
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
7.	Acknowledgement from Client	Acknowledgement	14
8.	Declaration by HUF	Declaration	15
9.	Ghoshna in Hindi	Ghoshna	15
10.	Letter of Authority	Letter	16 to 18
11.	Disclosure to Client	Disclosure	18
12.	Letter of Authority to Trade	Letter	19
13.	Declaration for Common Mobile No./E-mail Id	Declaration	20
14.	FEMA / FATCA-CRS Declaration	Declaration	21

**60** years  
with you



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## BHARAT BHUSHAN EQUITY TRADERS LIMITED

MEMBER : NSE (Capital Market, Currency Derivatives and F&O Segment)  
BSE (Capital Market and F&O Segment)  
SEBI REGN. NO.: INZ000204433, Dt. 01-10-2018

503, Rohit House, 3, Tolstoy Marg, New Delhi-110001  
Ph.: +91-11-49800900 • Fax : +91-11-49800933  
Email : nse@bharatbhushan.com • Website : www.bbinvestments.in

### Compliance Officer's Details

Name : Mr. Sanjay Rajora Ph.: +91-11-49800900  
E-mail Id : compliance@bharatbhushan.com Mob.: +91-9312962804

### CEO Details

Name : Mr. Vijay Bhushan Ph.: +91-11-49800900  
E-mail Id : corporate@bharatbhushan.com

For any grievance/disputes please contact **BHARAT BHUSHAN EQUITY TRADERS LIMITED**, at the above address or email id- [investorgrievance@bharatbhushan.com](mailto:investorgrievance@bharatbhushan.com) and Phone No. 49800900. In case not satisfied with the response, please contact the concerned exchange(s) at :

### Exchange Name

National Stock Exchange of India Ltd.  
Bombay Stock Exchange Ltd.

### E-mail ID

ignse@nse.co.in  
iscdelhi@bseindia.com

### Phone No.

022-26598182, Toll Free : 1800 22 0051  
011-41510481

\* Clearing Member : GLOBE CAPITAL MARKET LTD.

609, Ansal Bhawan, 16, K. G. Marg, Connaught Place, New Delhi-110 001  
NSE F&O / NSE CD / BSE F&O SEBI Regn. No.: INZ000177137

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

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

**C. Proof of Address (POA): - List of documents admissible as Proof of Address:**

(\*Documents having an expiry date should be valid on the date of submission.)

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

**D. Exemptions/clarifications to PAN**

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

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

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

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).

2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

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

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

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



**Important Instructions:**

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

Photograph

Please affix your recent passport size photograph

**For office use only**

(To be filled by financial institution)

Application Type\*  New  Update

KYC Number \_\_\_\_\_ (Mandatory for KYC update request)

Account Type\*  Normal  Simplified (for low risk customers)  Small

Signature/Thumb Impression of Applicant

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

1.	Name* (Same as ID proof)																			
2.	Maiden Name (if any)*																			
3.	Father's / Spouse Name*																			
4.	Mother's Name*																			
5.	a) Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	b) Marital Status* <input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others																		
6.	a) Citizenship* <input type="checkbox"/> IN - Indian <input type="checkbox"/> Other (ISO 3166 Country Code _____)	b) 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																		
7.	a) PAN											b) Date of Birth								
8.	Occupation Type* ( <input type="checkbox"/> S-Service <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Sector ) ( <input type="checkbox"/> O-Others <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student ) <input type="checkbox"/> B-Business <input type="checkbox"/> X - Not Categorized																			

**2. ADDRESS DETAILS**

1.	Local / Correspondence Address																					
		City/Town/Village*														PIN/Post Code*						
		State/U.T. Code*														ISO 3166* Country Code						
2.	Contact Details (All communications will be sent on provided Mobile no./Email Id)	Tel. (Off.)														Tel. (Res.)						
		Fax No.														Mobile No.						
		Email ID																				
3.	Current / Permanent / Overseas Address (If different from above. Mandatory for Non-Resident Applicant to specify overseas address)																					
		City/Town/Village*														PIN/Post Code*						
		State/U.T. Code*														ISO 3166* Country Code						

**3. PROOF OF ADDRESS (POA)\* (Please refer instruction D at the end)**

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type \*  Residential  Business  Residential / Business  Registered Office  Unspecified  
 Proof of Address \*  Passport  Driving Licence  UID (Aadhaar)  Voter Identity Card  NREGA Job Card  
 Simplified Measures Account - Document Type Code    Others \_\_\_\_\_

**4. PROOF OF IDENTITY (POI)\* (Please refer instruction C at the end)**

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

A- Passport Number \_\_\_\_\_ Passport Expiry Date \_\_\_\_\_  
 B- Voter ID Card \_\_\_\_\_  
 C- PAN Card \_\_\_\_\_  
 D- Driving Licence \_\_\_\_\_ Driving Licence Expiry Date \_\_\_\_\_  
 E- UID (Aadhaar) \_\_\_\_\_  
 F- NREGA Job Card \_\_\_\_\_  
 Z- Others (any document notified by the central government) \_\_\_\_\_ Identification Number \_\_\_\_\_  
 S- Simplified Measures Account - Document Type code   Identification Number \_\_\_\_\_

**5. TICK IF APPLICABLE  RESIDENCE FOR TAX PURPOSE IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)**

ADDITIONAL DETAILS REQUIRED \* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\*    
 Tax Identification Number or equivalent (if issued by jurisdiction)\*                
 Place / City of Birth\* \_\_\_\_\_ ISO 3166 Country Code of Birth\*

**6. ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSE\* (Applicable if section 2 is ticked)**

Same as Current / Permanent / Overseas Address details  Same as Correspondence / Local Address details

1. Address Details				
	City/Town/Village		ZIP/Post Code	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	State		ISO 3166 Country Code	<input type="text"/> <input type="text"/>
2. Contact Details (please refer instruction F at the end)	Tel. (Off.)		Tel. (Res.)	
	Fax No.		Mobile No.	
	Email ID			

**7. DETAILS OF RELATED PERSON (in case of additional related persons, please fill Annexure B1) (Please refer instruction G at the end)**

Addition of Related Person  KYC Number of Related Person \_\_\_\_\_  
 Deletion of Related Person (if available)\*  
 Related Person Type\*  Guardian of Minor  Assignee  Authorized Representative

Name \_\_\_\_\_  
 (If KYC number and name are provided, below details of Section 7 are optional)



**PROOF OF IDENTITY (POI)\* OF RELATED PERSON\* (Please refer instruction H at the end)**

*(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)*

- A- Passport Number \_\_\_\_\_ Passport Expiry Date \_\_\_\_\_
- B- Voter ID Card \_\_\_\_\_
- C- PAN Card \_\_\_\_\_
- D- Driving Licence \_\_\_\_\_ Driving Licence Expiry Date \_\_\_\_\_
- E- UID (Aadhaar) \_\_\_\_\_
- F- NREGA Job Card \_\_\_\_\_
- Z- Others (any document notified by the central government) \_\_\_\_\_ Identification Number \_\_\_\_\_
- S- Simplified Measures Account - Document Type code   Identification Number \_\_\_\_\_

**8. REMARKS (if any)**

\_\_\_\_\_

\_\_\_\_\_

**9. 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 / E-mail on the registered number / email address.

Place : \_\_\_\_\_

Date : \_\_\_\_\_

**Signature / Thumb Impression of the Applicant**  \_\_\_\_\_

**10. ATTESTATION / FOR OFFICE USE ONLY**

Document Received  Certified Copies

**KYC & IN-PERSON VERIFICATION CARRIED OUT BY**

**INSTITUTION DETAILS**

Emp. Name / Code							
Emp. Designation							
Emp. Branch							
Emp. Signature							
Date							

Name :	<b>BHARAT BHUSHAN EQUITY TRADERS LIMITED</b>
Code :	<b>IN 0077</b>

*60* years  
*with you*

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BHUSHAN**

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Name (2) : .....  
 PAN :   
 Residential : .....  
 Address City/Town/Village : ..... Pin Code :   
 State : ..... Country : .....

Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:

Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)

Any Other Information : .....

Name (3) : .....  
 PAN :   
 Residential : .....  
 Address City/Town/Village : ..... Pin Code :   
 State : ..... Country : .....

Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:

Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)

Any Other Information : .....

Name (4) : .....  
 PAN :   
 Residential : .....  
 Address City/Town/Village : ..... Pin Code :   
 State : ..... Country : .....

Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:

Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)

Any Other Information : .....

**DECLARATION**

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

Name : ..... Signature of the Authorised Signatory/ies 

Signature of the Authorised Signatory/ies 

Signature of the Authorised Signatory/ies 

Date :

**FOR OFFICE USE ONLY**

(Originals verified) True copies of documents received

(Self-Attested) Self Certified Document copies received

Signature of the Authorised Signatory  Date :

Seal/Stamp of the Intermediary



#### D. PAST ACTIONS

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 :

1. ....
2. ....
3. ....

#### E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name : ..... SEBI Regn.:.....

Registered Office Address : .....

City/Town/Village : .....Pin Code :

State : ..... Country : .....

Phone No. : ..... Fax : ..... Website :.....

- **Whether dealing with any other stock broker/sub-broker** (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of Stock Broker : .....

Name of Sub-broker (if any) : .....

Registered Office Address : .....

: .....Pin Code :

Client Code :  Exchange : .....

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

#### F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :

Physical Contract Note       Electronic Contract Note

Specify your Email id, if applicable : .....

- Whether you wish to avail of the facility of internet trading/ wireless technology     Yes     No (Pl. Specify.....)

- Number of years of Investment/Trading Experience ..... Years

- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of     Company     Firm     Others.....

- Any other information : .....

#### G. INTRODUCER DETAILS (Optional)

Name of the Introducer : .....

Status of the Introducer :     Sub-broker     Remisier     Authorized Person     Existing Client

Others, please specify .....

Address of the Introducer : .....

City/Town/Village : .....Pin Code :

State : ..... Country : .....

Phone No. : .....

Signature of Introducer : .....

## H. NOMINATION DETAILS (for Individuals only)

I/We wish to nominate       I/We do not wish to nominate

Name of the Nominee : .....

Relationship with the Nominee : .....


PAN of Nominee :  Date of Birth of Nominee :

Address of Nominee : .....

City/Town/Village : ..... Pin Code :

State : ..... Country : .....

Phone No. : .....

Signature of Nominee : 

### If Nominee is a minor, details of guardian

Name of Guardian : .....

Address of Guardian : .....

City/Town/Village : ..... Pin Code :

State : ..... Country : .....

Phone No. : .....

Signature of Guardian : .....

### WITNESSES (Only applicable in case the account holder has made nomination)

#### 1st Witness

Signature : .....

Name : .....

Address : .....

..... Pin Code :

#### 2nd Witness

Signature : .....

Name : .....

Address : .....

..... Pin Code :

## I. OTHER DETAILS

### Gross Annual Income Details (please specify): Income Range per annum

Below ₹ 1 Lac     ₹ 1-5 Lac     ₹ 5-10 Lac     ₹ 10-25 Lacs     ₹ 25 Lacs - 1 Crore     Above ₹ 1 Crore

Net-worth as on     ..... (\*Net worth should not be older than 1 year)

### Occupation (please tick any one and give brief details)

Private Sector     Public Sector     Government Service     Business     Professional     Agriculturist

Retired     Housewife     Student     Others \_\_\_\_\_

**Please tick, if applicable**     Politically Exposed Person (PEP)     Related to a Politically Exposed Person (RPEP)

**Any Other Information** : .....

## DECLARATION

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

Place : .....

Date :



Signature of Client / (all) Authorised Signatory (ies)



**FOR OFFICE USE ONLY**

UCC Code allotted to the Client : .....

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

Account Opened by : .....

Exchange activated & Mapped by : .....

Rechecked by : .....

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

Signature of the Authorised Signatory

Date .....

Seal/Stamp of the Stock Broker

**ADDITIONAL INSTRUCTIONS/ CHECK LIST FOR DERIVATIVES**

1. Additional documents in case of trading in derivatives segments - illustrative list:
  - Copy of ITR Acknowledgement
  - Copy of Annual Accounts
  - In case of salary income - Salary Slip, Copy of Form 16
  - Net worth certificate
  - Copy of demat account holding statement.
  - Bank account statement for last 6 months
  - Any other relevant documents substantiating ownership of assets.
  - Self declaration with relevant supporting documents.
  - \* In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. **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. In case of non-resident clients, employees at 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.
5. **For Non-Individuals**
  - a. 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.

**POLICIES AND PROCEDURES:****1. Refusal of orders for penny stocks:**

BHARAT BHUSHAN EQUITY TRADERS LIMITED shall have the absolute discretion to accept, refuse or partially accept any buy or sell order for execution from a client in respect of penny stock, illiquid stocks having low liquidity, illiquid "options", far month "option" writing of -options", stocks in S, Z and B2 Category and any other contracts which as per the perception of stock Broker are extremely volatile or subject to market manipulation.

Stock broker is advising to the clients not to deal in penny securities and if client deals with the penny stocks, 100% margin will be taken from the client and these shares will not be taken to as Margin deposit. The stock broker shall have authority from time to time limit (quantity/ value) or refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies) or may require compulsory settlement / advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance / placement of order(s) as well, the order being for securities which are not in the permitted list of the stock broker / exchange(s) / SEBI or does not commensurate with the risk profile of the client as assessed by the broker. Decision of Broker will be binding on the client and will be final.

**2. Setting Up Client's Exposure Limits:**

The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time. The client is aware and agrees that the stock broker may need to vary or reduce or impose new limits urgently on the basis of the stock broker's risk perception, risk profile of the client and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/ limits (such as broker level/ market level limits in security specific / volume specific exposures etc.).

In case margin is kept in securities, Broker would value these securities after applying such haircut as it deems appropriate. Similarly for providing exposure to client, Broker can pledge such securities in favor of clearing member/ Clearing Corporation.

The stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits.

Sometimes client's sauda may go to IOC (Immediate or Cancel) instead of normal bidding if broker terminal is on square off mode. The Stock Broker at its sole discretion can give extra exposure or intraday limit to the client, such extra exposure will automatically be squared off by trading mechanism without any further reference to the client appx. 15 minutes before the scheduled closing.

**3. Applicable Brokerage Rate :**

Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration of the client and/or subsequently through a written agreement between client and BHARAT BHUSHAN EQUITY TRADERS LIMITED. The rate of Brokerage shall not exceed the maximum brokerage permissible under Exchange bye-laws.

The slab rates of brokerage fixed by BHARAT BHUSHAN EQUITY TRADERS LIMITED are function of the quality and cost of services provided to the client and the volume and revenue expected from an account. It shall be reviewed by the BHARAT BHUSHAN EQUITY TRADERS LIMITED from time to time and may be increased with prospective effect at a notice of 15 Days sent to the E-mail address or postal address of the client registered with BHARAT BHUSHAN EQUITY TRADERS LIMITED.

The brokerage shall however be exclusive of the following:

- DP Annual maintenance charges
- DP transaction charges/Pledge/Re-pledge/Demat/ Re-mat Charges
- DP Inter settlement charges
- Account Opening Charges
- Delayed payment charges
- Penalties levied by Exchange
- Research advisory charges
- Courier charges
- Bank charges towards the cheques received unpaid
- DP, Bank and other processing charges towards periodic settlement of Funds/Securities on periodic basis.
- Statutory charges payable to Exchange/SEBI/Govt. Authorities etc.
- SEBI/Exchange/Clearing Member Turnover charges
- Other out of pocket and services related charges

**4. 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)**

Client shall be liable to penalty and other charges on nonpayment of margin money, short selling of securities or units, failure on payment of auction, cheque bounce, non delivery of shares, increase open position or on 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 as per Rules, Regulations, Guidelines and Circulars issued by SEBI and stock exchange time to time and client will be kept informed about the rate of such penalties & fines. Similarly in case of non receipt of full payment of value of delivery purchased, margin imposed (initial + MTM) interest will be charged at 21% p.a. calculated on daily basis on shortfall amount till the date of actual realization of money.

However, broker will not pay any interest on unutilized margin or balance in trading Account of the clients. In case of repeated violation by client, additional penalty will be levied. All fines/penalties and charges levied upon the Client due to its acts / deeds or transactions will be recovered by the Stock Broker directly from the client's account.

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

The client shall ensure timely availability of funds/securities in designated form & manner at designated time & in designated bank(s) & depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The Member Broker shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/securities by the client in the designated account(s) of the Member Broker for meeting the pay in obligation of either funds or securities. If the client gives orders/trade in anticipation of the required securities/funds being available subsequently for pay in through anticipated pay out from the exchange or through borrowings or any off market delivery(s) or 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/shortage at the exchange or Member Broker level/non release of margin by the Member Broker etc., the losses which may occur to the client as a consequence of such shortage in any manner such as on account of auctions/square off/ close outs etc., shall be solely to the account of the client and the client agrees not to hold the Member Broker responsible for the same in any form or manner whatsoever.

In case the payment is made by the Client through a bank instrument, the Member Broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc. at the absolute discretion of the Member Broker.

When the margin is made available in form of securities or any other property by the Client, the Member Broker is empowered to decline its acceptance as margin. The Client agrees and authorizes the Member Broker to determine the market value of securities placed as Margin after applying a haircut that the Member Broker may deem appropriate or by marking it mark to market or by any other method as the Member Broker may deem appropriate. The Client's positions are valued at the latest market price available ('mark to market') on a continuous basis by the Member Broker. The Client undertakes to monitor the adequacy of the collateral and the Market value of such securities on a continuous basis. If due to any reason but not limited to price fluctuations, there is erosion/shortfall in the value of the margins, the Client agrees to replenish any shortfall in the value of the margins immediately, whether or not the Member Broker intimates such shortfall.

The Client hereby authorizes the Member Broker to square up/sell/liquidate all his/her/its outstanding positions/securities/shares and to cancel all pending orders at the discretion of the Member Broker, for any reason including the following (a) which are not marked for delivery 15 minutes before the closing time of the relevant segment (s) of the exchanges or any other time which the Member Broker may notify through electronic communication or otherwise from time to time; or (b) when mark to market (MTM) percentage reaches or crosses stipulated percentage mentioned on the website or any other percentage which the Member Broker may notify through electronic communication or otherwise. The Member Broker will have the sole discretion to decide above referred stipulated percentage/time depending upon the market condition. Any direct or indirect loss arising out of square off/cancellation shall be at the risk of and shall be borne by the Client.

In case any open position (i.e. short or long) gets converted into delivery due to non-square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the pay-in obligation failing which the client will have to face auctions or internal closeouts. In addition to this the Client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the Client is liable for all and any penalties/charges/fees/fines levied by the exchange(s).

Without prejudice to the Member Broker's other rights including the right to refer the matter to Arbitration, if payment / securities towards the Margin and or shortfall in Margin and or any other payment obligation of the Client towards the MEMBER BROKER is not received instantaneously to enable restoration of sufficient Margin/balances in the Client's account with the MEMBER BROKER, without any reference or prior notice or communication to the Client, the Member Broker has the right but not the obligation to take one or more of the following steps:

- (i) All or some of the positions/securities/shares of the Client as well as the securities placed as Margin or otherwise including but not limited to securities which are pending delivery/receipt with Member Broker may be liquidated/closed by the Member Broker at its sole discretion and at such rate and time as the Member Broker may deem fit.
- (ii) To withhold any payout of funds/securities.
- (iii) To withhold/disable the trading/dealing facility to the client.
- (iv) To cancel all pending orders.
- (v) To take any other steps which in the given circumstances, the Member Broker may deem fit.

The resultant or associated losses that may occur due to such squaring off/cancellations and or sale of securities/positions shall be borne by the Client and the Member Broker is hereby fully indemnified and held harmless by the Client in this regard. Such liquidation and or close out or cancellations of such securities/positions shall apply to any segment/exchange in which the Client does business with the Member Broker.

The Member Broker is entitled to prescribe the date and time by which margin/security is to be made available and the Member Broker may refuse to accept any payment in any form after such deadline for margin/security expires.

Any reference to sale or transfer of securities and or any other asset by the Member Broker shall be deemed to include sale or transfer of all the securities and or any other asset lying with MEMBER BROKER for any reason/account including which form the part of the Margin maintained by the Client with the Member Broker. In exercise of the Member Broker's right to sell or transfer securities and or any other asset, the Client agrees that the choice of specific securities and or any other asset to be sold or transferred shall be solely at the Member Broker's discretion.

The securities purchased by the client in CM Segment and or F&O segment (under physical settlement) shall be settled as under:

- (i) The securities purchased by the client in CM Segment and or F&O segment (under physical settlement) for which the payment is made/credit balance is available, in full on or before pay in day shall be transferred to beneficiary demat a/c of the client from Pool a/c within 24 hours of pay out.
- (ii) The securities purchased by the client in CM Segment and or F&O segment (under physical settlement) for which the full credit balance is not available in the account of the client or the payment is not/partially made by the client, shall be transferred to Client Unpaid Securities Account (CUSA)
- (iii) The securities lying in the CUSA shall be transferred to the beneficiary demat account of the client only on the receipt/availability of full amount from the client
- (iv) The securities lying in the CUSA shall be liquidated to the extent of debit balance within 5 trading days from the pay-out date of such securities without further notice to the client and the securities so liquidated shall be transferred to Pool Account for meeting payin obligation. No securities shall be kept in CUSA for more than 5 trading days from the pay-out date of such securities.
- (v) The choice of selection of securities to be liquidated against debit balance from CUSA will be at the sole discretion of the Member Broker depending upon the liquidity of the scrip, volatility in the market or any other factor as the Member Broker deem fit in each case.
- (vi) The securities of the client can be transferred in the beneficiary demat account of the client without/partial receipt of the payment at the sole discretion of the Member Broker in those cases where the said Beneficiary Demat Account is opened with Member Broker DP and the client has executed Power Of Attorney (POA) in favour of Bharat Bhushan Equity Traders Ltd.

#### **6. Shortages in obligations arising out of internal netting of trades**

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a. The short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/Payout Day. The securities delivered short are purchased from market on T +3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies + 5 % extra) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
- b. If securities cannot be purchased from market due to any reason, the short delivering seller is debited at the closing rate on T +3 day or Auction day on Exchange +10% and buyer will be given credit. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/ credits shall be as per Exchange Debits and Credits after deducting exchange penalties.
- c. In case of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction

#### **7. 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 stock broker may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances.

1. for non-payment or erosion of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities/ obligations.
2. Any order which is executed without the required Margin in the Client's account or the brokers exposure is more than 90% and above so no fresh trade will be taken.
3. The client hereby authorizes the Stock Broker to square up all his outstanding positions at the discretion of the Stock Broker. which are not marked for delivery 15 minutes before the closing time of the normal market or if the client's margin is evaporated by 90% in any of exchanges, BHARAT BHUSHAN EQUITY TRADERS LIMITED reserves the right to square off positions.
4. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock hitting circuit filters or for any other reason as prescribed or instructed by SEBI.

5. The stock broker is entitled to disable / freeze the account or trading facility / any other service if, in the opinion of the stock broker. the client has committed a crime, fraud or has acted in contradiction of this agreement or / evade / violate any laws, rules. regulations. directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

Any profit/loss arising out of these transactions shall be at the risk of and borne by the client.

#### **8. Temporarily suspending or closing a client's account at the client's request**

Client may instruct the member to close out the account or suspend the trading through client's account for the period as specified in the request in written and duly signed by him. The stock broker can with hold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

BHARAT BHUSHAN EQUITY TRADERS LIMITED may carry a periodic review of the client accounts and may suspend the accounts from Trading in the following circumstances:-

- Where the client is inactive for more than 6 months
- Physical contract notes are received back undelivered due to reasons like "no such person" , "addressee left", refusal to accept mails. POD's signed by the third persons, signature mismatch on POD's or other reasons which may create suspicion.
- ECN failed ( Bounced email) on more than 3 instances until client submits and registers new email id.

#### **9. Deregistering a client**

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

- i. If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
- ii. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- iii. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the security transactions;
- iv. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- v. If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Stock broker;

- vi. If any covenant or warranty of the Client is incorrect or untrue in any material respect; However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction as per Exchange Rules, Regulations, Bye-laws and SEBI guidelines.

#### **Client Acceptance of Policies and Procedures stated hereinabove:**

I/We have fully understood the same and do hereby sign the same agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through anyone or more means or methods such as post / speed post / courier / registered post / registered AD / facsimile / telegram / cable / e-mail / voice mails telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc.; or any other suitable or applicable mode or manner. I/we agree that the postal department / the courier company / newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail/voice mail service provider. etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons 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 stock broker before any court of law / judicial / adjudicating authority including arbitrator/ mediator etc.

I further undertake to adhere to the procedures & code of ethics prescribed by SEBI/Exchanges in this regard. Broker shall not be responsible for any transactions entered by the client in their personal capacity with the employees of broker, if any.



(Client Signature)

## TARIFF SHEET

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

CAPITAL MARKET SEGMENT				
	NSE		BSE	
	in %age terms	Minimum Paise (per share)	in %age terms	Minimum Paise (per share)
Intraday				
Delivery				
Trade to Trade				
FUTURES & OPTIONS SEGMENT				
	FUTURES		OPTIONS	
	in %age terms	Minimum Paise (per unit)	₹ Per Lot	
NSE				
BSE				
CURRENCY DERIVATIVES SEGMENT				
	in %age terms	Minimum ₹ Per Lot	Flat Brokerage ₹ (per lot)	
NSE				
MUTUAL FUNDS SEGMENT				
	NSE		BSE	
	in %age terms	Minimum ₹ (per unit)	in %age terms	Minimum ₹ (per unit)

\* Transaction Charges, GST, STT, Stamp Duty, Other Govt. Levies are extra.  
 One Time Account Opening Charges (Rs.).....  
 Recurring Charges : Monthly..... Quarterly..... Half Yearly..... Yearly.....  
 \* in case of physical contract notes, Rs. 25/- per contract note will be charged towards postage charges.  
 \* Other Charges @0.004% extra towards connectivity and CTCL software charges.



### ACKNOWLEDGEMENT FROM CLIENT

**VOLUNTARY**

#### BHARAT BHUSHAN EQUITY TRADERS LIMITED

503, Rohit House, 3, Tolstoy Marg, New Delhi-110001

Phone : +91-11-49800900 • Fax : +91-11-49800933 • E-mail : nse@bharatbhushan.com • Website : www.bbinvestments.in

I/We hereby acknowledge the receipt of duly executed copy of KYC, Annexures 4, 5, 6 in  Physical Form  Electronic Form as prescribed by SEBI and all other documents as executed by me/us. Further I/we confirm that the documents for KYC submitted by me/us are true and correct. I/we have also been informed that the standard set of Right & Obligations, RDD & Guidance Note has been displayed for information at company's website www.bbinvestments.in. I/we acknowledge that the other details related to my/our account are as under :

Trading Code..... UCC .....

My E-mail id.....



(Client Signature)

To,

**BHARAT BHUSHAN EQUITY TRADERS LIMITED**

503, Rohit House, 3, Tolstoy Marg, New Delhi-110001

Phone : +91-11-49800900, Fax : +91-11-49800933

E-mail : nse@bharatbhushan.com • Website : www.bbinvestments.in

Date : \_\_\_\_\_

As our HUF firm wishes to open an account with your Company in the said name ..... we beg to say that the first signatory to this letter, i.e., ..... is the Karta of the Joint Family and other signatories are the adult co-parceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said Karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to the DP from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the Karta, including the share of minor co-parceners.

In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said Act.

We hereby undertake to inform the DP of the death or birth of a co-parcener of any change occurring at any time in the membership of our joint family during the currency of the account.

Name &amp; signature of Karta

Name..... Signature.....

**Name & Signature of Adult Co-parceners (Use Annexure for additional Members)**

S. No.	Name	Relationship	Signature.....
1.	.....	.....	Signature.....
2.	.....	.....	Signature.....
3.	.....	.....	Signature.....
4.	.....	.....	Signature.....

**Name & Date of Birth of Minor Co-parceners**

S. No.	Name	Date of Birth	Guardian's Signature
1.	.....	.....	Signature.....
2.	.....	.....	Signature.....
3.	.....	.....	Signature.....
4.	.....	.....	Signature.....

## घोषणा

मैं.....यह घोषणा करता/करती हूँ कि मैंने भारत भूषण इक्विटी ट्रेडर्स लिमिटेड में अपना शेयर ट्रेडिंग (सीएम/एफओ/सीडीएस) खाता खोला है। उसके लिए मैंने एकाउन्ट ओपनिंग फार्म (के.वाई.सी.) और विभिन्न कागजात पर हस्ताक्षर किये हैं जोकि अंग्रेजी भाषा में हैं। मुझे इसका हिन्दी में मतलब समझा दिया गया है। मैं भारत भूषण इक्विटी ट्रेडर्स लिमिटेड के नियम व शर्तों से सहमत हूँ। मुझे के.वाई.सी. फॉर्म की कॉपी, अनुच्छेद 4, 5, 6, सहित मिल गई है। मुझे यह भी सूचित कर दिया है कि अनुच्छेद 4, 5, 6, को कम्पनी की वेबसाइट पर भी दर्शा दिया गया है।



हस्ताक्षर

To,

**BHARAT BHUSHAN EQUITY TRADERS LIMITED**

503, Rohit House, 3, Tolstoy Marg, New Delhi-110001

Phone : +91-11-49800900, Fax : +91-11-49800933

E-mail : nse@bharatbhushan.com • Website : www.bbinvestments.in

Date : \_\_\_\_\_

**Sub : Letter of Authority - NSE / BSE**

I/We am/are dealing in securities with you at NSE/BSE Capital Market Segment and Derivatives Segment and in order to facilitate ease of operations. We authorize you as under :

**1. Running Account Authorisation:**

I/We are dealing through you as a client in Capital Market and/or Future & Option Segment and/or Currency Segment and/or Interest Rate Future Segment & in order to facilitate ease of operations and upfront requirement or margin for trade.

I/We authorize you as under:

- a. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/We instruct you otherwise.
- b. I/We request you to settle my fund and release excess securities if any held in "Margin Pledge" account along with the funds' settlement after making necessary retention as per frequency option given below:-

Once in a calender Month

Once in every calender Quarter

except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.

- c. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite funds and securities towards my settlement / margin obligations and may also retain the fund expected to be required to meet margin obligation, calculated in the manner specified by the exchanges.
- d. I/We confirm you that I/We shall bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
- e. This Running account authorization would continue until it is revoked by me by giving a notice in writing.



\_\_\_\_\_  
(Client Signature)



**2. Telephonic Conversation:**

I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you. " I/We authorize you to record the telephonic conversations"

**4. Electronic Trading:**

Trading in exchanges is in Electronic Mode. based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of you and may result in delay in processing or not processing buy or sell orders either in part or in full. I agree that I shall be fully liable and responsible for any such problems glitch.

**5. Fines & Penalties:**

All fines/penalties and charges levied upon you by exchanges/regulator due to my acts / deeds or transactions may be recovered by you from my account.

**6. Charges & Balance Maintenance:**

I/We have a Trading As well as depository relationship with BHARAT BHUSHAN EQUITY TRADERS LIMITED Please debit the charges relevant with depository services and courier charges for sending physical documents from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my/our trading account / pay adequate advance fee for the said reason.

7. Notwithstanding anything contained in these presents, any amounts which are overdue from the client or a member of the client's family towards trading either in the cash. F&O or derivatives segments or on account of any other reason to the Stock Broker will be charged delayed payment charges at the rate of 1.5% per month or such other rate as may be determined by the Stock Broker. The client hereby authorizes the stock Broker to directly debit the same to the account of the Client at the ejnd of each month. The client also authorizes the Stock Broker to debit charges for depository services to the trading account.

- a. The Client agreed that any outstanding amount in his account or his spouse/relative or any company in which he is director or substantial share holder, shall be adjusted by the stock broker out of credit balance/shares or securities in any other aforesaid account.
- b. In case where client is a company, it authorized adjustments of any debit balance out of credit balance of any other company in which there is atleast one common director or having same share holder or group of share holders having substantial interest or from the credit directors. The company further assures that required permission and resolutions/authorization has been passed as per the law.
- c. Client also agrees that any balance/shares or securities outstanding in his account for purchase & sale of shares/securities etc. would be adjustable inter se company or its segments.


8. The Stock Broker shall send the trade confirmation to the client in form of contract Note, digitally signed contract note or otherwise via mail, email, fax, courier, Registered A.D./ oral communication. putting them on web server or otherwise at the postal address, telephone/fax nos. Email addresses intimated by the client to the Stock Broker.




9. The client further undertakes to collect or get collected from the Stock Broker and his/ its agents/ employees and authorized persons the order placement/ Modification slip, order cancellation details, trade confirmation slips and contract notes etc. And agrees to indemnity and hold the trading Stock Broker harmless for any delay in such collection and non-collection by his of his Order placement / modification slip, order cancellation details, trade confirmation slips and contract notes etc. from the office of the trading Stock Broker. The client understands that it is his responsibility to review the trade confirmation. receive/ view/save the contract notes/ digital contract notes. And that all information contained therein shall be binding upon the client.
10. The client further agrees and accepts that transmission of document/records/data and information including but not limited to contract notes (including digital contract notes. and other electronic documents) through ordinary post, UPC, courier/ speed post/ registered post / electronic mail i.e email/ electronic mail attachment/ download available from website or fax to his last known business and / or fax no. shall be deemed to have been properly delivered or served even if such communication is returned as unclaimed/ refused/ undelivered.
11. The client agrees that the Stock Broker will not be responsible for the non-receipt of the trade confirmation/contract notes or any other data/ information due to any change in the address/ E-mail address etc. not intimated to the trading Stock Broker in writing. The client also understands that he will have to down load the data/information within a week of the trading date and the Stock Broker shall be at liberty to delete old data that is to say data more than a week old from the web server without any notice.
12. The client further agrees and accepts to receive Contract Note, Bills, Ledgers, Margin Statements, Statement of Accounts for Funds & Securities, Order/Trade Confirmation Slip and any other documents in electronic form at his/her Email address.

\* Strike off the clauses not relevant to you.

Thanking you,  
Yours faithfully,

  
\_\_\_\_\_  
(Client Signature)

<p>(Fill Client Name &amp; Address)</p> <p>To,</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>Sir,</p> <p>As per exchange notification, we hereby inform you that, we do trading on behalf of client and on our own account also.</p> <p>Thanks and best regards</p> <p>For BHARAT BHUSHAN EQUITY TRADERS LIMITED</p> <p>(Authorized Signatory)</p> <p>I acknowledge receipt of your information that you do client based trading and Pro account trading.</p> <p> _____ (Client Signature)</p>	<p><b>(DISCLOSURE TO CLIENT)</b></p>
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To,

**BHARAT BHUSHAN EQUITY TRADERS LTD. (BBETL)**

Date : \_\_\_\_\_

503, Rohit House, 3, Tolstoy Marg, New Delhi-110001

Phone : +91-11-49800900, Fax : +91-11-49800933

**Sub: Authority to trade on my / our behalf.**

Dear Sir,

I/we am/are the holder of the a trading account bearing number \_\_\_\_\_ (hereinafter referred to as the "Account") opened and maintained with you and wish to appoint/ nominate \_\_\_\_\_ (hereinafter referred to as the "Representative"), s/d/w/h of \_\_\_\_\_ aged about \_\_\_\_\_ years, presently residing at \_\_\_\_\_ to perform all or any of the following acts, deeds and things, for and on my/our behalf and in my/our interest.

1. To operate the Account on my/our behalf.
  2. To issue necessary instructions to you, for purchase, sale or transfer of shares and Securities from or to the Account as per Representative own judgment, and to sign necessary documents, wherever required effectuating such instructions of purchase, sale or transfer of securities from or to the Account.
  3. To make or cause to make payments to BHARAT BHUSHAN EQUITY TRADERS LTD. (BBETL). whenever necessary, and in accordance with my/our obligations in accordance with the terms and conditions of various agreements executed between me/us and BBETL.
  4. To duly honour all my/our contractual obligations under various agreements executed between me/us and BBETL. including but not limited to the "Member Constituent Agreement" and/or any other undertaking, commitment issued by my/us in favour of BBETL.
  5. To accept and give valid discharges for acceptance and submission of contract notes, bills, ledger statements, transaction statements and all correspondence on my behalf and report any discrepancy therein to BBETL.
  6. To receive & accept necessary telephonic calls pertaining to margin &/or trade confirmation or any other call including verification call from BBETL. at mobile no. \_\_\_\_\_ & undertake to update this contact detail in writing with BBETL. in the event of any such change, taking place at any time in future.
  7. To sincerely abide by the Statutes, Rules, Regulations and Guidelines prescribed for the purpose and in relation to the operation of the Account.
- A. I/we hereby agree and undertake that all such acts, deeds and things done by the Representative shall be deemed to be binding upon me/us as the same has been done by me/us only and I/we shall hereby ratify all and such acts, deeds, or things done by Representative in any manner whatsoever in discharge of the duties conferred upon him/her under the present instrument.
- B. I/we hereby agree and undertake to indemnify and keep BBETL. including its directors, officers and employees indemnified against any loss, claims, liabilities, obligations, damages, deficiencies, actions, suits, or proceedings aroused / accrued or caused to the BBETL. for any wrong act, deed or thing done by the Representative in any manner whatsoever in exercise of the powers conferred upon him.
- C. I/we further undertake and agree not to challenge any act, deed or things done by said Representative in any manner.
- D. I/we hereby agree and acknowledge that this letter of Authority shall be effective and operational until BBETL. received and acknowledged revocation letter at its registered office.

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

Client Code : \_\_\_\_\_

\_\_\_\_\_  
(Client Signature)

To,

**BHARAT BHUSHAN EQUITY TRADERS LTD.**

503, Rohit House, 3, Tolstoy Marg, New Delhi-110001

Phone : +91-11-49800900, Fax : +91-11-49800933

Date : \_\_\_\_\_

**Sub: Common Mobile No. / Email ID for Trading / Demat Accounts**

Dear Sir,

I, \_\_\_\_\_ request you to kindly use the below mentioned Mobile No. & E-mail id for respective accounts as the said accounts belongs to my family members.

Mobile No. : \_\_\_\_\_

E-mail id : \_\_\_\_\_

I understand that it has been mandate by SEBI that separate Mobile No. and E-mail id is to be uploaded for each client. Further to this, under exceptional circumstances, the Trading Member / DP may, at the specific written request, upload the same Mobile No. / E-mail id for more than one trading / demat account provided such accounts belong to one family.

"Family" for this purpose would mean self, spouse, dependent children and dependent parents.

**DECLARATION**

I do hereby declare that the below mentioned name belongs to my immediate family and any discrepancies noted in this regard I shall be held responsible for the same.

Family Member's Code / Demat A/c No.	Family Member's Name	Relationship with Client	Signature of Family Member

Thanking you,

Yours faithfully,


\_\_\_\_\_  
(Client Signature)

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

Client Code : \_\_\_\_\_

## FEMA / FATCA-CRS DECLARATION

To,

**BHARAT BHUSHAN EQUITY TRADERS LTD.**

503, Rohit House, 3, Tolstoy Marg, New Delhi-110001

Phone : +91-11-49800900, Fax : +91-11-49800933

### FEMA / FATCA-CRS Declaration

1. Are you a Tax Resident any country other than India  Yes  No
2. If Yes, please specify the details of all countries where you hold tax residency and its Tax Identification Number & Type

Sr. No.	Country of Tax Residency	Tax Payer Identification No.	Identification Type (TIN or other, please specify)
1.			
2.			
3.			

#### **Declaration :**

I acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I am aware that I may liable for it. I also declare that I have complied & will continue to comply with FEMA regulations.

Yours faithfully,



\_\_\_\_\_  
(Client Signature)

Name :

Client ID / Trading Code :

Place :

Date :

*60* years  
*with you*

**BHARAT  
BHUSHAN**

S I N C E 1 9 5 4

*60* years  
*with you*

**BHARAT  
BHUSHAN**

S I N C E 1 9 5 4

## **Regd. Office**

Regd. Office : 503, Rohit House, 3, Tolstoy Marg, New Delhi-110001  
Ph. : +91-11-49800900, Fax : +91-11-49800933  
E-mail: nse@bharatbhushan.com • Website : www.bbinvestments.in

## **Branches**

### **CONNAUGHT PLACE**

H- 45, Connaught Place, New Delhi- 110001  
Ph.: +91-11-41513308, 41503585  
E-mail: corporate@bharatbhushan.com

### **NOIDA**

Krishna Apra Plaza, Plot No. P3, Sector 18,  
Commercial Market, Noida, Uttar Pradesh.  
Ph.: +91-120-4358612-13  
Email: noida@bharatbhushan.com

### **VASANT KUNJ**

19, Vasant Arcade, Vasant Kunj,  
New Delhi 110070  
Ph.: +91-11-26894527, 26894602  
E-mail: vk@bharatbhushan.com

### **GURGAON**

265, Central Arcade, Phase-II,  
DLF City, Gurgaon, Haryana  
Ph.: +91-124-4101706-07  
Email: gurgaon@bharatbhushan.com

### **JAIPUR**

412, City Mall, C-21B, Bhagwan Das Road,  
Panchbati, Jaipur-302001  
Ph.: +91-141-4049938-39  
Email: jaipur@bharatbhushan.com