卐श्री महावीराय नमः卐

KALPATARU MULTIPLIER LTD.

SHARE BROKER, MUTUAL FUND DISTRIBUTOR & DP

Member : (BSE) INZ000259437 Clg. Member ID No. 3016
(NSE) INZ000259437Clg. Member ID No. 11152
(MCX) INZ000259437 Clg. Member ID No. 16020

Depository Participant of CDSL DP-ID 12031600 SEBI Regn No. IN-DP-CDSL-221-2003

UCC BSE CM & F&O Sign .....

UCC NSE CM & F&O Sign .....

UCC MCX Sign .....

Branch Code.....

Demat ID.....

Client Code No.....

TRD.App. No.....

Demat and Trading (Individual) Account Opening Form

Name _____ Mobile _____

Phone _____

Corp. Off. : Hall No. 2, Ist Floor Western Block, Above Central Bank of India, GTB Complex, T. T. Nagar, Bhopal- 462003 Ph. : 0755-4223778, 4350141-143, 0755-4283016

Regd. Off. : Kalpataru House, 18, Itwara, Bhopal-01

Ph. No. : 0755-4262655, 4923130, 2742759, 2742738

E-MAIL : KMLHO@KALPATARUMULTI.COM, INFO@KALPATARUMULTI.COM WEB SITE : WWW.KALPATARUMULTI.COM

BRANCHES :

1. ARERA - E-3/103, Arera Colony, BHOPAL (M.P.) - 462016 Ph. : 4276724-25, 9826430536
2. BHEL- 12- B, Indrapuri, BHEL, BHOPAL (M.P.)-462021 Ph. 4260437, 4261959, 4259522, 4094834, 8989271259
3. M.P. Nagar - Kalpataru Tower, 131/16, Zone II, M.P. Nagar, Bhopal - 462011 Ph. 0755-4003833
4. GULMOHAR - G-2/114, Aishwarya Tower, Gulmohar Colony, Bhopal (M.P.)-462039 Ph.: 4296512-13,9300718386
5. M.P. NAGAR - 27, Noble Plaza, M-3, Above Samsung Showroom, Zone 2, M.P. Nagar, Bhopal-462011 Ph. : 4250687, 9425370687
6. MINAL - 45- FF, Minal Shopping Center, J.K.Road, Bhopal-462023 Mob. : 7974521728, 9893981910, 0755-4279637
7. KAROD - Shop No. 2, Bhagat Singh Chouraha, Sharma Parisar, Karod,Berasia Road, Bhopal Ph. : 2742451, 9893032568
8. SAGAR -Rukmani Complex, I st Floor, Namak Mandi, Katra Bazar, Sagar Ph. (07582) 243100, 9713401100, 9425636400
9. BINA - Infront of Decision Hotel, Khurai Road, Bina (M.P.) - 470113, M. : 8109292615, 7049592615, 9713310330
10. HARDA - Mahendra Dall Mill Campus, Station Road, Harda - 461331 M.: 9425045136, 9407268010
11. GADARWARA - Near SBI, Kamath ward, Gadarwara-467551 M. : 9893701718
12. BHILAI - Shop No. 49, A-Market,Sec.10 Bhilai Dist. Durg (C.G.)- Ph.(0788) 4037262, 9425556747, 9893406513
13. ASHOK NAGAR - Infront of Union Bank, Station Road, Ashok Nagar M. : 9926223080
14. JABALPUR - Infront of Nana Bhai Travels, Main Road, Ranjhi, Jabalpur (M.P.) Mob. 9300107852
15. LALITPUR I - Behind Laxmi Complex, Ist floor Head Post Office, Lalitpur (U.P.) Pin : 284403 Ph. 05176-275611, Mob. 09839484498
16. LALITPUR II - 03, Richhariya Market, Subhash Pura, Lalitpur (U.P.) Pin : 284403 M. : 9415183899

KALPATARU DEMAT & TRADING ACCOUNT OPENING PROCESS NOTE SHEET

	Work Description	Date	Name	Signature	Remarks
1.	Demat/ Trading account Form Filling in Branch				
2.	Demat/Trading account Form Checking in Branch				
3.	Form Receiving in Corp. Office				
4.	Form & Document Checking in Corp. Office				
5.	Demat account open in CDAS Software				
6.	Trading account open in Finkorp Software				
7.	UCC Upload in BSE				
8.	UCC Upload in NSE				
9.	UCC Upload in MCX				
10.	Mobile Registration in Back Office				
11.	Email Registration in Back Office				
12.	Mobile Registration in SMS Server				
13.	Trade Confirmation on Mobile SMS registration				
14.	Trade Confirmation (contract Note) Email registration				
15.	Backoffice registration & password to be send by mail				
16.	IBT registration in BSE/NSE/MCX User Id & Password to be sent by mail				
17.	IBT registration in BSE/NSE/MCX User Id & Password to be sent by mail				
18.	IBT registration in BSE/NSE/MCX User Id & Password to be sent by mail				
19.	IBT registration in BSE/NSE/MCX User Id & Password to be sent by mail				
20.	KYC form Checking				
21.	KYC form upload in CVL KRA & E-KYC				
22.	All Services intimation to client by Phone				
23.	Demat & Trading account number intimation to client by SMS				
24.	Demat & Trading account number intimation to client by Email				
25.	Demat Kit Preparation by				
26.	Final Form Checking				
27.	Form filing file No.				
28.	DDPI				

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time Directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied with 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 mentioned list in point E.
3. If any proof of identity or address is in a foreign/vernacular 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 or 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.

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/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill - Not more than 2 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 Bank/Scheduled Co-operative Bank/Multinational Foreign Bank / Gazetted Office / 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 consularized) 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.

1. Additional documents in case of trading in derivatives segment

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		Bank Account statement for last 6 months	
Any other relevant document substantiating ownership asset.		Self declaration with relevant supporting of documents.	

2. Copy of cancelled cheques 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. Stockbroker 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 in feasibility of carrying out in person verification of the non resident clients by the stock broker's staff, attestation of KYC document by the notary public, court, magistrate, Judge, local banker, Indian embassey/ consulate general in the country where the client resides may be permitted.
5. For Non- Individuals
   a. Form needs to be intialized by all the authorized signatories.
   b. Copy of board resolution or declaration (on the letterhead) naming person authorized to deal in securities on behalf of company/firm/ others and their specimen signature.

Signature ✓ _____

KYC CHECK LIST

S.No.	Particulars	First Holder	Second Holder	Third Holder
1.	Pan Card			
2.	Passport size coloured Photograph			
3.	**ADDRESS PROOF (ANY ONE)**			
A	Voter ID			
B	Driving Licence			
C	Electricity Bill (not more than 2 month old)			
D	Telephone Bill (not more than 2 month old)			
E	Passport			
F	Aadhar (Unique identification Number)			
G	Others_____			
4.	**BANK PROOF (BOTH OF THEM)**			
A	Original Cancelled Cheque &			
B	Bank Pass Book/Bank Statement			
5.	**DEMAT PROOF (ANY ONE)**			
A	Client Master(with original seal & sign.)			
B	Latest Holding Statement			

FOR OFFICE USE ONLY

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.										
DP ID	1 2 0 3 1 6 0 0	Client ID	0	0						

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			

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory document. 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 no 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.

For Kalpataru Multiplier Ltd.

Authorised Signatory

Date .....

Seal/Stamp of the stock broker

ACCOUNT OPENING KIT INDEX

(As per SEBI Circular No. CIR/MIRSD/16/2011 Dated 22/8/2011 & MIRSD/SE/CIR/21/2011 Dated 5/10/2011)

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
S.No.	**Name of the Document**	**Brief Significance of the Document**	**P. No.**
1	Account opening form	KYC Form-Document captures the basic information about the constituent and an instruction/ check list of all holders.	1-2
2	Demat/Trading account related details	Document captures the basic information about the constituent relevant to trading account and Documents capturing additional information for Demat account	3-4
3	Additional Detail for opening of Demat A/c	Document capturing additional information for Demat Account	5-6
4	Nomination Detail	Documents capturing information for Nominee	7-8
5	Brokerage Plan & Schedule o f Charges	Documents detailing the rate/ amount of brokerage/ AMC and other charges levied on the client. For Individuals/ Huf's/ Trusts For Demat A/c	9
6	Rights and Obligations	Documents stating the Rights and Obligations of stockbroker/trading member, sub broker and clients for trading on the exchanges (including additional rights and obligations in case of internet/ wireless technology based trading).	Seperate Electronic Copy provided to Client. Also available on www.kalpatarumulti.com Signature ✓
7	Risk Disclosure Documents (RDD)	Documents detailing risks associated with dealing in the securities market	
8	Guidance Notes Do's & Don'ts Do's & Don'ts	Documents describing do's and don'ts for trading on exchange for the education of the investor	
9	Policies and Procedures	Documents describing significant policies and procedures of the stockbroker (to be added by the stock broker).	
10	Rights and Obligations	Beneficial Owner and Depository Participant as prescribed by SEBI & Dep.	

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
11.	Letter of Authority	Consents of clients regarding order acceptance, etc.	10
12.	Electronic Contract Note (ECN)	Authorization to issue digitally signed contract notes	11
13.	Running account Authorization	Authorization to maintain running account	11
14.	Declaration for mobile no. / email id or Both	Authorization for sending information/alerts through SMS, Call & Email	12
15.	Client Defaulter Declaration	Declaration by client for being non defaulter	12
16.	Demat Debit and Pledge Instruction (DDPI)	Voluntary - DDPI	13-14
17.	CDSL SMS	Authorization for SMS Alerts for Depository operations.	15-16
18.	MITC	Most Important Terms and Conditions (MITC)	17
19.	Disclosure Under PMLA	Disclosure by Member to Client under PMLA 2002	18
20.	Disclosure Under PMLA	Disclosure by Client under PMLA 2002	18
21.	Acknowledgements	Acknowledgements of KYC documents by client	19
22	Acknowledgements	Acknowledgements of KYC documents by member/Business Partner	19
23.	Option Form For Issue of Dis Booklet	Authorisation for DIS book issue.	20
24.	PCD (Participants Category disclosures)	Declaration for Commodity segment	21
25.	Rights and Obligations	Beneficial Owner and Depository Participant as prescribed by SEBI & Dep.	22-23
26.	Future & Option Segment	Instructions to Client for Trading in Future & Options segment	24

KALPATARU MULTIPLIER LTD.

Regd. Office : Kalpataru House, 18, Itwara Bhopal - (M.P.) - 462 001 Tel. No. 2530536

Corporate Office : Corp. Off. :Hall No. 2, Ist Floor Western Block, Above Central Bank, GTB Complex, T. T. Nagar, Bhopal- 462003 Ph. : 0755-4350141-143, 0755-4283016

e-mail : kmlho@kalpatarumulti.com, info@kalpatarumulti.com web site : www.kalpatarumulti.com

Name of Stock Broker/Trading Member/Clearing Member : Kalpataru Multiplier Ltd.

(BSE) INZ000259437 Clg. Member ID No. 3016 (NSE) INZ000259437 Clg. Member ID No. 11152 (MCX) INZ000259437 Clg. Member ID No. 16020

Depository Participant of CDSL DP-ID 12031600 SEBI Regn No. IN-DP-CDSL-221-2003

Compliance officer & MD name, phone no. & email id : Mr. Amitabh Manya Jain, 0755-4350141, kmlho@kalpatarumulti.com

For any grievance/dispute please contact (Kalpataru Multiplier Ltd.) at the above address or email id-complaint@kalpatarumulti.com & Phone no. 0755-4350141 In case not satisfied with the response, please contact the concerned exchange(BSE) at is@bseindia.com and Phone no. 022-22729097, (NSE) at ignse@nse.co.in Tel. No. 1800220058, (MCX) at grievance@mcxindia.com Tel No. 022-67318888

FATCA/ CRS DECLARATION/ SELF CERTIFICATION FOR INDIVIDUAL

		First / Sole Holder
1.	Are you U.S. Person? (Refer KYC Handout - Customer Copy)	☐ Yes ☐ No
2.	Specify country of residence for tax purspose (Tax Residency)	☐ Yes ☐ No
3.	Specify Country of Citizenship	☐ Yes ☐ No

Note : If your are a U.S. personal and / or if your tax resident / nationality/ citizenship is other than India than please declare/self certification under FATCA/ CRS. This declaration form can be downloaded from https://www.kalpatarumulti.com or call at 0755-4350141

DECLARATION

I have read and understood the informaiton requirements and the Terms & Conditions mentioned in this forms (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Kalpataru Multiplier Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information.

Signature ✓ _____

Declaration for availing of Basic Services Demat Account (BSDA) facility

To,

Date D D M M Y Y Y Y

KALPATARU MULTIPLIER LTD.
Corp. Off. : Hall No. 2, Ist Floor Western Block,
Above Central Bank, GTB Complex, T. T. Nagar, Bhopal

Dear Sir/ Madam,

I/We wish to never avail the BSDA facility for the new account for which we have submitted my/our account opening form.

☐ Yes ☐ No

DP ID 1 2 0 3 1 6 0 0 Client ID 0 0

	Name	PAN
Sole/ First Holder		
Second Holder		
Third Holder		

I/ We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time. I/We also undertake to comply with the guidelines issued by any such authority for BSDA facility from time to time. I/ We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guideline issued by SEBI or any such authority at any point of time, my/our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the DP.

I, the first / sole holder also hereby declare that i do not have/proposed to have any other demat account across depositories as a first/sole holder.

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	✓	✓	✓

1. ACCOUNT OPENING FORM - CKYC & KRA KYC FORM

KALPATARU MULTIPLIER LTD.

Know Your Client
Application Form (For Individuals only)
(Please fill the form in English and in BLOCK Letters)
Fields marked with '*' are mandatory fields

Application Type* ☐ New ☐ Update KYC Number*

KYC Type* ☐ Normal (PAN is mandatory) ☐ PAN Exempt Investors (Refer instruction K)

1. Identity Details (Please refer instruction **A** at the end)

PAN Please enclose a duly attested copy of your PAN Card

	Prefix	First Name	Middle Name	Last Name
Name* (same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y

Photo

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

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ IN- Indian ☐ Others – Country _____ Country Code

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

Occupation Type* ☐ S-Service ☐ Private Sector ☐ Public Sector ☐ Government Sector ☐ O-Others ☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student ☐ B-Business ☐ X-Not Categorised

Signature/ Thumb Impression

2. Proof of Identity (PoI)* (for PAN exempt Investor or if PAN card copy not provided) (Please refer instruction C & K 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 D D M M Y Y Y Y

☐ B- Voter ID Card

☐ D- Driving Licence — Driving Licence Expiry Date D D M M Y Y Y Y

☐ E- Aadhaar Card

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government) Identification Number

3. Proof of Address (PoA)*

☐ 3.1 Current / Permanent / Overseas Address Details (Please see instruction D at the end)

Address

Line 1*

Line 2

Line 3 City / Town / Village*

District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle A

State/UT* Country* Country Code as pe

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

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

Proof of Address*

☐ Passport Number — Passport Expiry Date D D – M M – Y Y Y Y

☐ Voter ID Card

☐ Driving Licence — Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ Aadhaar Card

☐ NREGA Job Card

☐ Others (any document notified by the central government) Identification Number

☐ 3.2 Correspondence / Local Address Details* (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1', Submit relevant documentary proof)

Line 1*

Line 2

Line 3 City / Town / Village*

District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1988

State/UT* Country* Country Code as per ISO 3166

4. Contact Details (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **F** at the end)

Email ID

Mobile — Tel. (Off) — Tel. (Res) —

5. FATCA/CRS Information (Tick if Applicable) ☐ Residence for Tax Purposes in Jurisdiction(s) Outside India (Please refer instruction **B** at the end)

Additional Details Required* (Mandatory only if above option (5) is ticked)

Country of Jurisdiction of Residence* Country Code of Jurisdiction of Residence as per ISO 3166

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* Country of Birth* Country Code as per ISO 3166

Address

Line 1*

Line 2

Line 3 City / Town / Village*

District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1988

State/UT* Country* Country Code as per ISO 3166

6. Details of Related Person (Optional) (please refer instruction G at the end) (in case of additional related persons, please fill 'Annexure B1')

☐ Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 6 are optional)

☐ Proof of Identity [PoI] of Related Person* (Please see instruction (**H**) at the end)

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

☐ A- Passport Number Passport Expiry Date D D M M Y Y Y Y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date D D — M M — Y Y Y Y

☐ E- Aadhaar Card

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government) Identification Number

7. Remarks (If any)

8. 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 declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Signature ✓ _____

Signature / Thumb Impression of Applicant

Date: D D M M Y Y Y Y Place :

9. Attestation / For Office Use Only ☐ **IPV** DONE ON

Documents Received ☐ Certified Copies

KYC Verification Carried Out by *(Refer Instruction I)*

Date D D M M Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

Institution Details

Name

Code

Emp. Branch

[Institution Stamp]

In-Person Verification (IPV) Carried Out by *(Refer Instruction J)*

Date D D M M Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

Institution Details

Name

Code

Emp. Branch

[Institution Stamp]

2. DEMAT/TRADING ACCOUNT RELATED DETAILS

A. BANK DETAILS

1. **Bank Name** Branch

Address

A/c No. **MICR / CODE**

IFCS CODE

A/c Type ☐ Saving ☐ Current Other (specify)

B. DEMAT DETAILS

1. **CDSL** ☑ **NSDL** ☐

Depository Participant Name: K A L P A T A R U M U L T I P L I E R L T D

Beneficiary Name

DP ID No.: 1 2 0 3 1 6 0 0 Beneficiary ID: 0 0

2. **CDSL** ☐ **NSDL** ☐

Depository Participant Name

Beneficiary Name

DP ID No. Beneficiary ID

C. GST DETAILS (As applicable, State wise)

- GST Registration No.
- Validity Date :
- Name of the State :

D. TRADING PREFERENCES

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

Exchange	**NSE, BSE**		**MCX**
All Segments	Cash / Mutual Fund	F & O	Commodity Derivates
Sig.✓ _____	**Sig.✓** _____	**Sig.✓** _____	**Sig.✓** _____

If you do not wish to trade in any of segments / Mutual Fund, please mention here

_____ **Sig.✓** _____

E. PAST ACTIONS

Details of any actions/proceedings initiated/pending/taken by SEBI/Stock Exchange/Any other authority against the applicant/constituent or its partners/promotors/ wholetime directors/authorised persons in charge of dealing in securities during the last 3 years: ❑ Yes* ❑ No

If yes then please provide detail : _____

F . DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKER

If client is dealing through the Sub-broker/Stock Broker provide the following details

Sub-broker's Name/ Stock Broker Name :
SEBI Registration Number :
Registered office address :
Phone : Website :

Whether dealing with any other stock broker/sub broker (if case dealing with multiple stock brokers/sub -brokers, provide details of all)
Client Code : Exchange
Details of disputes/dues pending from/to such stock broker/Sub-broker

G . ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	☐ YES	☐ NO if no please sign declaration
Specify your E-mail id, if applicable :		
Whether you wish to avail of the facility of internet trading/wireless technology (please specify) :	☐ YES ☐ Both	☐ NO
Number of years of Investment /Trading Experience : ☐ No Prior Experience ☐ _____Years in Equity/Commodity Market.		
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 (attach as annexure if required) :		

H. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002

1. **Gross Annual Income Details (please specify) :**

   Income Range per annum : Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ >25 Lacs

   or

   Net-worth as on (date) _____Networth Amount _____

   (Networth should not be older than 1 year)

2. **Occupation (please tick any one and give brief details) :**

   Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ _____ ☐

   Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others ☐ (Specify) _____

3. Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)
   ☐ Not a Politically Exposed (PEP) ☐ Not related to a politically exposed person (PEP)

I. INTRODUCER DETAILS (optional)

Name of the Introducer :	
Status of the introducer :	☐ Sub-broker ☐ Remiser ☐ Authorized Person ☐ Existing Client ☐ Other (please specify) :.....
Address of the Introducer :	
Phone No. of Introducer :	
Signature of the Introducer :	

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 'Right and obligation' documents (s) and Risk Disclosure Documents ' I/We do hereby agree to be bound by such provision as outline in these documents. I/We have also been inform that the standard set of documents has been displayed for information on stock broker's designated website, if any.

First/Sole Holder	Second Holder	Third Holder
✓ Signature _____	✓ Signature _____	✓ Signature _____

Date_____ **Place**_____

3. Additional Detail for opening of Demat A/c

I/we request you to open a Demat Account in my/our name as per following details :

Holders Details

Name of the Sole/ First Holder														**PAN**										
														UID										
														UCC										
														Exchange Name & ID										
Name of Second Joint Holder														**PAN**										
														UID										
Name of Third Joint Holder														**PAN**										
														UID										

Name* _____

_____

* 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.

Type of account (Please tick whichever is applicable)

Status	Sub- Status	Status	Sub-Status
☐ Individual	☐ Individual Resident ☐ Individual Director Relative ☐ Individual Promoter ☐ Individual Margin Trading A/c (MANTRA) ☐ Individual -Director ☐ Individual HUF/AOP ☐ Minor ☐ Other (Specify)_____	☐ NRI	☐ NRI ☐ NRI ☐ NRI Repatriable Promoter ☐ NRI Repatriable Promoter ☐ NRI Non Repatriable ☐ NRI Non Repatriable
		☐ Foreign National	☐ Foreign National ☐ Foreign National - Depository Receipts ☐ Other (Specify)

2. Detail of Guardian (In case the account holder is minor)

Name of the Guardian																								
Relationship with the applicant													PAN											
Correspondance Address																								
																Pin Code								
Telephone No.													FAX No.											
E-mail ID																								

FOR NRIs

Foreign Address																								
City											State													
Country											PIN													

Standing Instruction

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 would be 'No')	Yes ☐ No ☐
I/We would like to share the email ID with the RTA	Yes ☐ No ☐

I/We would like to receive the Annual Report ☐Physical/☐ Electronic/☐Both Physical & Electronic
(Tick the applicable box. If not marked the default option would be in Physical)

I/We request you to send the electronic transaction-cum-holding statement at the e-mail ID :	Yes ☐ No ☐
I / We wish to receive dividend/Interest directly in to my bank Account given below through ECS ? (if not marked, the default option would be **'Yes')** [ECS is mandatory for location notified by SEBI from time to time]	Yes ☐ No ☐
I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be ' **Yes"**)	Automatic credit Yes ☑ No ☐

Account Statement Requirement ☐ As per SEBI regulations ☐ Daily ☐ Weekly ☐ Fortnightly ☑ Monthly

Nomination Detail ☐ I/we wish to nominee* ☐ I/We don not wish to nominee

SMS Alert Facility Refer to Terms & Conditions as given on page 31	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)	
Transactions Using Secured Texting Facility (TRUST). Ref. : Communique no. CDSL/OPS/DP/SYSTM/2018/408 dated August 03, 2018	I wish to avail the TRUST facility using the mobile number registered for SMS Alert Facility. I have read and understood the Terms & Conditions prescribed by CDSL for the same. ☐ Yes ☐ No I /we wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST	
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.	

Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (optional)

First/Sole Holder	Second Holder	Third Holder
✓ Signature _____	✓ Signature _____	✓ Signature _____

4. Nomination Details (Compulsory)

KALPATARU MULTIPLIER LTD.

Corp. Off. : Hall No. 2, Ist Floor Western Block, Above Central Bank of India, GTB Complex, T. T. Nagar, Bhopal- 462003 Ph. : 0755-4223778, 4350141-143, 0755-4283016

(SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/01650, dated January 10, 2025)

NOMINATION FORM

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

Nomination Details

	Mandatory Details						Additional Details	
	Name of Nominee	Share of Nominee (%)**	Relationship	Postal Address	Mobile No./ e-mail id	Identity Number	D.O.B of nominee	Guardian
1.								
2.								
3.								
4.								
5.								
6.								
7.								
8.								
9.								
10.								

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

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

2) I hereby authorize _____(nominee number ____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ___% of assets in the account / folio or Rs. _____.

(strike off portions that are not relevant)

3) This nomination shall supersede any prior nomination made by me / us, if any.

Name(s) of holder(s)		Signature(s) of holder	Witness Signature*
Sole / First Holder (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

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

*Joint Accounts:

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

** if % is not specified, then the assets shall be distributed equally amongst all the nominees (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required.

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

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

Rights, Entitlement and Obligation of the investor and nominee:

- If your are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitiled to recive acknowledgement from the AMC / DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either contiune as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
- In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account / folio, if case of your physical incapciation. This mandate can be changed any time you choose.
- The signatories for this nomination form in joint folios / account, shall be the same as that of your joint MF folio / demat account. i.e.
  - 'Either or Survivor' Folios / Accounts - any one of the holder can sign
  - 'Jointly' Folios / Accounts - both holders have to sign

Declaration Form for opting out of nomination
(Annexure B to SEBI ciurcular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and demat Accounts)

To
Kalpataru Multiplier Ltd.
Hall No. 2, 1st Floor Western Block, above Centra Bank,
GTB Complex, T.T. Nagar, Bhopal

Date	D	D	M	M	Y	Y	Y	Y

UCC/DP ID	**1**	**2**	**0**	**3**	**1**	**6**	**0**	**0**
Client ID (only for Demat account)	**0**	**0**						
Sole/First Holder Name								
Second Holder Name								
Third Holder Name								

I/We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading/ demat account and understand the issue involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my/ our legal heirs would need to submit all the requisite documents/ information for claiming of assets held in my/our trading/demat account which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

Name and Signature of Holder(s)*

1. ✓_____ 2. ✓_____ 3. ✓_____

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

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

5. BROKERAGE PLAN

(SUBJECT TO CHANGE)

CASH SEGMENT

Brokerage	in % (subject to 2.5%)	Minimum Paise (Subject to 25/- paise)	One Side /Both side
Delivery Based			
Daily Square up			

EQUITY DERIVATIVES SEGMENT/COMMODITY SEGMENT

Brokerage	in % (subject to 2.5% /₹100/- per Lot)	Minimum Paise / per Lot	One Side /Both side
Future			
Options			

The above rates are exclusive of transaction charge, Stamp duty, Securities, Transaction, Tax & Service Tax which will be charged extra at the prevailing from time to time. The General rates as mentioned here shall be applied unless the special rates as may be agreed by the sub-broker/authorised. Brokerage at any point shall not exceed more than the maximum permissible limit as prescribed by SEBI/Exchange.

6. SCHEDULE OF CHARGES FOR INDIVIDUALS/ HUF'S/ TRUSTS FOR DEMAT A/C

PARTICULARS	CHARGES	SCHEMES
A/c Opening	NIL	☐ **Scheme 360 - Yearly+ G.S.T.**
Minimum Balance	Rs. 100/-	☐ **Scheme 3000 - 2600/- Refundable (Lifetime) on account Closure**
A/C Closing	NIL	☐ **One Year Free (Next Year 360+G.S.T.)**
KYC	Rs. 174/-	☐ **Corporate A/c & (NRI A/c) - 1000+ GST (Next Year 1000+G.S.T.)**
Demat request	Rs. 300/- per request+GST	
Remat request	Rs. 100/- per request	
Custody charges	Nil	
Purchase (Market & Off-Market)	Nil	
Sale (Market & Off-Market)	@0.03% of Market Value (Min. Rs. 13/-) + GST	
Pledge Creation	Rs. 40.00 + GST	
Pledge Closure	Rs. 40.00 + GST	
Pledge Invocation	Rs. 40.00 + GST	
Freeze / Defreeze	Rs. 35/- per request	
Govt. Tax	(Whichever is applicable)	
Internet & E-mail Charges (Life time)	NIL	

Note :

1. All the percentages in the above traiff would be applied on the value of the transaction as computed by CDSL.
2. Late charges @ 10/- per instruction would be collected for all instructions received within 24 hours of the execution date.
3. The scheme once selected will be valid for one year and will be automatically renewed at the end of the year, unless a written communication in the prescribed format is received.
4. Free schedule based on existing CDSL charges; if CDSL revises its charges, KML (DP) reserves the rights for changing its service charges.
5. Any service not quoted above will be charged separately as per CDSL rates.
6. Transcation statement : free of cost (only for 1st statement of any month)
7. The cash/credit in the Trading Account of the client with KML will be utilized towards the debits balance lying in this DP Account.
8. DP Account will be freezed if debit balance is not paid, and no transaction will be carried out untill the dues are cleared. I/We will be responsible if instruction slip bounces or auction takes place on this ground.
9 I am / We are obliged to collect the bill from our DP (KML).
10. In case of late payment of bill @ 13% Interest will be charged per annum.
11. DIS Charges 1st Time - Free, 2nd Time - Rs. 25/- Charges for loose DIS Book Issue - Rs. 100

I / We have read the above conditions and give my/our consent and authorize you to act upon accordingly for which I/We shall have no objection whatsoever.

First/Sole Holder	Second Holder	Third Holder
Signature ✓ _____	Signature ✓ _____	Signature ✓ _____

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER
7. LETTER OF AUTHORITY

To,
KALPATARU MULTIPLIER LTD. (KML)
Hall No. 2, Ist Floor Western Block,
Above Central Bank, GTB Complex,
T. T. Nagar, Bhopal

Client Name :_____

Client Code : _____

Date.....

Dear Sir,

Sub :- Letter of Authority-CASH/F&O/ Commodity Derivative/Segment of NSE/BSE/MCX

I/We are dealing in securities with you at NSE/BSE/Commodity and in order to facilitate ease of operation I/We authorise you as under :-

1. I/We authorise you to setoff outstanding in any of our accounts against credits available or arising in any other accounts maintained with irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of cash margin or collateral shares provided to you by us.
2. I/We hereby authorise you not to provide me Order confirmation/Modification/Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work . I/We shall get the required details from contract notes issued by you.
3. I/We hereby authorise you to keep all the securities which we give you in margin including the payout of securities received by us for meeting margin/other obligation in stock exchange in whatever manner which may include meeting margin/payin obligation on our behalf or for giving the same as margin in to the Stock Exchange or otherwise.
4. I/We request you to retain credit balance in any of my/our account and to use the Idle funds towards our margin/future obligations at any or both the Exchanges unless. I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charges from time to time for keeping the shares in your client demat beneficiary account on my/our behalf. I/We also authorise you to charge interest @1.5% p.m. for the debit balance, if any, in my/our account and not settled as per the exchange requirements.
5. I understand that you required written instructions from me/us for placing/modifying / cancelling orders. However, since it is not practical for me/us to give written instructions for placing/modifying / cancelling orders, I hereby request you to kindly accept my/our/mandate holder's verbal orders / instructions, in person or over phone & excute the same. I/we understand the risk associated with placement of verbal orders and accept the same. I/we shall not disown orders under the plea that the same was not placed by me. I/we indemnify Kalpataru Multiplier Ltd. & keep you indemnified against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my/our orders placed verbally.In case, if I wish to withdraw this consent I shall inform KML in writting & acknowledge by KML atlest one week in advance from the date of withdrawal.
6. I/We authorize Mr./Ms._____to deal/transact on my/our behalf and to place order. give instructions, make and receive payments of securities and monies, collect contract notes, bills, order confirmations, trade confirmations, account statements and any other documents or communication, to sign any document, settle the account, enter into any compromise and to do any and all act(s) on my/our behalf which I/we can do and I/we the undersigned to hereby agree and declare and confirm that all the acts, and things done by him/her or his/her substitutes shall be my/our acts. deed and things validity done by me/us to all intents and purposes.
7. Trading of all Exchanges is in Electronic Mode, based on VSAT, leased line, ISDN. Modem and VPN, Combination of technologies and computer system to place and route orders. We understand that there exists a possibility of communication failure or system problem 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 your control and may result in delay in processing or note processing buy or sell Orders either in part or in full. I/We agree that I/We shall be fully liable and responsible for any such problems/fault.
8. I/We confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
9. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
10. I/We am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
11. All fines/penalities and changes levied upon you due to my acts/deeds or transactions may be recovered by you from my/ our account
12. I/We have a Trading as well as depository relationship with_____Please debit the charges relevant with depository services from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my trading account/ pay adequate advance fee for the said reasons.

Yours faithfully,

Signature ✓ _____

8. AUTHORISATION FOR ELECTRONIC CONTRACT NOTE (VOLUNTARY)

To,

KALPATARU MULTIPLIER LTD.
Corp. Off. : Hall No. 2, Ist Floor Western Block,
Above Central Bank, GTB Complex, T. T. Nagar, Bhopal

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options Segments. As my/our broker i.e. agent I/We direct and authorize you to carry out trading /dealings on my/our behalf as per instructions given below.

I/We understand that, I/We have the option to receiver the contract notes in physical form or electronic form. In pursuance of the same. I/We hereby opt for receipt of contract notes in electronic form. I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic notes. Accordingly, Please take the following email account (s)/email id on your record for sending the contract notes to me/us.

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

The above mentioned e-mail id(s) have been created by me/ us.

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s) email id (s).

I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non receipt/delayed receipt for may reason whatsoever.

I/We that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you.

Signature ✓ _____ Client Name : _____

9. RUNNING ACCOUNT AUTHORISATION (VOLUNTARY)

To,

KALPATARU MULTIPLIER LTD.
Corp. Off. : Hall No. 2, Ist Floor Western Block,
Above Central Bank, GTB Complex, T. T. Nagar, Bhopal

Date_____

Please note that my/our account is to be maintained on running account basis until/ unless we specifically revoke in writing.
I/ We also specifically understand and agree that :

a) This is only a voluntary authorization that may be revoked by me at any time.
b) Kindly settle my account for funds and securities at ☐ QUARTERLY OR ☐ Monthly settlement basis.
c) Any dispute from my/our end, arising from statement of account or settlement shall be brought to your notice in writing by me/us within 7 days of receipt of funds/securities/statement as the case may be.
d) Periodic settlement of running account may not be necessary for margin trading facility or funds received towards Collaterals/margin in form of Bank guarantee, Fixed Deposit etc.
e) There shall not be any inter-client adjustment for the purpose of settlement of my/our running account.

- I/We have trading account as well as Demat account with you. For the convenience of payment of all the charges/ fees/ penalties pertaining to my Demat Account, I/We hereby request you to debit my Trading Account.
- I/We agree to inform/update you any change in any or all the details provided to you on time to time.
- The client shall not hold member responsible for any losses incurred on account of failure of system/Risk management System/ Network Congestion/ Loss of connectivity from Dealing Office/ Place to member or from member to the Exchange.
- I/We confirm that **Kalpataru Multiplier Limited** will not be held responsible in any case where securities were sold and pay-in of securities were done through auto pay-in {by DDPI/POA} by any person/ family member/ relative of mine after my death.
- In case I/We have traded even once during the last one month Ist quarter as the case may be. While setting the account please send ' statement of accounts' containing an extract from ledger for funds and an extract from the register of the securities displaying all receipts/deliveries of funds/ securities. Please explain in the statement(s) being sent the retention of funds/ securities and the details of the pledge, if any. I /we agree that I/we shall bring any discrepancy arising from the statement of acccount on settlement preferably within 7 working days from the date of receipt of funds/ securities or statement as the case may be to the notice of Trading Member so as to allow the Trading Member to take remedial steps, If any are warranted.
- In case, there is a credit balance in my /our account and there are no trading for 30 days there after the account will be settled to zero balance on or before 30th day.

Thanking you

Yours Faithfully,

Signature ✓ _____ Client Name : _____

10. DECLARATION FOR SAME MOBILE NUMBER/EMAIL ID OR BOTH

(IN CASE OF INDIVIDUALS)

To,

Dated :

KALPATARU MULTIPLIER LTD.
Corp. Off. : Hall No. 2, Ist Floor Western Block,
Above Central Bank, GTB Complex, T. T. Nagar, Bhopal

Dear Sir/ Madam,

With reference to above, I _____**(Name of Client)**

having Demat Account No. 12031600000 _____and Trading

client code _____hereby request you to upload below mobile no. & email id with my aforesaid account.

Mobile No.- _____ Mobile No. Registered in the name of ❑ Self ❑ Family

Email id - _____ Email id Registered in the name of ❑ Self ❑ Family

Further, I hereby declare that above mobile number and email id belongs to Me or /Mr./Mrs. _____

(*Name of family member) _____who is my :

Relationship with the client ❑ Spouse ❑ Dependent child ❑ Dependent parent

Signature ✓ _____

(Name and Signature of Client/ Account Holder)

11. DECLARATION FOR MOBILE NO. (VOLUNTARY)

I.....having PAN No.....

do hereby declare that my mobile no. is.....Furher, I authorize.....

that the same may be used for giving me any information/alert/sms/call.

I further declare the above mentioned statement is true and correct.

.....

Name :.....

Client Code :.....

Address.....

Phone No. :.....

Date :.....

Verified by (to be done by).....

Name of Employee.....

Signature.....

Date.....

Signature ✓ _____

12. CLIENT DEFAULTER DECLARATION (VOLUNTARY)

I _____having PAN _____do hereby declares that I have not been involved in any unlawful activities and i have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/ Regulatory bodies etc. I further declare that the above mentioned declaration/ statement is true and correct.

Signature ✓ _____

13. DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

This Demat Pledge Instruction (DDPI) is made at _____on _____day of _____20 _____

To all to whom these presents shall come, I/We _____

_____ (name of the beneficial owner/s), residing at/ having its registered office at

_____

_____

_____send greetings.

Whereas I/We hold a beneficiery account no. 1203160000_____ having its registered office at **Kalpataru House, 18, Itwara Bhopal (MP) - 462001** and services through **Kalpataru Multiplier Ltd.** who are stock brokers trading members of Stock Exchanges and are registered with the Securities and Exchange Board of India. And whereas I/We am/ are desirous of executing Demat Debit Pledge Instruction (DDPI) in favour of **Kalpataru Multiplier Ltd.** to access our Beneficial Owner Account **1203160000** _____for the following :

Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries/ settlement obligations arising out of trades executed by clients on the stock Exchange through the same stock broker.		
✓ *1st Holder Sign.*	✓ *2nd Holder Sign.*	✓ *3rd Holder Sign.*
Pledging / re-pledging of securities in favour of trading member (TM)/ Clearing member (CM) for the purpose of meeting marging requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.		
✓ *1st Holder Sign.*	✓ *2nd Holder Sign.*	✓ *3rd Holder Sign.*
Mutual Fund transactions being executed on Stock Exchange order entry platforms		
✓ *1st Holder Sign.*	✓ *2nd Holder Sign.*	✓ *3rd Holder Sign.*
Tendering shares in open offers through Stock Exchange platforms		
✓ *1st Holder Sign.*	✓ *2nd Holder Sign.*	✓ *3rd Holder Sign.*

*the same may be signed physically against each purpose of DDPI. The same may also be e-Signed. In case of e-Sign, client shall be given an option for choosing the specified purpose(s) of DDPI

Note : In case of non-individual, authorized signatory shall sign in the "1st Holder / Authorized signatory" column.

The above authority to tranfer/pledge is restricted to the following accounts as listed in the Schedule. The list accounts may be updated/amended by proper communication.

SCHEDULE : Extract of the list of accounts :

DP Name	Client ID	Purpose of Demat A/c
Kalpataru Multiplier Limited	1203160000074299, 1203160000207060 123160000329495	TM/CM Pool A/c
	1100001000014498, 1100001100019737	Early pay-in A/c
	1203160000329706, 1203160000346601	Client Securities Margin Pledge A/c

And whereas I/We further agree that I/We have been informed that DDPI is a voluntary document and I/We can revoke/cancel the DDPI facility anytime in future. However, such revocation shall not be applicable for any outstanding settlement obligation arising out of trades carried out prior to receiving request for revocation. The request of revocation is to be sent in a manner as prescribed by Exchanges/SEBI from time to time.

Signed and delivered by the within named client(s)

First Holder Name	**Second Holder Name**	**Third Holder Name**
✓ Sign	✓ Sign	✓ Sign

If client is Non Individual :

Signed for and on behalf of	
Authorised Signatory	

Note : In case of HUF all co-parceners must sign this document

Sr. No. Major Co-Parcener's Name	Relation with Karta (BO)	Sign
(1) _____	_____	✖_____
(2) _____	_____	✖_____
(3) _____	_____	✖_____
(4) _____	_____	✖_____
(5) _____	_____	✖_____

IN THE PRESENCE OF WITNESS

Witness Signature .....

Name & Address .....

.....

We Accept
For Kalpataru Multiplier Ltd.
Hall No. - 2, 1st Floor, Western Block, Above Central Bank of India,
GTB Complex, New Market, Bhopal - 462003
Date : .....
Place : Bhopal

For : Kalpataru Multiplier Ltd.

Authorized Signatory

आपकी अपनी D.P. कल्पतरू मल्टीप्लायर लिमिटेड द्वारा नई SMS सुविधा दी जा रही है जिसके द्वारा आपको अपने Demat Account में Share Debit तथा Credit होने पर Transaction की जानकारी, Trading A/c में हुऐ सौदों की Confirmation अन्य जानकारी तुरन्त SMS द्वारा आपके मोबाईल पर प्रदान की जायेगी, इस सुविधा का निः शुल्क लाभ उठाने के लिए तुरन्त इस Registration From को भरकर हमारी निकटवर्ती शाखा में जमा करें (Mandatory if you are giving DDPI /POA)

14. Terms and Conditions-cum-Registration/ Modification Form for receiving SMS Alerts from CDSL

Definitions :

In these Terms and Conditions the term shall have following meaning unless indicated otherwise.

1. "Depository" means Central Depository Services (India) Limited a Company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P. J. Towers, Dalal Street , Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means Beneficiary owner an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with Depository as specified by the depository from time to time.
4. SMS means " Short Messaging Services"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the Depository has entered /will be entering into an arrangement. for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

1. The service will be provided to the BO at his/her request and at the discretion of the Depository. The service will be available to those account holders who have provided their mobile numbers to the Depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenence or for such other reasons as may be warranted. The Depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time to registration / modification.
5. The BO is responsible for promptly intimating to the Depository in the prescribed manner any change in mobile number, or loss of hand set, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnity the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts :

1. The Depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error. omission and/or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the Depository and / or the DP immediately in writing and the Depository will make best possible efforts to rectify the error as early as possible . The BO shall not hold the Depository liable for any loss. damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the Depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writting of any unauthorized debit to his BO account / unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to /transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the Depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.

8. The Depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc. has been changed with out proper authorization, the BO should immediately inform the DP in writting.

Fees :
Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer :
The Depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The Depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the Depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and / or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by the third person.
Kindly send us trading confirmation, Research reports and also market information on our mobile number or E-Mail ID

Liability and Indemnity :
The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the Depository providing the service, the BO agrees to indemnity and keep safe, harmless and indemnified the depository and its officials from any damages, claims demands, proceedings, loss, cost charges and expenses whatsoever which a Depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments :
The Depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments. shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction :
Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.
I/We wish to avail the SMS Alerts facility provided by the Depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.
I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the Depository from time to time. I/We further undertake to pay fee/ charges as may be levide by the Depository from time to time.
I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.
I/We am/are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the Depository for providing the service.

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

BOID | 1 | 2 | 0 | 3 | 1 | 6 | 0 | 0 | | 0 | 0 | | | | | | |

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

Sole/ First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent | +91 | | | | | | | | | | |

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

The mobile number is registered in the name of : _____

Email ID : | | | | | | | | | | | | | | | | | | | | | | | | | | |

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

✓ Sole / First Holder Signatures

✓ Second Holder Signatures

✓ Third Holder Signatures

Place :_____

Date :_____

For office use only

Entered By .....

Verified By .....

KALPATARU MULTI PLIER LTD.

Corp. Off. : Hall No. 2, Ist Floor Western Block, Above Central Bank, GTB Complex, T. T. Nagar, Bhopal

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a Unique Client Code (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock brokers Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of thestock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

VOLUNTARY FREEZING/ BLOCKING

If any suspicious activity is observed in the Trading Account, the client may request us to voluntarily freeze/ block & unfreeze/unblock the online access of the trading account through any of the following communications to us at the e- mail ID**stoptrade@kalpatarumulti.com** and/or telephone number **+91-7648983065** through**Email from registered e-mail ID or SMS/Call from registered mobile number of client.**
https://www.kalpatarumulti.com/les/pdf/freeze-or-block-trading-account.pdf

I/We herby conrm having read and understood **Good Till Cancelled (GTC)/ Good Till Triggered (GTT) Orders policy** displayed for information on stock broker's designated website.

https:.//www.kalpatarumulti.com/static/gttpolicy.aspx

✓_____ **Sign First Holder**

✓_____ **Sign Second Holder**

✓_____ **Sign Third Hoder**

16. DISCLOSURE BY MEMBER TO CLIENT UNDER PMLA 2002

Dear Client,

Subject : Prevention of Money Laundering

Money laundering is a process ofmaking dirtymoney clean.Money ismoved around the financial systemagain and again in suchmanner that its origin gets hidden. It involves complex chain of activitieswhereby huge amount ofmoney generated fromillegitimate activities viz. selling of narcotic drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. is put through a series of process so that it comes out at the other end as clean and legalmoney. Terrorist organizations encouragemoney laundering to support theirillegal acts.

It is important to note that due to increased vigilance in the wake of threats emanating fromincreasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws orwe becoming an instrumental or apart of the chain, even if unknowingly or ignorantly,may invite the trouble.

In order to fight against themoney laundering and terrorist financing the Prevention ofMoney Laundering Act (PMLA) was brought into force w.e.f. July 1, 2005 in India. Guidelines were also issued in the context of the recommendations made by the Financial Action Task Force on anti- money laundering standards.Compliancewith these standards has become imperative for international financialrelations.

PMLA is applicable to every intermediary registered with SEBI, which includes a Stock Brokers and any other intermediary associated with Market. As per the provisions of PMLA, the intermediaries are required to comply with Know Your Client (KYC) norms, conduct ongoing client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile.

In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time ofregistration as a clientwith us or subsequentlywhenever asked for during the course of your dealingswith us.

DISCLOSURE BY CLIENT UNDER PMLA 2002

Client Name : _____ Code _____

Details of the Corporate/Partnership Firm/Trust/etc. where I/we am/are affiliated

S.No	Name	Entity Type	Nature of Business	Relationship	PAN

I/We hereby submit and agree to submit as the commitment every financial year the following documents to Nirman Share Brokers Pvt. Ltd.

1.Audited Annual Accounts

2.Self attested copy of Income Tax Return or

3.Any other Financial information as requested by the Kalpataru Multiplier Ltd.

I/We further confirm that I/we invest in the Stock Market with:

• My/our owned funds

I/We hereby declare that I/We am/are not doing any benami transactions in my/our account. I/We understand that in case of any Cash/ Suspicious/ Benami transactions being observed into my account, the Member may report the same to Director FIU-IND, New Delhi under the provisions of PMLA, 2002 and thereafter I/we will be liable for any enquiry or penalty which might be levy by the Regulatory Authority under the said Act.

✓ **Client Signature :**

17. ACKNOWLEDGEMENT OF KYC DOCUMENT BY CLIENT

To,
Kalpataru Multiplier Ltd.
Corp. Off. : Hall No. 2, Ist Floor Western Block,
Above Central Bank, GTB Complex, T. T. Nagar, Bhopal
Sub. : Acknowledgement of receipt of a copy of KYC form RDD Mandatory and other voluntary executed documents.
Dear Sir,

This is to acknowledge that I/we have received a copy of all the completed documents viz. Client Registration Form (KYC) , Right & Obligations, Guidance Note, Risk Disclosure Documents, ECN authorization letter, Running account Authorization letter and copies of other documents(mandatory and voluntary) executed by me/us. I/we further confirm that I/we are aware of all the 'Policies & Procedures', Tarrif Sheet and all the non-mandatory documents, 'Rights and Obligations'document(s),Risk disclosure documents, Guidance Note, Most important Terms & Conditions (MITC) Voluntary freezing/Blocking policy, GTT/GTC Policy and system generated client master of the member's back office etc.

Thanking You,

Client Name_____

Client Code_____ **Signature ✓** _____

---

18. ACKNOWLEDGEMENT OF KYC DOCUMENT BY MEMBER/ BUSINESS PARTNER

To,

_____

_____

Subject: Acknowledgement of receipt of a copy of KYC form, RDD Mandatory and other voluntary executed documents

Dear Sir,

This is to acknowledge that we have received a copy of Client Registration Form(KYC), Rights & Obligations, Risk Disclosure Documents Most important Terms & Conditions (MITC) Voluntary freezing/Blocking policy, GTT/GTC Policy and and photocopies of all the required mandatory and voluntary documents dully signed by

Mr./Mrs_____Mr./Mrs_____

Mr./Mrs_____for opening of demat/Trading account.

E-mail ID_____Mobile _____

Thanking You,

Name :_____ **(Signature of Employee/Business Partner) Rubber Stamp**

Place :_____ Date :.....

19. OPTION FORM FOR ISSUE OF DIS BOOKLET

KALPATARU MULTIPLIER LTD.

Corp. Off. : Hall No. 2, Ist Floor Western Block, Above Central Bank of India, GTB Complex, T. T. Nagar, Bhopal- 462003 Ph. : 0755-4223778, 4350141-143, 0755-4283016

Date	D	D	M	M	Y	Y	Y	Y

DP ID	1	2	0	3	1	6	0	0	Client ID	0	0						

First Holder Name	
Second Holder Name	
Third Holder Name	

To,
Dear Sir/ Madam,
I/ We hereby state that: (Select one of the options given below)

❑ **OPTION -1 :**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me/ us immediately on opening my/ our CDSL account though I/ we have issued a power of Attorney (POA)/ executed PMS agreement in favour of / with **Kalpataru Multiplier Ltd.** (name of 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 **Kalpataru Multiplier Ltd.** (name of the attorney / Clearing Member/ PMS manager) for executing delivery instructions for setting stock exchanges 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.

	Name of holder (s)	**Signature(s) of holder**
Sole/ First Holder (Mr./Ms.)		✓
Second Holder (Mr./Ms.)		✓
Third Holder (Mr./ Ms.)		✓

20. PCD (Participants Category disclosures) "if commodity segment"

To, **Kalpataru Multiplier Ltd.** **Corp. Off. : Hall No. 2, 1st Floor** **Western Block, Above Central Bank** **GTB Complex, T.T. Nagar,** **Bhopal - 462003**	Client Code :	
	Client Name :	
	Branch :	

Sub : Participant Category disclosure (circular SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 (04-01-19)

I/We hereby confirm that among the given categories, I/We pertain to category I have ticked and authorize you to update the same in your records and for onward submission with Exchange.

Categories	All Commodities		Specific Commodities (mention the names of commodities)
FPOs/ Farmers		<Tick for All	
VCPs (Arbitrageurs, Importer, Exporter, Hedger, Phy. Mtk Trader, etc.)		<Tick for All	
Domestic Financial Institutional Investors (Banks, Insurance Com, Mutual Fund etc.)		<Tick for All	
Foreign Participants (NRI, EFE, etc.)		<Tick for All	
Others		<Tick for All	
	✓ **Signature** _____		

For others please specify the reason for others _____

Further, I/We take full responsibility of the trades executed by me/ us on commodity market and I/ We confirm you that all the liabilities or any compliance issue or any legal implications in this regard will be solely borne by me/us.

List of Commodities are given below :

MCX-SYMBOL	CATEGORY CODE
ALUMINIUM	
BRASSPHY	
CARDAMOM	
CASTORSEED	
COPPER	
COTTON	
CRUDE PALM OIL	
CRUDEOIL	
GOLD	
LEAD	
MENTHAOIL	
NATURALGAS	
NICKEL	
PEPPER	
COTTON REF	
RUBBER	
MCX BUILDEX	
MCX ENEGDEX	
MCX METLDEX	

MCX-SYMBOL	CATEGORY CODE
RBDPALM	
SILVER	
ZINC	

✓ **Signature** _____

21. Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996 SEBI (Depositories and participants) Regulations, 1996/2018, Rules and Regulations of Securities and Exchange board of India (SEBI), Circulars/Notifications/Guidelines issued there under missing of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, up porting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owner and/or Dp's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and/or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996/2018 SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The Stock Broker/ Stock Broker and depository participant shall not directly/ indirectly compel the clients to execute power of attorney (POA) or Demat Debit and Pledge instruction (DDPI) or deny services to the client if the client refuses to execute POA OR DDPI.

Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.

15. However, if there is no transaction on the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such Bos and shall resume sending the transaction statement as and when there is a transaction in the account.

16. The DP may provide the services of issuing the statement of demat account in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat account under its digital signature, as governed under the information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/ or Depository from time to time.

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever,provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository . Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balance in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balance held.

19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balance or rematerialize such security balances wihtin a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5 & 6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996,

i. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant , the depository shall indemnify such beneficial owner.

ii. Where the loss due to the negligence of the depository or the participant,under clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

25. The Joint Holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority.

Redressal of Investor grievance

26. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

27. If the Beneficial Owner is a body corporate or a legal entity, it shall along with the account opening form, furnish to the DP, a list of official authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

28. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

29. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/her account, that may be in force from time to time.

30. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

31. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notice issued there under by the depository and /or SEBI

32. Any changes in the right and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

33. If the right and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein modification of the rights and obligations of the parties mentioned in this document.

First/Sole Holder	Second Holder	Third Holder
Signature ✓ _____	**Signature ✓** _____	**Signature ✓** _____

22. INSTRUCTIONS TO CLIENT FOR TRADING IN FUTURE & OPTIONS SEGMENT

Risk associated with trading in derivates :

Investors must understand that investment in derivates has an element of risk and is generally not an appropriate avenue for someone of limited resources/limited investment and/ or trading experience and low risk tolerance.

An investor should therefore carefully consider whether such trading is suitable for him or her in the light of his or her financial condition. An investor must accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of derivative contracts.

Investors who trade in derivative at the exchange are advised to carefully read the Model Risk Disclosure Document and the details contained therein.

This document is given by the broker and must be read, the implications understood and signed by the investor. The document clearly states the risks associated with trading in derivatives and advises investors to bear utmost caution before entering into the markets.

Example 1 :	Example 2 :
An investor purchased 100 Nifty Futures @ INR 4200 on June 10. Expiry date is June 26.	An investor purchased 100 ABC Ltd. Futures @ INR 2500 on June 10. Expiry date is June 26.
Total Investment INR 4,20,000. Initial margin paid INR 42,000	Total Investment INR 2,50,000. Initial margin paid INR 37,500
On June 26, suppose Nifty index closes at 3.780 Loss to the investor (4200-3780)*100= INR 42,000	On June 26, suppose ABC Ltd. shares closes at 2000 INR 2000
The entire initial investment (i.e. INR 42,000) is lost by the investor.	Loss to the investor (2500-2000)*100= INR 50,000
Example 3 :	Example 4 :
An investor buys 100 Nifty call options at a strike price of INR	An investor buys 100 ABC Ltd. put options at a strike price of INR
4000 on June 15. Nifty index is at 4050.	400 on June 15. ABC Ltd.share is at 380.
Premium paid= INR 10,000@100 per call*100 calls	Premium paid= INR 5,000@50 per put*100 calls
Expiry date of the contract is June 26	Expiry date of the contract is June 26
On June 26, Nifty index closes at 3900	On June 26, ABC Ltd. share closes at INR 410
The Call will expire worthless and the investor losses the entire 10,000 paid as premium.	The put will expire worthless and the investor losses the entire 5000 paid as premium.
Example 5 :	Example 6 :
An Investor sells 100 nifty call option at strike price of INR 5100	An Investor sells 100 nifty put option at strike price of
on June 15 Nifty Index is at 5000	INR 5100 on June 15
Premium Received = INR 4000@40*100	Nifty Index is at 5000
Expiry date of contract 26 June	Premium Received = INR 4000@40*100
On June 26 Nifty Index close at 5200	On June 26 Nifty Index close at 4875
The call has closed higher than strike + premium	The put has closed higher than strike,
the investor lose 6000	hence strike-premium=5100-40=5060
5200-5140*100=6000	5060-4875*100=18500

Disclaimer : The material provided here is for general information purposed only. There can be no guarantee as regard to accuracy, Completeness of its contents and nothing here should be relied upon as document to make investment decision or form basis for any claim, demand or cause for action. Actual scenario may differ and the market conditions can lead to substantial profit or loss. Investors are advised to seek adequate product and market knowledge as well as proper investment advice before trading in derivates.

✓ **Client Signature**_____

KALPATARU MULTIPLIER LTD.

Member : (BSE) INZ000259437 Clg. Member ID No. 3016 **(NSE)** INZ000259437 Clg. Member ID No. 11152
(MCX) INZ000259437 Clg. Member ID No. 16020
Depository Participant of CDSL DP-ID 12031600 SEBI Regn No. IN-DP-CDSL-221-2003
Corp. Off. : Hall No. 2, Ist Floor Western Block, Above Central Bank of India, GTB Complex,
T. T. Nagar, Bhopal- 462003 Ph. : 0755-4223778, 4350141-143, 0755-4283016
Regd. Off. : Kalpataru House, 18, Itwara, Bhopal-01
E-MAIL : KMLHO@KALPATARUMULTI.COM, INFO@KALPATARUMULTI.COM WEB SITE : WWW.KALPATARUMULTI.COM



Requisition for Delivery Instruction Slip (DIS) Book

Form No.

DIS No. .....To.....

Date of Issue ...../...../..... **Sign of Issuing Officer**

(To be filled & Signed by Client Compulserily)

Kindly issue.....Pages Delivery Instruction Slips (DIS) to me/us.

My Client ID No. is 1 2 0 3 1 6 0 0 0 0

Date _____

NAME **Signature**

1. _____ ✓ _____
First Holder **First Holder**

2. _____ ✓ _____
Second Holder **Second Holder**

3. _____ ✓ _____
Third Holder **Third Holder**

Receiver's Signature ✓_____

जालसाजी से बचाव के लिए खातेदार द्वारा उचित रूप से हस्ताक्षर किये हुए मांग-फार्म के प्राप्त करने पर ही सामान्यतः नई **DIS BOOK** जारी की जायेगी ।

For DP's office use only : -

Date of Issue _____

Sign. of Issuing officer _____

Int. Ref. No. _____

New Book No. _____

DIS No. _____**To**_____

KALPATARU MULTIPLIER LTD.

Member : (BSE) INZ000259437 Clg. Member ID No. 3016 **(NSE)** INZ000259437 Clg. Member ID No. 11152
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CDSL-YOUR DEPOSITORY

Card No.

Account (I.D.)No.	1	2	0	3	1	6	0	0	0	0						

(To be filled by the Depository Participant)

Name of the Sole/ First Holder	
Name of the Second Holder	
Name of the Third Holder	

	First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Specimen Signature	✓	✓	✓