



CENTRUM BROKING LIMITED

SEBI REGISTERED NSE, BSE AND MSEI MEMBER, DEPOSITORY PARTICIPANT AND PORTFOLIO MANAGER

Registered Office: Level -9, Centrum House, C.S.T. Road, Vidyanagari Marg, Kalina,
Santacruz (East) Mumbai – 400098

CIN: U67120MH1994PLC078125

Application No.: _____

CLIENT REGISTRATION KIT - NON INDIVIDUAL

(ACCOUNT OPENING FORM)

Client Name:			
Client Code:			
DP ID:		Client ID:	
Branch Name / Branch Code:			

NON INDIVIDUAL

CENTRUM BROKING LIMITED

Registered office :

Level -9, Centrum House, C.S.T. Road, Vidyanagari
Marg, Kalina,
Santacruz (East) Mumbai – 400098
Tel No : +9122 42159000, Fax No : +9122 42159344
Website : www.centrumbroking.com

Corporate Office & Correspondence Address :

Level -6, Centrum House, C.S.T. Road, Vidyanagari
Marg, Kalina,
Santacruz (East) Mumbai – 400098
Tel No : +9122 42159000, Fax No : +9122 42159344
Website : www.centrumbroking.com

Centrum Broking Limited is engaged in client based business and proprietary trading as well. This disclosure is made in pursuance of SEBI circular no. SEBI/MRD/SE/Cire-42/2003 dated 19th November 2003.

LIST OF REGISTRATION

Segment / Activity	Exchange / Regulator	Single- Registration No./Approval No	Date of Registration
CAPITAL MARKET	BSE	INZ000205331	08/10/2018
	NSE		
DERIVATIVES	NSE		
CURRENCY DERIVATIVES	MSEI		
	NSE		
DP ID	CDSL	12200	12/07/2012
DP	CDSL – SEBI	IN-DP-537-2020	12/07/2012
PMS	PMS – SEBI	INP 000004383	29/08/2012

Compliance Officer :

Ajay Sanjay Bendkhale
TEL NO : +91 022 42159000
EMAIL ID : compliance@centrum.co.in

CEO :

Sandeep Nayak
TEL NO : +91 022 42159000
EMAIL ID : sandeep.nayak@centrum.co.in

GRIEVANCE REDRESSAL MECHANISM

For any grievance/dispute please contact Centrum Broking Limited at the correspondence address or email Id - investor.grievances@centrum.co.in and Phone No: 91-22-42159000

In case not satisfied with the response, please contact the concerned exchange(s) at:

NSE Investor Grievance cell/Arbitration
Tel: (022)2659 8173/1800220058
Fax No : (022) 2659 8191
Email : ignse@nse.co.in

Bombay Stock Exchange Limited
Tel : (022)2272 8286
Fax No: (022) 2272 8097
Email : js@bseindia.com
Email :yogesh.bambardekar@bseindia.com

Metropolitan Stock Exchange of India Ltd
E-mail : investorcomplaints@msei.com

Tel No : 022-61129000 Extension : 9028

In case of any grievance/complaint against Centrum Broking Limited as Depository Participant, if you are not satisfied with the response received, you may contact CDSL on:

Phone: 1800-200-5533, Website: www.cdslindia.com, E-mail: complaints@cdslindia.com

You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575/ 1800 266 7575

SEBI/KRA-INTRUCTIONS/CHECKLIST FOR FILLING KYC FORM (Non Individuals)

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 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)/ Pass port/ Voter ID card/ Driving license.
2. PAN card with photograph.

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 I 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.

2. SIP of Mutual Funds up to Rs 50,000/- p.a.

In case of institutional clients, namely, FIIs, MFs, VCFs, FCI, 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.

B. 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
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations, • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.

Army/ Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

INSTRUCTIONS/CHECK LIST

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.
 - 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.

INDEX

S. No.	Name of the Document	Brief Significance of the Document	Page No	
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES				
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/checklist.	1 - 2	
		B. Document captures the additional information about the Constituent relevant to trading account.	3 - 4	
2	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	5	
3	Rights and Obligations	Document stating the Rights & Obligations of stock broker /trading member and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Client Information Guide (Document uploaded on Centrum Broking's Website)	
4	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.		
5	Guidance note	Document detailing do's and don'ts for trading on exchange for education of investors & Document detailing best practices to be followed for CDSL demat account holders		
6	Policies and Procedures	Document describing significant policies and procedures of Stock Broker.		
7	Rights and Obligations (DP)	Document stating the Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories		
8	Rights and Obligations (SLBS)	Document stating the Rights and Obligations of the clearing member/participant and its client in relation to the securities lending and borrowing scheme.		
9	Investor Charter	Document describing Disclosure of Investor Charter		
10	Demat Account Details	Additional Details and other details required for Operating DP account.		6 - 11
VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER				
12	Risk Profiler	Documents capturing risk appetite of client		12 - 14
13	Running Account Authorization	Running Account Authorization Letter for settlement of account periodically	15	
14	ECN Mandate	For Receiving Contract Note and Other documents in Electronic Mode.	16	
15	FATCA & CRS Forms	Forms capturing information regarding Tax Residency status /Nationality / Tax Identification Numbers and Such other details.	17 - 19	
16	Additional Terms and Conditions	Documents complements certain aspects of trading transactions which are not elaborated in other mandatory documents further it also seeks approval of the client to carry out certain transactions in mutual benefits of the member and the client.	20 - 23	

Signature of client : Signatures AS 1 - 19

Know Your Client (KYC) Application Form for Non Individuals

Please fill this form in English and BLOCK Letters

A. ENTITY DETAILS

Name	
Entity/Constitution Type	
PAN	
Date of Incorporation / Formation : DD/MM/YYYY Date of Commencement : DD/MM/YYYY	
Place of Incorporation : _____ Country of Incorporation : _____	
TIN/GST reg no : _____ CIN : _____	

B. Contact details

Mobile No:	Telephone no:
Email ID:	

C. Registered Office Address / Place of Business (specify proof submitted):

Address	
City : _____ .District : _____ Pin : _____	
State : _____ Country : _____	

D. Correspondence Address (specify proof submitted):

Address	
City : _____ .District : _____ Pin : _____	
State : _____ Country : _____	

E. NUMBER OF RELATED PERSONS :

F. REMARKS (if any) :

G. 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 change there in, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / We are aware that I/We may be held liable for it. I/We hereby consent to receiving information from Central KYC registry through SMS/email on the above registered number/email address.

Place :		AS1	Signature of Authorised Signatory
Date :	DD/MM/YYYY		

FOR OFFICE USE ONLY

Originals Verified Documents and In-Person verification details:	
Name and Emp Id:	
Designation: _____	
Place: _____ Date : DD/MM/YYYY	
Name of the Organisation: CENTRUM BROKING LIMITED	

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC)
Application Form for Non-Individuals

Full Name*(Same as ID proof) _____ Maiden Name _____ DOB* _____ (DD/MM/YYYY) Father/ Spouse name _____ Mother Name _____ Gender* _____ PAN* _____ Aadhaar no _____ Nationality* _____ Address* _____ _____ City* _____ District* _____ State* _____ Country* _____ Pin code* _____ DIN* _____ (Mandatory for Director) Related Person Type* <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Partner <input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Court appointment official <input type="checkbox"/> Proprietor <input type="checkbox"/> Beneficiary <input type="checkbox"/> Beneficial owner <input type="checkbox"/> POA holder <input type="checkbox"/> Other (specify) _____ Proof of ID submitted _____ Proof of Address submitted _____ Mobile no _____ Email id _____	<p>PHOTOGRAPH</p> <p>Please affixed your recent passport size photograph</p>
Full Name*(Same as ID proof) _____ Maiden Name _____ DOB* _____ (DD/MM/YYYY) Father/ Spouse name _____ Mother Name _____ Gender* _____ PAN* _____ Aadhaar no _____ Nationality* _____ Address* _____ _____ City* _____ District* _____ State* _____ Country* _____ Pin code* _____ DIN* _____ (Mandatory for Director) Related Person Type* <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Partner <input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Court appointment official <input type="checkbox"/> Proprietor <input type="checkbox"/> Beneficiary <input type="checkbox"/> Beneficial owner <input type="checkbox"/> POA holder <input type="checkbox"/> Other (specify) _____ Proof of ID submitted _____ Proof of Address submitted _____ Mobile no _____ Email id _____	<p>PHOTOGRAPH</p> <p>Please affixed your recent passport size photograph</p>
Full Name*(Same as ID proof) _____ Maiden Name _____ DOB* _____ (DD/MM/YYYY) Father/ Spouse name _____ Mother Name _____ Gender* _____ PAN* _____ Aadhaar no _____ Nationality* _____ Address* _____ _____ City* _____ District* _____ State* _____ Country* _____ Pin code* _____ DIN* _____ (Mandatory for Director) Related Person Type* <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Partner <input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Court appointment official <input type="checkbox"/> Proprietor <input type="checkbox"/> Beneficiary <input type="checkbox"/> Beneficial owner <input type="checkbox"/> POA holder <input type="checkbox"/> Other (specify) _____ Proof of ID submitted _____ Proof of Address submitted _____ Mobile no _____ Email id _____	<p>PHOTOGRAPH</p> <p>Please affixed your recent passport size photograph</p>
Full Name*(Same as ID proof) _____ Maiden Name _____ DOB* _____ (DD/MM/YYYY) Father/ Spouse name _____ Mother Name _____ Gender* _____ PAN* _____ Aadhaar no _____ Nationality* _____ Address* _____ _____ City* _____ District* _____ State* _____ Country* _____ Pin code* _____ DIN* _____ (Mandatory for Director) Related Person Type* <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Partner <input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Court appointment official <input type="checkbox"/> Proprietor <input type="checkbox"/> Beneficiary <input type="checkbox"/> Beneficial owner <input type="checkbox"/> POA holder <input type="checkbox"/> Other (specify) _____ Proof of ID submitted _____ Proof of Address submitted _____ Mobile no _____ Email id _____	<p>PHOTOGRAPH</p> <p>Please affixed your recent passport size photograph</p>

AS2

Name and Signature of Authorised signatory
(With Entity Seal/ Stamp)

Date: _____

TRADING ACCOUNT RELATED DETAILS

Mode in which you wish to receive the RDD, Rights & Obligations, and Guidance Note: Physical Electronic **A. Bank account details**

MICR code (9 Digits)										IFSC code (11 Digits)										
Account number										Type										
Bank Name																				
Branch Name & Address																				
City										State										
Country													PIN code							

Note: Please provide the above details with care as the same shall be used for payment through NEFT/RTGS.

1. Photocopy of the cancelled cheque having the name of account holder where the cheque book is issued, (or)
2. Photocopy of the Bank Statement having name and address of the BO/Client and not more than 3 months old,
3. Photocopy of the passbook having name and address of the BO/Client, (or)
4. Letter from the Bank

In case options (ii) (iii) and (iv) above, MICR Code of the branch should be present / mentioned on the document should be self certified by the BO / Client.

B. Other Details

1. Gross Annual Income Details Please tick (✓): Below 1 Lac 1-5 Lacs 5-10 Lacs 10-15 Lacs 25-1 Cr
 More than 1 cr

2. Net-worth in ₹ _____ as on (date) _____

3. Is the entity involved/providing any of the following services

a. Foreign Exchange / Money Changer Services Yes No **b.** Gaming/Gambling/Lottery Services (e.g. Casinos, betting syndicates) Yes No **c.** Money Lending/ Pawning Yes No

4. Any other information: _____

C. 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 _____

D DEPOSITORY ACCOUNT(S) DETAILS

Depository Name:	NSDL	CDSL
Depository Participant Name		
Beneficiary Name		
Depository ID		Beneficiary ID

INTRODUCER DETAILS (OPTIONAL)

Name of the Introducer		
Status of the Introducer -Sub-Broker/Remisier/ Authorised		
Person/Existing Client Address of the Introducer		
Phone Number		Signature (optional)

ADDITIONAL DETAILS

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

Specify your Email id, if applicable: _____

Whether you wish to avail of the facility of internet trading/wireless technology (please specify): _____

Number of years of Investment/Trading Experience: _____

Any other information: _____

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: _____

TRADING PREFERENCE

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE				
All Segments	Cash	Mutual Fund	F&O	Currency	Debt
(NSE & BSE)	(NSE & BSE)	(ONLY BSE)	(ONLY NSE)	(ONLY NSE)	(ONLY BSE)
☛ Sign Here	☛ Sign Here	☛ Sign Here	☛ Sign Here	☛ Sign Here	☛ Sign Here

If in future the client wants to trade on any additional exchange/segment, a segment, a separate authorization letter clearly mentioning the name of the exchange and segment can be submitted by the client.

DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-brokers Name: _____ SEBI Registration number: _____

Registered office address _____ Fax : _____

Phone: _____ Website _____ RBI Reg. no. (If applicable) _____

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 _____ Client Code: _____ Exchange: _____

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

(Use extra sheet if required)

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 misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.
2. I/We confirm having read/been explain 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 i.e. www.centrumbroking.com

Place: _____

Date: _____

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AS 7 _____

Signature of the Client

FOR OFFICE USE ONLY

	Documents verified with Originals	Client Interviewed By
Name & code of the Employee		
Designation of the employee		
Date		
Signature		

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' documents(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 www.centrumbroking.com, if any, for the information of the clients.



Signature & Seal/stamp of the Centrum broking limited
Authorised Signatory

Date : _____

SCHEDULE OF CHARGES (TRADING)

<input type="checkbox"/> STANDARD RATES (TRADING)	Brokerage Delivery: 0.50% min. 0.05% Intraday 0.05% (each leg) min. 0.05% Futures: 0.05% min. 0.02% Option: Rs 100/- per lot Currency Derivative: Rs 100/- per lot Clearing Charges: 0.00025% of futures and currency Derivatives Turnover 0.00750% Options Premium Turnover
<input type="checkbox"/> Special Rates for a limited period These Special Rates may be withdrawn at the option of broker and "Standard Rates" may be levied.	Brokerage Delivery: ____ % min. ____ % Intraday ____ % (each leg) min. ____ % Futures: ____ % min. ____ % Option: ____ /-per lot Currency Derivative: Rs ____ /-per lot Clearing Charges 0.00025% of Futures and Currency Derivative Turnover 0.00750% Options Premium Turnover

Please mark any one scheme: (If not marked/filled Standard rates apply)

Other Charges:

Sr. No	Particulars	Charges
1	Exchange pay in for customers from collateral account or Inter settlement security transfer	Rs. 10/- per transaction
2	Cheque bounce charges	Rs. 500/- per presentment
3	Duplicate statement(printed statement to be couriers)	Rs. 100/- per request
4	Contract Note Charges(Additional physical copy)	Rs. 50/- per contract
5	Handling Charges(Additional copy)	Rs. 50/- or as maybe changed from time to time
6	Physical delivery Charges	Rs. 1500 /- Per Crore

Notes: 1. Centrum Broking Ltd reserves the right to revise the fees/charges with prior intimation to Client electronically or otherwise and such charges shall be effective from the seventh day of such intimation. 2. All other statutory, regulatory and contractual charges including STT, Stamp duty, GST, SEBI fees, Exchange Turnover charges as applicable.

AS8 _____
Signature of the client

X _____
RM Signature

ADDITIONAL DETAILS REQUIRED FOR TRADING AND DEMAT ACCOUNT

SUB-STATUS (Please select one)

<input type="checkbox"/> NON-INDIVIDUAL	<input type="checkbox"/> Pvt. Ltd. Co. <input type="checkbox"/> Public Ltd. Co <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership. <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO'S <input type="checkbox"/> FI <input type="checkbox"/> FII. <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank Govt. <input type="checkbox"/> Body <input type="checkbox"/> Non-Govt. <input type="checkbox"/> Organisation <input type="checkbox"/> BOI. <input type="checkbox"/> LLP <input type="checkbox"/> Defence Establishment <input type="checkbox"/> Society <input type="checkbox"/> OCB <input type="checkbox"/> Mutual Fund <input type="checkbox"/> CM. <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (specify) _____		
	SEBI Registration No. (if any)		SEBI Registration date
	RBI Registration No. (if any)		RBI Approval date
	Nationality	<input type="checkbox"/> Indian	<input type="checkbox"/> Other (specify)

I/We request you to open a demat account in my/ our name as per following details:-

FIRMS / AOP / TRUST ETC.

Name	PAN								
------	-----	--	--	--	--	--	--	--	--

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

APPLICABLE TO DP ACCOUNTS

Depository Participant Name : **CENTRUM BROKING LIMITED**

Address: Level -9, Centrum House, C.S.T. Road, Vidyanagari Marg, Kalina, Santacruz (East) Mumbai – 400098

(To be filled by the Depository Participant)

Application No.		Date													
DP Internal Reference No.															
DP ID	1	2	0	1	2	2	0	0	Client ID						

(To be filled by the applicant in BLOCK LETTERS in English)

I/We instruct the DP to receive each and every credit in my / our account (If not marked, the default option will be 'Yes')	[Automatic Credit]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly		
I/We request you to send Electronic Transaction- cum- Holding Statement at the email ID _____			
		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you wish to receive dividend / interest directly in to your bank account given below through ECS? (If not marked, the default option would be 'Yes;) [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No		
SMS Alert Facility Refer to Terms & Conditions given as Annexure- 2.4	Mobile No.+91 _____ [Mandatory, if you are giving Power of Attorney (POA)] (If POA is not granted & you do not wish to avail of this facility, cancel this option).		
Easi	To register for easi, please visit our website www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.		
I/We would like to instruct the DP to accept all the pledge instructions in my/ our account without any other further instruction from my/ our end. (If not marked, the default option will be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No		
I/We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No		
I/We would like to receive the annual Report (Tick the applicable box. If not marked the default option would be Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic		

Transactions Using Secured Texting Facility (TRUST), Refer to Terms and Conditions Annexure -2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility, I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST		
	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)

AS9 _____

Signature of Client

Date: _____

OPTION FORM FOR ISSUE OF DIS BOOKLET

To,

Centrum Broking Limited (CBL)

Registered Office: Level -9, Centrum House, C.S.T. Road, Vidyanagari Marg, Kalina, Santacruz (East) Mumbai – 400098

Dear Sir/ Madam

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

OPTION 1:

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

OR

OPTION 2:

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

Yours faithfully

AS 10 _____

Signature of Client

Combined Registration Form for availing SMS Alert and/ or TRUST facility and for registering Clearing Members on whose behalf the securities can be transferred from the account of BO on the basis of SMS under TRUST Facility

To,

Centrum Broking Limited

Level -6, Centrum House, C.S.T. Road, Vidyanagari Marg, Kalina, Santacruz (East) Mumbai – 400098

Dear Sir/ Madam,

I/We wish to avail the following facility/ies provided by the depository on my/ our mobile number as provided below subject to the terms and conditions as specified by CDSL

- a. SMART-SMS alert facility
- b. TRUST Transaction using Secured Texting facility

(Please note that SMS alert facility is mandatory if TRUST facility is opted for)

BOID:

1	2	0	1	2	2	0	0									
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--

Sole/ First Holder's Name: _____
 Second Holder's Name: _____
 Third Holder's Name: _____

I/We wish to register the following clearing members/ IDs under my/ our above mentioned BO ID registered for TRUST

Sr No.	Stock Exchange Name/ ID	Clearing Member Name	Clearing Member ID (Optional)

Mobile no. on which messages are to be sent:

+91																
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)
(Existing users registered for SMS alerts: - Please note that the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)

The mobile number is registered in the name of:

(Name): _____

Email ID: _____

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

I/we consent to CDSL providing to the service provider such information pertaining to account/transactions in my/ our account as is necessary for the purpose of availing the said facility. I/We acknowledge that transactions entered by the above clearing members will be executed on the basis of SMS sent through our registered mobile number under TRUST and I/We shall be wholly responsible for execution/ non- execution of the said transactions based on receipt/ non- receipt of such SMS. I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies and agree to abide by them and any amendments there to made by the depository from time to time. I/We further undertake to pay fee/ charges as may be levied by the depository from time to time.

AS 11 _____

Signature of Client

Terms and Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL

1. Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

- A. "Depository" means Central Depository Services (India) Limited (CDSL)
 - B. TRUST means "Transactions using Secured Texting" service offered by the Depository.
 - C. "Service Provider" means a cellular service provider (s) with whom the Depository has entered/ shall enter into an arrangement for providing the TRUST service to the BO.
 - D. "Service" means the service of providing facility to receive/ give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - E. "Third Party" means the operators with whom the Service Provider is having/ will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his/ her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed

by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository.

3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/ receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP/ CDSL will not be held liable for acting on SMS so received.
6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
7. The BO agrees that the signing of the TRUST registration from by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed/made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
11. The BO further acknowledges that the BO / CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute regarding the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied him to the Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process request originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a

consequence of the arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

18. Disclaimer:

Depository shall be absolved of any liability in case:-

- There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
- There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
- There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

DEPOSITORY CHARGES (Please TICK ONLY ONE)				
Particulars/Scheme	Signature (Only for PMS) <input type="checkbox"/>	Gold Scheme <input type="checkbox"/>	Special 1 <input type="checkbox"/>	Special 2 <input type="checkbox"/>
Deposit/ Account opening charges	Nil			
Agreement documentation charges (At the time of opening CDSL account)	Nil			
Annual Maintenance charges	Nil	Nil	₹ 999	₹ 1,999 - Life Time One Time AMC
Custody charges/ Booklet Charges/ Account closing charges	Nil			
Demat charges	₹ 100/- per DRF	₹ 100/- per DRF and ₹ 10/- per certificate	₹ 50/- per DRF and ₹ 5/- per certificate	₹ 30/- per DRF and ₹ 3/- per certificate
Demat rejection charges	₹ 100/- per DRF			
Rematerialization charges	₹ 100/- per DRF	₹ 100/- per certificate +CDSL charges on actuals	₹ 50/- per certificate +CDSL charges on actuals	₹ 30/- per certificate +CDSL charges on actuals
Transaction charges (Sell Through Centrum Broking Ltd) off - market/On - market	Credit and Debit transactions-Nil	0.02% of the value; subject to a min ₹ 25/- per transaction	Debit/ sell ₹ 25/- per transaction	Debit/ sell ₹ 15/- per transaction
Transaction charges (Outside Centrum Broking Ltd)	Credit- Nil; Debit transactions - ₹ 25/- per ISIN	0.02% of the value; subject to a min ₹ 25/- per transaction	Debit/ sell ₹ 25/- per transaction	Debit/ sell ₹ 15/- per transaction
Failed instruction charges	₹ 10/- per ISIN			
Pledge charges for creation/ closure/ invocation/ confirmation	₹ 100/- per ISIN	0.02% of the value; subject to a min ₹ 25/- per transaction	0.02% of the value; subject to a min ₹ 25/- per transaction; max cap of ₹ 2,500/-	0.02% of the value; subject to a min ₹ 25/- per transaction; max cap of ₹ 1,500/-
Monthly/ quarterly/ transaction statement email	Nil			
Additional account statement (Physical)	₹ 100/-			
Additional account statement (Electronic)	25/-		Nil	
Other charges	Rs.500/- for cheque bounce / NDU charges Rs. 0.02% Min Rs. 50			

Account closure charges	Nil	Nil
Late instruction execution charges.	Nil	₹ 20/- per ISIN
Margin Pledge / Re-pledge / Un-Pledge	₹ 15/- per ISIN	₹ 15/- per ISIN

Notes

1. Centrum Broking Ltd (CBL) reserves the right to revise its charges / billing structure at its discretion.
2. Cheques / pay orders / DD should be drawn in favour of "Centrum Broking Limited".
3. Payment of AMC for the first year to be made at the time of account opening.
4. DP charges will be debited to the CBL broking account ledger when applicable
5. Amounts are exclusive of taxes and statutory levies which will be charged as actuals
6. Any services not covered above shall be charged separately
7. For corporates / non-individual accounts AMC levied by CDSL will be recovered in addition to the above specified charges which is 500 per annum computed on a pro rata (FY) basis for corporate accounts
8. 1,999 plan account maintenance charges are refundable only on account closure after two years, if the DP account has been seeing one transaction at least once a month for two years

I/We AGREE TO PAY THE ABOVE CHARGES AS PER THE SCHEME CHOSEN

AS12 _____

Signature of the Client (First Holder)

Place: _____

DECLARATION

I / We have received and read the terms & conditions, Rights and Obligations and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me / us above are true and to the best of my / our knowledge as on the date of making this application. I / We agree and undertake to intimate the DP any changes) in the details / Particulars mentioned by me / us in this form. I / We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

I/We acknowledge the receipt of documents containing Rights and Obligations applicable for DP account and further confirm that / we understand the contents of 'Rights and Obligations'

AS13 _____

Signature of the Client

Date:

FINANCIAL RISK PROFILER - FOR NON-INDIVIDUALS

1. As an organization what do you normally associate with the word 'risk'?	
a. Gain	<input type="checkbox"/>
b. Opportunity - Let's try	<input type="checkbox"/>
c. Uncertainty - Need Advice	<input type="checkbox"/>
d. Danger	<input type="checkbox"/>
2. Your present business / financial situation is	
a. Is not dependable	<input type="checkbox"/>
b. Is relatively secure	<input type="checkbox"/>
c. Fully secure	<input type="checkbox"/>
d. Doesn't matter as you already have enough capital / wealth	<input type="checkbox"/>
e. Can easily find an equally an alternate business line / source of funds	<input type="checkbox"/>
3. What is your expectation of how your future earnings would be?	
a. It would far outpace inflation	<input type="checkbox"/>
b. It would be somewhat ahead of inflation	<input type="checkbox"/>
c. It would keep pace with inflation	<input type="checkbox"/>
d. It may not be able to keep pace with inflation	<input type="checkbox"/>
4. How good is your knowledge of finance?	
a. We are expert in the field of finance	<input type="checkbox"/>
b. We are proficient in finance	<input type="checkbox"/>
c. We don't know much about finance but we keep our self updated about the developments through newspapers, journals, TV, etc.	<input type="checkbox"/>
d. Limited to knowing things like how the stock market or certain select script is / are moving	<input type="checkbox"/>
e. We are totally zero as far as knowledge of finance is concerned	<input type="checkbox"/>
5. Approximately what percentage of your assets (excluding own use property) is currently held in investment products where the value can fluctuate?	
a. Over 50%	<input type="checkbox"/>
b. Between >25% and 50%	<input type="checkbox"/>
c. Between >10% and 25%	<input type="checkbox"/>
d. Between >10% and 25%	<input type="checkbox"/>
e. 0%	<input type="checkbox"/>
6. How would you describe yourself as a risk - taker?	
a. Do not mind speculating	<input type="checkbox"/>
b. Willing to take risks for higher returns	<input type="checkbox"/>
c. Can take calculated risks	<input type="checkbox"/>
d. Low risk taking capability	<input type="checkbox"/>
e. Extremely averse to risk	<input type="checkbox"/>
7. If you had Rs. 25,00,000 to invest, which of the following choices would you make?	
a. Put the money in Bank Fixed Deposit and Bonds	<input type="checkbox"/>
b. Invest the money in Mutual Funds	<input type="checkbox"/>
c. Invest the money in Shares	<input type="checkbox"/>
d. Invest in the combination of above with higher proportion of Bank FDs and Bonds	<input type="checkbox"/>
e. Invest in the combination of above with higher proportion of Mutual Funds and Shares	<input type="checkbox"/>

FINANCIAL RISK PROFILER - FOR NON-INDIVIDUALS

8. you have a market tip on the price appreciation of a certain scrip, you

- | | |
|---|--------------------------|
| a. Immediately invest in the scrip | <input type="checkbox"/> |
| b. Invest if you feel that the source of the tip is an experienced/expert market player | <input type="checkbox"/> |
| c. Do some enquiry and analysis and then decide | <input type="checkbox"/> |
| d. Want to invest but are generally unable to take decision in such cases | <input type="checkbox"/> |
| e. You don't rely on such tips or totally ignore it. | <input type="checkbox"/> |

9. The stock market has dropped 25% and a share that you own also dropped 25%, but the market expects the share to go up again. What would you do?

- | | |
|--|--------------------------|
| a. Sell all the shares | <input type="checkbox"/> |
| b. Buy more of them | <input type="checkbox"/> |
| c. Sell some of them | <input type="checkbox"/> |
| d. Keep all of them as you expect the price to reach the earlier level | <input type="checkbox"/> |
| e. Keep all of them as you are afraid of booking a loss | <input type="checkbox"/> |

10. you have a substantial sum of money spare for about 6 months after which you need this sum to repay a loan, this sum is currently not invested anywhere, you would

- | | |
|--|--------------------------|
| a. Keep the money in your bank fixed deposit or money market funds | <input type="checkbox"/> |
| b. Invest the money in Debt mutual funds | <input type="checkbox"/> |
| c. Invest the money in Equity shares / Equity mutual funds | <input type="checkbox"/> |
| d. Loan the money at market rates to businessmen | <input type="checkbox"/> |
| e. Invest the money in a combination of above | <input type="checkbox"/> |

FINANCIAL RISK PROFILER - FOR INDIVIDUALS

ANALYSIS

Your Risk taking capacity based on your life seems to be	<input type="checkbox"/>
1. Low	<input type="checkbox"/>
2. Low-Medium	<input type="checkbox"/>
3. Medium	<input type="checkbox"/>
4. High	<input type="checkbox"/>
5. Very High	<input type="checkbox"/>
Your attitude to risk based on your inputs seems to be	<input type="checkbox"/>
1. Low	<input type="checkbox"/>
2. Low-Medium	<input type="checkbox"/>
3. Medium	<input type="checkbox"/>
4. High	<input type="checkbox"/>
5. Very High	<input type="checkbox"/>
INVESTMENT PROFILE	<input type="checkbox"/>
1. CONSERVATIVE	<input type="checkbox"/>
2. MODERATE	<input type="checkbox"/>
3. BALANCED	<input type="checkbox"/>
4. AGGRESSIVE	<input type="checkbox"/>
5. HIGHLY AGGRESSIVE	<input type="checkbox"/>

Name of the RM _____ Signature _____

I/We hereby acknowledge that my/our investment profile has been determined as _____ based on the information provided by me/us. However I/we declare that my/our risk profile to be charged to set up as _____

I/We would like to avail of leverage for trading in equities and Derivatives as may be offered by the member.

I/We hereby further confirm/undertake that the investments/trading done in securities market are from my/our own/borrowed sources of funds and confirm that the funds utilized for trading activity is in compliance with the rules, regulations and guidelines stipulated under PMLA.

AS14 _____

Signature of Client

Date:

MANDATE TO ISSUE CONTRACTS IN DIGITAL FORMAT

1. I/We hereby agree and consent to accept the contract notes / or other documents i.e. trade confirmation Daily Margin statement, bills, statement of accounts and all other communication for transactions carried on by me / us in Digital form to my email id _____ (Please mention your email otherwise your request will not be activated)
2. I / We undertake to check the contract notes and other documents and bring the discrepancies to your notice preferably within 24 hours of such issuance of contract notes.
3. My / our non-verification or not accessing the contract notes or other documents on regular basis shall not be a reason for disputing the contract note / other documents at any time I / We understand that availing of digital contract facility is subject to following conditions:
 - a. The digital contract notes and / or other documents will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
 - b. Digital Contract notes and other documents will be mailed to the E- mail address provided to us in the format as may be prescribed by the Exchanges from time to time.
 - c. The non-receipt of the bounced mail notification by the CBL shall tantamount to deemed delivery of the contract note / other documents at my / our E-mail ID.
 - d. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client. In case of any errors found in case of other documents as described in Para 1, a revised document may be sent to the client's registered email id or may be issued in physical form if it is not feasible to send email id due to any technical issues .
 - e. Discrepancies, if any, should be addressed to E-mail: investor.grievances@centrum.co.in preferably within 24 hours of issuance of digital contract notes.
4. Any changes in the terms and conditions shall be intimated from time to time in writing / e- mail
5. Digital Contract notes will also be available at URL - <https://www.centrumbroking.com>
6. I / We can view the Digital Contract notes on URL by using the username & password provided to me / us by the CBL
7. All other communications shall be emailed to me / us at the email id given by me / us.
8. In case of Statement of Fund and Securities, I / we will have time to report the discrepancies within 30 Days of date of receipt of such statement.
9. In case of any changes in Email Id or wish to withdraw the mandate, I / we will intimate the same in writing by physical letter to CBL.

Signature of Client: **AS16** _____

Date:

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FATCA & CRS Self-Certification (for Non-Individuals)

Client ID _____	Trading Code _____	Date _____	DD/MM/YYYY
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PART I

A. Is the account holder a Government body / International Organization/listed company on recognized stock exchange <i>If "No", then proceed to point B If "yes" please specify name of stock exchange, if you are listed company_____ and proceed to sign the declaration.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India <i>If "yes", then please fill of FATCA/CRS Self certification Form If "No", proceed to point C</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
C. Is the account holder an Indian Financial Institution <i>If "yes", please provide your GIIN, if any_____ If "No", proceed to point D</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen <i>If "yes ", (then please fill FATCA/CRS self-certification form). If "No", proceed to sign the declaration</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

Customer Declaration

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

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

Name of the Entity _____

Signature AS 17 _____

PART II

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

Section 1: Entity information	
Name of Entity	
Customer id (if existing)	
Entity Constitution Type	
Entity Identification type	<input type="checkbox"/> T <input type="checkbox"/> G <input type="checkbox"/> C <input type="checkbox"/> E <input type="checkbox"/> O
Entity Identification No & issuing country	
Country of Residence for tax purpose	

FATCA & CRS Self-Certification (for Non-Individuals)

Section 2: Classification of Non-Financial entities

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

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

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

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

If "Yes", please provide your TIN or its functional equivalent Provide your TIN issuing country_____ TIN

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

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

ActiveNFFE

Passive NFFE without any controlling Person

Passive NFFE with Controlling Person(s): US Others

Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus bank is not required to do the reporting) Please provide GIIN no: _____

Section 3: Classification of financial institutions (including Banks)

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

a. An entity is a U.S. financial institution If "Yes",
(i) Please provide your Taxpayer Identification Number (TIN) Yes No

(ii) Please provide GIIN, if any TIN

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

FATCA classification	Please provide the Global Intermediary Identification number (GUN) or other information where applicable
<input type="checkbox"/> Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement ("IGA") Jurisdiction	
<input type="checkbox"/> Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction	
<input type="checkbox"/> Participating FFI in a Non-IGA Jurisdiction	
<input type="checkbox"/> Non-reporting FI	
<input type="checkbox"/> Non-Participating FI	
<input type="checkbox"/> Owner-Documented FI with specified US owners	

Section 4: Controlling person declaration

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

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

FATCA & CRS Self-Certification (for Non-Individuals)

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

Section 5: Declaration

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

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

AS18

 Authorized Signatories and Company Seal (if applicable)

Name _____

Date (DD/MM/YYYY)

ADDITIONAL TERMS AND CONDITIONS APPLICABLE TO THE CLIENT FOR AVAILING SECURITIES TRADING SERVICES FROM CENTRUM BROKING LIMITED (CBL)

1. Compliance with Laws

I am / We are fully aware that all transactions that are carried out by me / us and on behalf of me / us shall always be subject to Government notifications, rules, guidelines, regulation, circulars, by SEBI / RBI / Exchanges and other regulatory authorities that may be in force from time to time.

In case if / we register as a Non- Resident Indian or my / our status changes from Resident Indian to Non-Resident Indian, I/ we agree to intimate the same to CBL or its depository participant and agree to abide by Foreign Exchange Management Act, 1999 and rules and regulations issued thereunder from time to time. I / We being NRI/ PIO, here acknowledge that I/we are aware of the RBI guidelines in relation to my / our investments in the secondary market in India. I / We hereby agrees to keep myself / our self abreast of the ceiling limits on investments as published by RBI from time to time and also agrees that I / We shall immediately reverse my / our transaction, if such transaction breaches the ceiling limits as imposed by RBI. In case I / we am/ are unable to reverse such transaction immediately, I / we authorize CBL to do so under intimation to me / us. Unless otherwise agreed in writing by CBL, I / we agree and confirm that CBL and I/we shall in no circumstances be considered as persons acting in concert or as persons co-operating with each other (directly or indirectly) or as persons having a common objective or purpose of substantial acquisition of shares or voting rights or gaining control over any company, whose shares are purchased by the CBL for and on behalf of and on account of me / us. I / We understand, agree and confirm to provide copies of Annual Accounts, Returns or any other document that may be asked for by CBL to comply with Prevention of Money Laundering Act, 2002, as amended. If I / we fail to provide the documents, as may be required by CBL, CBL reserves the right to suspend / terminate my / our trading / demat account after giving the proper notice in writing.

2. Dematerialised securities

All orders made by me / us shall only be in securities compulsorily traded in the dematerialized form. All deliveries of securities made by me / us shall only be in the dematerialized form.

3. Authorized Representative

I / We hereby confirm, undertake and agree to inform CBL in writing any change of authorized representative, failing which I / we shall be responsible for the trade obligations arising out of the actions of such representatives.

4. Charges

CBL shall be entitled to debit the charges of the depository participant for the trades and the bank charges for the realization/ return of cheques etc. to my/ our account and all other changes as detailed below.

User Fees / Other Charges: CBL may charge me / us fees / other charges for use of any other services (as per the applicable laws, rules and regulations), including but not restricted to Internet Trading related / ancillary services, use of the website platform and the call and trade services, etc.at rates mentioned on the website and intimated to me/ us in writing. Any modification in such rates/ fees/ charges will be notified to me / us by CBL in writing.

CBL shall have right to debit the following charges from my/our account

- (i) Account Set up Charges
- (ii) Documentation Charges
- (iii) All statutory levies such as STT Stamp duty exchange turnover tax, Goods & Services Tax, SEBI fee or any other levy of this nature.
- (iv) Bank Charges (will be levied as per actuals)
- (v) Charges for availing research reports
- (vi) Charges for availing special facility for mobile broking, SMS facility
- (vii) Inter-settlement charges
- (viii) Auction charges
- (ix) Penalties levied by the exchange for client limit violations
- (x) Charges for dishonor of cheques given by the Client
- (xi) Arbitration and Legal expenses in case of dispute resolution, subject to rules and regulations of SEBI / SEBI / Exchanges
- (xii) PMS advisory fee in terms of my agreement with your PMS division provided appropriate invoice with applicable GST or other taxes is issued to me in this regard by the PMS division of CBL.
- (xiii) Any other charges for other services / facilities availed by the Client and communicated by CBL to the client from time to time.

5. DELAYED REPORTING OF TRANSACTIONS

I/We hereby confirm and agree that if trades or transactions are reported late to CBL on account of any problems at the exchange or whatever reasons, the client in turn will be subject to late reporting of such transactions.

In addition, any errors reported to the clients for any reason whatsoever will stand subsequently corrected to reflect the transaction that was effected in the market.

6. RECORDING OF CONVERSATION

I/We are aware that CBL may record the conversations between my/ our representative and CBL either personally or over the telephone, and here by specifically permits CBL to do so. Such recordings may be relied upon by CBL as and when required to resolve disputes in connection with the trading transactions.

7. PROPRIETARY TRADING:

I/We are aware that CBL undertakes proprietary trading in addition to CLIENT based trading.

8. INCORRECT CREDIT / DEBIT:

In the event of receiving an incorrect credit / debit by reason of a mistake to my / our account, CBL shall be entitled to reverse such incorrect credit / debit at any time what so ever. I / We shall be liable and continue to remain liable to the CBL for any incorrect gain obtained as a result of the same and CBL reserves the right to take such remedial measures against me / us for recovery of the erroneous credit.

9. CBL CLIENT COMMUNICATION:

a. Electronic Communication of documents
Whereas I/We separately authorize CBL to send the contract note/trade confirmations of the trades executed, bills and account statements or such other data relating to my/ our trading account with CBL and also authorize Depository Participant to send all bills and/ or transactions statements, communication, welcome letter, scan KYC and information through electronic mail to my/ our email address registered through my/ our, account opening form (KYC) with Centrum Broking Limited and/ or such other designated email address as may be intimated by me/ us to CBL. By means of such authorization, CBL fulfills its legal obligation to deliver to me /us any such document if sent via electronic delivery. I/We agree that the log report generated by the system and the time of sending of the contract notes or other documents shall be treated as the acknowledgement and confirmation of receipt of contract notes and such other documents by me / us provided no bounced mail logs are received by CBL. I / We understand that it is my / our responsibility to review upon first receipt, whether delivered to me / us by mail, by e-mail (including any auto replies from the system of CBL), or other electronic means, all confirmations, statements, notices contracts, bills and other communications .All information contained therein shall be binding upon me/ us ,if I/we do not object, either in writing or via electronic mail preferably within twenty four hours after any such document is received by me/ us. In all cases, CBL reserves the right to determine the validity of my / our objection to the transaction. CBL may, on request by me / us and at such additional cost to me / us, send hard copies of the contract notes or such other documents. Further non

receipt of bounced mail notification by CBL shall amount to delivery of contract note at my / our email ID.

b. SMS facility authorization

I/We hereby authorize CBL to send investment information via SMS, and confirm voluntary acceptance of the SMS facility and will not hold either CBL or the SMS Service Provider acting on CBL's behalf, liable for the same. I / We confirm that the information so communicated will not be unsolicited or would not be any defamatory communication as it is transactional in nature and will not violate the Telecom Unsolicited Commercial Communications, Regulations, 2007 or any other person about the SMS received from CBL. I / We hereby consent and shall not have any objection in the event I / we receive any communication for sales promotion of the various products offered / to be offered by CBL or any of its group companies via SMS, mail, email, or any other form of communication and it will not amount to violation of any other provisions of law as may be applicable even if I/We is/ are registered under DND under TRAI guidelines.

In case, I/we do not wish to continue to receive any such communication, I/we shall intimate CBL in writing and CBL shall discontinue sending such communication within 7 working days.

c. Change of Address

Unless I/we inform CBL of the change of the address for communication, electronic or otherwise, in writing, all notices, circulars, communication or mail sent to the existing address shall be deemed to have been properly sent to or served upon me/us by CBL, I/We undertake and agree to inform CBL of the change in the designated email address.

d. Exposure to the client

The client understands that any debit amounts due are not cleared within T+2+5 days (T being the Trading day) no further trading exposure shall be granted by CBL as per regulations. The stocks acquired by the client during this period if remains unpaid then CBL shall be entitled to retain those securities up to five trading days after the Settlement day. Further, if the Funds Obligation is still outstanding beyond T+2+5 CBL shall have the right to liquidate the securities to recover the dues along with Delayed Payments charges as applicable without the requirement of any pre-trade client confirmation.

10. NO RECOURSE TO STOCK EXCHANGES / SEBI

I / We understand that I / we shall not have recourse to dispute redressal mechanism / arbitration mechanism / investor protection schemes of the Stock Exchanges / SEBI. In case I / we avail the services under any schemes / leagues / competitions etc., offered by any third party / group company / associate of the CBL.

11. SHARING OF INFORMATION:

I / We agree and confirm that CBL may appoint agents / representatives, service providers etc. ("Authorized Parties"), subject to Rules, Regulations, Bye-laws or other Guidelines issued by Exchanges / SEBI, for carrying out the acts mentioned in or in relation to these Terms & Conditions. I / We understand that CBL may need to share my / our information with such agents / representatives, service providers, etc. I / We shall have no objection to CBL sharing my / our information / documents / data to such agents / representatives, service providers or to group companies of CBL for the purpose of carrying out or facilitating acts mentioned in or acts ancillary to or in relation to these Terms & Conditions.

12. ASSIGNMENT

I / We hereby confirm and agrees that I / we shall not assign or transfer all or any of its rights, obligations and or benefit without the full and final settlement of my/ our account with CBL and without the prior consent of the CBL. CBL shall be entitled to assign its rights, obligations and / or benefits to any successor entities, affiliate entities in its absolute discretion, with notice thereof to me / us in writing.

13. DISCLOSURE OF INFORMATION

I / We hereby expressly authorize and permit CBL and each of its authorized representatives (including but not limited to its officers, employees and agents) to divulge, reveal or disclosure any or all of the particulars of my/our account and any personal information and information relating to any transaction or dealings between me/us and CBL:

- a. to the auditors, legal advisors and other professional advisors of CBL and the Authorized Parties;
- b. to any person or organization participating in the provision of electronic or, without limitation, other services in connection with services utilized by me/ us, for the purpose of the operation of the Account including but not limited to investigating discrepancies or claims;
- c. to any third party printer; agent or storage or data warehouse-keeping or archival service provided including but not limited to any provider of microfilm service or any electronic storage, archival or recording facility) for the purpose of making, printing, mailing, storing, microfilming and / or filing statements of accounts, labels, mailers or any other document or items on which my / our name and / or other particular appears, or any data or record of any document whatsoever;
- d. to the police or any other public officer or any representative of any governmental or regulatory body conducting an investigation in connection with any offence;

- e. to any Exchange, government or regulatory body or governmental (including quasi-governmental) authority or tribunal or courts of India or other jurisdictions, including the jurisdictions in which the Client has traded or where any of CBL's overseas business operations are situated;
- f. to any of the Authorized Parties for purposes of centralization of operations within CBL or the Centrum Group, for purposes in connection with business planning, restructuring and strategy and for the purpose of promoting, marketing or cross-selling of financial products and services to me / us;
- g. to any credit bureau (including the members of such credit bureau of which CBL is a member), rating agency, insurer, or any other provider of credit protection to CBL and / or any of the Authorized Parties of the client.
- h. to any assignee or transferee or prospective assignees or transferees of CBL's credit facilities, business and undertakings or such part thereof;
- i. to any person or entity participating in merger / acquisition or proposed merger / acquisition of CBL or its holding company with / by another company.

I / We hereby authorize CBL to make such enquiries and carry out such credit checks on me / us and to obtain from any third party (including any credit bureau or credit agency) any and all of my / our information as CBL may in its discretion deem fit, and I / We undertake to execute and deliver such document, including appropriate letters of authorization, as CBL may require for the purpose of such enquires, credit checks and assessments.

14. CBL'S LIABILITY

I / We understand that under no circumstances shall CBL or anyone involved in creating, producing, delivering or managing CBL's services, pursuant to these mandatory and voluntary client registration documents and Terms & Conditions, be liable for any direct, indirect, incidental, special or consequential damages, loss caused to me / us, including loss of profits that result from the use of or inability to use the service, delay in transmission of any communication, in each case for any reason beyond CBL's reasonable control (including on account of breakdown in systems) or out of any breach of any warranty or due to any fraud committed by any third party or any act beyond reasonable control of CBL. CBL shall not be liable / responsible for any statement received from fraudster imposters or for any consequences thereof.

15. REPRESENTATIONS AND WARRANTIES

I/We hereby represent and warrant that these Terms & Conditions have been clearly understood and that the details provided by me / us in the Know Your Clients documents and such other ancillary documents

submitted to CBL is complete, accurate and truthful. I/We undertake to inform CBL of any change in the information or details furnished by me/ us to CBL.

(i) I / We confirm that I / we are of legal age and have received, read and understood the Risk Disclosure Document, Rights & Obligations, Guidance Note and the Policies and Procedures of CBL;

(ii) I/We confirm that I / We am /are aware of the Prevention of Money Laundering Act (PMLA), 2002 and Rules thereunder and that I / we have not violated any of the provisions and rules of the said act.

16. CONFLICT BETWEEN TERMS AND CONDITIONS AND GUIDELINES

These Terms and Conditions are subject to Government notifications, any rules, regulations, guidelines, circulars issued by the SEBI and Rules, Regulations, Bye - Laws, Guidelines and Circulars of the Exchange (s) that may be in force from time to time (herein after referred to as the Guidelines). In case of any conflict between any of the terms and conditions of this document and the Guidelines, the Guidelines shall prevail.

17. STAMP DUTY

I / We understand that any stamp duty or levy (including interest or penalty levied thereon) payable on any of the Client Registration Documents, Contract Notes, agreements, deeds or documents executed in pursuance of provision of services to me / us by CBL shall be borne and paid by me / us.

18. DISCLAIMER

All investments and disinvestment decisions are based on my / our own evaluation of financial circumstances and investments objectives. This extends to any decision made by me / us on the basis of any information that may be made available by CBL /Sub-Broker / Authorized person through its website www.centrumbroking.com or through any other media. I/ We will neither hold, nor seek to hold CBL / Sub Broker / Authorized person, as the case may be, or any of its officers, directors, employees, agents, subsidiaries and / or associate companies(as per Companies Act and / or SEBI Regulations) and employees, directors and agents thereof liable for any trading losses, costs or damage incurred by me / us consequent upon relying on investment information, research opinion or advice or any other material / information provided by CBL / Sub Broker / Authorized person, as the case may be. I am / We are aware that any information provided by CBL through any medium based on the research of CBL or

other external sources is subject to normal variations in the stock market and is merely an estimation of the availability or otherwise of certain investments, and CBL shall not be responsible for nor deemed to have assumed responsibility for any such information. I / We should seek independent professional advice regarding the suitability of any investment decision before acting on such reports and CBL shall not be liable under any circumstances for any losses, costs, charge, expenses incurred/ suffered by me/ us based on such reports.

19. DECLARATION OF AGE OF MAJORITY (in case of Individuals only)

I / We understand that a person is deemed to have attained the age of Majority when he attains 21years of age in case of Minor whose Guardian is court-appointed or property is superintended/ assumed by any Court or Officer of any Court. In all other cases a Minor attains age of majority when he / she attains 18 years of age.

I / We hereby declare that:

I / We and all joint holders in the associated DP account have all attained the age of Majority (are not minors);

OR

The holder of the DP account associated with the trading account is a Minor, who will attain the age of majority on _____ (date).

20. CONTACT DETAILS IN APPLICATION FORM

The mobile number and / or e-mail id as provided by me/us in the Application Form are used by and / or are the Contact details of

_____ (name and relationship to applicant- contact details of only self, spouse, dependent children and dependent parents are allowed). I / We fully understand that any communications made to / alerts and messages sent at those contact details would be deemed to be sent to and received by me / us and the same shall be binding on me / us.

For verification of any of my details mentioned in the Application Form, I / we can be contacted at _____ mobile number) and / or _____ e-mail).

AS19 _____

Signature of the Client

Name:

**Centrum Broking Limited
(For Office Use)**

Acquisition RM: _____
(Name & Employee Code No.)

RM: (Broking/ Wealth): _____
(Name & Employee Code No.)

Broking RM: _____
(Name & Employee Code No.)

Dealer: _____
(Name & Employee Code No.)

AP Name / Code: _____

SRM: _____



Grievance Email ID: investor.grievances@centrum.co.in Website: www.centrumbroking.com

Version 22 (Dec'23)