



ARHAMSHARE
YOUR VISION OUR FUTURE

| | |
|-------------|----------|
| Form No. | |
| Client Code | |
| DP ID | 12071700 |
| SEGMENT | |

Client
Registration Form
For
Individual

ARHAM SHARE PVT. LTD.
Member : NSE, BSE & CDSL

U-8, Jolly Plaza, Ph.: (O) 0261-6794000
Athwa Gate, Fax : 0261-2471060
Surat-395 001. E-mail : contact@arhamshare.com

Website : www.arhamshare.com

| Sr. No. | Name of the Document | Brief Significance of the Document | Page No. | |
|---|-----------------------------------|---|---|-------|
| MANDATORY DOCUMENTS - KYC for Trading and / or Demat Account | | | | |
| 1. | Know Your Client | Know Your Client (KYC) enables to know / understand the customers and their financial dealings to be able to serve them better. | 1 to 10 | |
| 2. | Brokerage Structure | Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) (to be added by the stock broker). | 11 | |
| 3. | Tariff Sheet (Demat) | The Charges payable by the Client for availing DP services. | 11 | |
| 4. | IBT & Debit Account authorization | Rights and obligation regarding Internet based trading facility & Consent and authorization allowing TM to debit trading account for demat charges | 14-15 | |
| 5. | Right & Obligations (Trading) | Document stating the Rights & Obligations of stock broker/ trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading.) | Provided to client, Consent taken on acknowledgement page (Refer page 24 of Account opening form) | |
| 6. | Risk Disclosure Document (RDD) | Document detailing risks associated with dealing in the securities market. | | |
| 7. | Guidance Note | Document detailing do's and don'ts for trading on exchange, for the education of the investors. | | |
| 8. | Policy and Procedures | Document describing significant policies and procedures of the stock broker (to be added by the stock broker) | | |
| 9. | Rights and Obligations (DP) | Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories | | |
| 10. | Investor charter document | Investor charter for stock broker / Depository Participant | | |
| NON MANDATORY DOCUMENTS | | | | |
| 11. | Running Account Letter | It is request from client to maintain running account of fund in order to meet the Compliance obligation of exchange. | | 12 |
| 12. | Letter of Consent | Consent for using common Email id & common Mobile number & Consent to receive digitally signed documents & SMS for trade confirmation etc. | | 13 |
| 13. | Additional Terms & condition | Additional Terms and condition for availing service of Arham | | 16-19 |
| 14. | DDPI | Demat debit and Pledge instructions allowing TM/DP to execute Payin and pledge instruction on client's behalf | 20-21 | |
| 15. | Limited Power of Attorney | A written document in which client appoints TM/DP to act as an agent on his or her behalf, thus conferring authority on to the agent to perform certain acts or functions or execute instructions on behalf of the client. | 22-23 | |

Arham Share Pvt. Ltd.

| | |
|--|---|
| Registered & Correspondence Address | Regd. Add.: 15th Floor, Unit No. 1B, Gift One Building, Village Ratanpur, Taluka Gandhinagar-382355 Correspondence Add.: U-8, Jolly Plaza, Athwa Gate, Surat-395 001. Ph.: (O) 0261-6794000 Fax : 0261-2471060 E-mail : contact@arhamshare.com Website : www.arhamshare.com |
|--|---|

| | Name | Telephone | E-mail ID |
|--------------------------|---------------|--------------|-------------------------|
| CEO & Compliance Officer | Priyank Mehta | 0261-6794000 | mehta_priyank@ymail.com |

For any grievance/dispute please contact Arham Share Pvt. Ltd. at the given address or email-id - grievances@arhamshare.com and Phone No. 0261-6794000.

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

| Exchange(s) | Telephone | E-mail ID | FAX NO. |
|-------------|----------------|-----------------|----------------|
| BSE | (022) 22728097 | is@bseindia.com | (022) 22723677 |
| NSE | (022) 26598190 | ignse@nse.co.in | (022) 26598191 |

BSE Member Code : 6405 & NSE Member Code : 14275

| | |
|--|--|
| SEBI Registration No.: INZ000175534 Dt. 08/11/2021 | CDSL Registration No.: IN-DP-252-2016 Dt. 25/05/2022 |
|--|--|

CLEARING MEMBER DETAILS : SELF CLEARING NSE & BSE : CASH & CURRENCY

| | |
|---|--|
| Globe Capital Market Limited (For F&O Segment), 609, Ansal Bhavan, 16, K.G. Marg, Connaught Place, New Delhi-110001. Ph.:011-30412345 | SEBI REGISTRATION No.: INZ000177137, Dated 14/05/2018 |
|---|--|



KNOW YOUR CLIENT (KYC) APPLICATION FORM (FOR INDIVIDUALS ONLY)

Please fill in ENGLISH & in BLOCK LETTERS with black/blue ink & tick the appropriate options

| | |
|---|---|
| Application No. : | Application Type <input type="checkbox"/> New KYC <input type="checkbox"/> Modify KYC |
| KYC mode : Please tick (✓) <input type="checkbox"/> Normal <input type="checkbox"/> EKYC OTP <input type="checkbox"/> EKYC Biometric <input type="checkbox"/> Online KYC <input type="checkbox"/> Offline KYC <input type="checkbox"/> Modification KYC | |

A. IDENTITY DETAILS

| | | | |
|---------------------------|--|-------------------|--|
| 1. Name of Applicant | FIRST NAME | MIDDLE NAME | LAST NAME |
| 2. Maiden Name | FOR MARRIED WOMEN ONLY | | |
| 3. Father's / Spouse Name | FIRST NAME | MIDDLE NAME | LAST NAME |
| 4. Mother Name | | | |
| 5. a. Gender | <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender | | |
| b. Date of birth | DD / MM / YYYY | c. Marital Status | <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others |
| 6. Nationality | <input type="checkbox"/> Indian | 7. Status | <input type="checkbox"/> Resident Individual |
| | <input type="checkbox"/> Other | | <input type="checkbox"/> Non Resident |
| | Please specify | | <input type="checkbox"/> Foreign National |
| 8. PAN | Aadhaar | | |

PHOTOGRAPH
Please affix your recent passport and sign across it

9. Specify the proof of identity submitted :

B. ADDRESS DETAILS

| | | | |
|--|------------|---------|--|
| 1. Residence / Correspondence Address | | | |
| City/Town/Village | District | | |
| Pin Code | State | Country | |
| 2. Contact/Mobile No | Tel (Res.) | | |
| Tel (Off.) | Email id | | |
| 3. Specify the proof of address submitted for Residence / Correspondence Address: | | | |
| 4. Permanent Address <small>(if different from above mandatory for non-resident applicant to specify overseas address)</small> | | | |
| City/Town/Village | District | | |
| Pin Code | State | Country | |

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

| | |
|-------|------------------------|
| Place | Signature of Applicant |
| Date | 2/17 |

FOR OFFICE USE ONLY

I hereby declare that I have met the client personally and verified the person with the photo provided in account opening form (In Person Verification) and have verified all the proofs with original (OSV). I am aware of Civil and Criminal liability that may devolve upon me (irrespective of whether I remain in employment or not) as per law and Company Policies, in the event if false declaration to this effect.
I hereby declare that I have made the client aware of 'Policy & Procedures', Tariff Sheet, 'Rights & Obligations', RDD, Guidance Note and all the non-mandatory documents. Any change in the 'Policy & Procedures', 'Rights & Obligations', RDD and Guidance Note would be made available on our website www.arhamshare.com, for the information of the clients.

| | | | |
|--|----------------|-----------------------------------|------------|
| Details of Employee / Authorized Signatory | | Documents verified with Originals | UCC Code : |
| Name & E Code | | | |
| Designation | | | |
| Date | DD / MM / YYYY | DD / MM / YYYY | |
| Signature | | | |
| Client Interviewed By & In-Person Verification done by | | | |



Application No. : _____ Application Type New KYC Modify KYC
 KYC mode : Please tick (✓) Normal EKYC OTP EKYC Biometric Online KYC Offline KYC Modification KYC

A. IDENTITY DETAILS

| | | | |
|---------------------------|--|-------------------|--|
| 1. Name of Applicant | FIRST NAME | MIDDLE NAME | LAST NAME |
| 2. Maiden Name | FOR MARRIED WOMEN ONLY | | |
| 3. Father's / Spouse Name | FIRST NAME | MIDDLE NAME | LAST NAME |
| 4. Mother Name | | | |
| 5. a. Gender | <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender | | |
| b. Date of birth | DD / MM / YYYY | c. Marital Status | <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others |
| 6. Nationality | <input type="checkbox"/> Indian | 7. Status | <input type="checkbox"/> Resident Individual |
| | <input type="checkbox"/> Other | | <input type="checkbox"/> Non Resident |
| | Please specify | | <input type="checkbox"/> Foreign National |
| 8. PAN | | Aadhaar | 1/11 |

PHOTOGRAPH

Please affix your recent passport and sign across it

9. Specify the proof of identity submitted :

B. ADDRESS DETAILS

| | | | |
|---|-------|------------|--|
| 1. Residence / Correspondence Address | | | |
| City/Town/Village | | District | |
| Pin Code | State | Country | |
| 2. Contact/Mobile No | | Tel (Res.) | |
| Tel (Off.) | | Email id | |
| 3. Specify the proof of address submitted for Residence / Correspondence Address: | | | |
| 4. Permanent Address <small>(if different from above mandatory for non-resident applicant to specify overseas address)</small> | | | |
| City/Town/Village | | District | |
| Pin Code | State | Country | |

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

| | | | |
|-------|----------------|------------------------|--|
| Place | | Signature of Applicant | |
| Date | DD / MM / YYYY | 2/11 | |

FOR OFFICE USE ONLY

I hereby declare that I have met the client personally and verified the person with the photo provided in account opening form (In Person Verification) and have verified all the proofs with original (OSV). I am aware of Civil and Criminal liability that may devolve upon me (irrespective of whether I remain in employment or not) as per law and Company Policies, in the event if false declaration to this effect.
 I hereby declare that I have made the client aware of 'Policy & Procedures', Tariff Sheet, 'Rights & Obligations', RDD, Guidance Note and all the non-mandatory documents. Any change in the 'Policy & Procedures', 'Rights & Obligations', RDD and Guidance Note would be made available on our website www.arhamshare.com, for the information of the clients.

| | | | |
|--|-----------------------------------|--|--|
| | | UCC Code : | |
| Details of Employee / Authorized Signatory | Documents verified with Originals | Client Interviewed By & In-Person Verification done by | |
| Name & E Code | | | |
| Designation | | | |
| Date | DD / MM / YYYY | DD / MM / YYYY | |
| Signature | | | |



A. DETAILS OF ACCOUNT HOLDER(S)

| Account holder(s) | Sole / First Holder | | Second Holder | | Third Holder | |
|-------------------|--|---|--|---|--|---|
| Name | | | | | | |
| Occupation | <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional | <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify; _____) | <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional | <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify; _____) | <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional | <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify; _____) |
| Education | | | | | | |
| Aadhaar No. : | | | | | | |

B. TYPE OF ACCOUNT

| Status | Sub-Status | |
|------------------|--|--|
| Individual | <input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c (Mantra) | <input type="checkbox"/> Individual - Director <input type="checkbox"/> Individual - HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others (Specify) _____ |
| NRI | <input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI -Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts | <input type="checkbox"/> NRI - Non - Repatriable <input type="checkbox"/> NRI - Non - Repatriable Promoter <input type="checkbox"/> Others (Specify) _____ |
| Foreign National | <input type="checkbox"/> Foreign National <input type="checkbox"/> Others (Specify) _____ | <input type="checkbox"/> Foreign National - Depository Receipts |

C. BANK ACCOUNT DETAILS (DEFAULT BANK WILL BE CONSIDERED FOR PAYOUT OF FUNDS)

| Bank Details (Default) | | Bank Details |
|------------------------|---|---|
| Bank Name | | |
| Bank Address | | |
| Account No. | | |
| City/Town /Pincode | | |
| Account Type | Savings/Current/Others in case of NRE/NRO | Savings/Current/Others in case of NRE/NRO |
| MICR Code | | |
| IFSC Code | | |

D. DEPOSITORY ACCOUNT DETAILS

| | DP Details (Default) | DP Details |
|-------------|--|---|
| Depository | <input checked="" type="checkbox"/> CDSL <input type="checkbox"/> NSDL | <input type="checkbox"/> CDSL <input type="checkbox"/> NSDL |
| DP Name | ARHAM SHARE PRIVATE LIMITED | |
| Client Name | | |
| DP ID | 12071700 | |
| BO ID | | |

E. INFORMATION FOR PREVENTION OF MONEY

| | | | |
|--|--|--|--|
| Gross Annual Income | <input type="checkbox"/> Up to 1 lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> > 25 Lacs | | |
| | OR Net Worth in ₹ <small>(*Net worth should not be older than 1 year)</small> as on date DD / MM / YYYY | | |
| Please tick <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> NA | | | |

F. INVESTMENT / TRADING EXPERIENCE

No Prior Experience _____ Years in Securities _____ Years in other investment related fields

G. TRADING PREFERENCES

| Exchange | Segment | Signature of the Applicant |
|-----------|---------------------|---|
| NSE / BSE | Cash | 3/17  |
| NSE / BSE | Equity Derivative | 4/17  |
| NSE | Currency Derivative | 5/17  |
| BSE | Star MF | 6/17  |

If, in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker.

H. PAST ACTIONS

Details of any action/proceedings initiated/pending/taken by SEBI/Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: If "Yes" Pl. Specify

Yes No

I. INTRODUCER

Status of Introducer Sub-broker/ Employee Existing Client Others (Specify):

AP/Introducer Name:

AP/Emp/Client Code:

Address:

| | |
|------------|---|
| Mobile No: | Signature of the AP / Introducer  |
|------------|---|

J. DEALING THROUGH SUB-BROKERS / AUTHORISED PERSON (AP) / OTHER STOCK BROKERS

If Yes, please specify:

| | |
|----------------------|--|
| Name of Stock Broker | Name of SB/AP |
| Name of Exchange | Client Code (as given by other broker) |

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

Whether you are a Member / Sub-broker / AP of any Exchange

If yes, provide SEBI REGISTRATION NO:

K. STANDING INSTRUCTIONS

| | |
|--|--|
| Whether you wish to receive Physical Contract Note (PCN) or Electronic Contract Note (ECN)? | <input checked="" type="checkbox"/> Electronic <input type="checkbox"/> Physical |
| Whether you wish to receive Rights & Obligation, Uniform RDD, Do's & Dont's & other KYC documents etc (Client Copy) in electronic form or physical? | <input checked="" type="checkbox"/> Electronic <input type="checkbox"/> Physical |
| Whether you wish to avail facility of Internet Trading / Mobile Trading / Wireless Technology Trading? If Yes, refer Rights & Obligations and additional clause of Internet/IBT/WT trading facility. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Whether you wish to avail Margin Trading Facility? If Yes, refer MTF Rights & Obligations and sign MTF Terms & conditions separately. | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |

| Account to be operated through | | <input type="checkbox"/> POA | <input type="checkbox"/> DDPI | | | | | | | | | |
|---|---|--|--|-------------------------------|--|--|--|--|--|--|------------------------------|--|
| | | <input type="checkbox"/> DIS | <input type="checkbox"/> EDIS | | | | | | | | | |
| Do you wish to opt for BSDA facility (tick applicable box)? If Yes, BSDA scheme will be applicable & must be signed by all holders | | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | | | | | | | | | |
| I/We request you to send Electronic Transaction-cum-Holding Statement with other required documents at the email ID mentioned on page no. 1 | | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | | | | | | | | | |
| SMS Alert Facility Refer to T&C given as Annexure - 2.4 | Mobile No. <input type="text"/> <input type="text"/> [[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]. | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No | | | | | | | | | |
| Transactions Using Secured Texting Facility (TRUST). Refer to T&C Annexure 2.6 | I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the terms and conditions prescribed by CDSL for the same. I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table> | Stock Exchange Name/ID | Clearing Member Name | Clearing Member ID (Optional) | | | | | | | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No |
| Stock Exchange Name/ID | Clearing Member Name | Clearing Member ID (Optional) | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| 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. | <input type="checkbox"/> Yes | <input checked="" type="checkbox"/> No | | | | | | | | | |
| Receive Delivery Instruction Slip | | | | | | | | | | | | |
| <input type="checkbox"/> I/We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though / I / We have issued a Power of Attorney (POA) / registered for eDIS / Executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Power of Attorney Clearing Member / for executing delivery instructions through eDIS. | | | | | | | | | | | | |
| <input type="checkbox"/> I/We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a (POA) / registered for eDIS / Executed PMS agreement in favour of / with _____ name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Power of Attorney holder - clearing Member / by PMS manager or for executing for Executing delivery instructions through eDIS. However, the Delivery instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date. | | | | | | | | | | | | |
| 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] <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | | | | | | | | | | |
| 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') | | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | | | | | | | | | | |
| I/We would like to share the email ID with the RTA | | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | | | | | | | | | | |
| I/We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical) | | <input checked="" type="checkbox"/> Electronic <input type="checkbox"/> Physical Both Physical and Electronic | | | | | | | | | | |
| I/ We wish to receive dividend/interest directly in to my bank account as given below through ECS (If not marked, the default option would be Yes) [ECS is mandatory for locations notified by SEBI from time to time] | | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | | | | | | | | | | |
| Account Statement Requirement | <input checked="" type="checkbox"/> As per SEBI regulation | <input type="checkbox"/> Daily | <input type="checkbox"/> Weekly | | | | | | | | | |
| | | <input type="checkbox"/> Fortnightly | <input type="checkbox"/> Monthly | | | | | | | | | |

L. GST REGISTRATION DETAILS

Registration No :

Name of the State :

Guardian Details (where sole holder is a minor):

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

| | | | |
|-------------------------------------|--|----------|--|
| Guardian Name | | PAN Card | |
| Relationship of guardian with minor | | | |

NOMINATION OPTION

I/We wish to make a nomination (page 8)

I/We do not wish to make a nomination

DECLARATION

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

7/17 

(First/Sole Holder Signature)

3/11 

(Second Holder Signature)

3/11 

(Third Holder Signature)

Date :DD / MM / YYYY

Place :

FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

| | | | |
|--|---|---|---|
| Client Name | | | |
| | First/Sole Holder | Second Holder (if any) | Third Holder (if any) |
| Are you Tax Resident outside India (Refer KYC Handout - Customer Copy) | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Specify country of residence for tax purpose (Tax Residency) | <input type="checkbox"/> India <input type="checkbox"/> Other _____ | <input type="checkbox"/> India <input type="checkbox"/> Other _____ | <input type="checkbox"/> India <input type="checkbox"/> Other _____ |
| Specify country of citizenship | <input type="checkbox"/> India <input type="checkbox"/> Other _____ | <input type="checkbox"/> India <input type="checkbox"/> Other _____ | <input type="checkbox"/> India <input type="checkbox"/> Other _____ |

Note: If you are a U.S. person and /or if your tax residency/ nationality /citizenship is other than India, then please provide declaration /self certification under FATCA/CRS. This declaration form can be downloaded from <http://www.arhamshare.com> or call at centralized helpdesk at Ph.: (0) 0261-6794000 or write to contact@arhamshare.com.

8/17 

(First/Sole Holder Signature)

4/11 

(Second Holder Signature)

4/11 

(Third Holder Signature)



ARHAM SHARE PVT. LTD.

SEBI Reg. No.: IN-DP-CDSL-252-2016

Depository Participant : Central Depository Services (I) Ltd.

Regd. Add.: 15th Floor, Unit No. 1B, Gift One Building, Village Ratanpur, Taluka Gandhinagar-382355

Correspondence Add.: U-8, Jolly Plaza, Athwa Gate, Surat-395 001.Ph.: (O) 0261-6794000 Fax : 0261-2471060

E-mail : contact@arhamshare.com Website : www.arhamshare.com

FORM FOR NOMINATION

(To be filled in by individual applying singly or jointly)

| | | | | | | | | | | | | | | | | | | | | | | | |
|--|--|--|-------------------------------|---|---|---|---|-------------------------------|-----------|--|--|-------------------------|-------------------------------|--|--|-----------|--|--|--|--|--|--|--|
| Date | D | D | M | M | Y | Y | Y | Y | UCC/DP ID | | | | | | | Client ID | | | | | | | |
| I/We wish to make a nomination. [As per details given below] | | | | | | | | | | | | | | | | | | | | | | | |
| Nomination Details | | | | | | | | | | | | Nominee Reg. No. | | | | | | | | | | | |
| I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death. | | | | | | | | | | | | | | | | | | | | | | | |
| Nomination can be made upto three nominees in the account. | | | Details of 1st Nominee | | | | | Details of 2nd Nominee | | | | | Details of 3rd Nominee | | | | | | | | | | |
| 1 | Name of the nominee(s) (Mr./Ms.) | | | | | | | | | | | | | | | | | | | | | | |
| 2 | Share of each Nominee | Equally [If not equally, please specify percentage] | | | | | | | | | | | | | | | | | | | | | |
| <i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i> | | | | | | | | | | | | | | | | | | | | | | | |
| 3 | Relationship With the Applicant (If Any) | | | | | | | | | | | | | | | | | | | | | | |
| 4 | Address of Nominee(s) | | | | | | | | | | | | | | | | | | | | | | |
| City / Place: | | | | | | | | | | | | | | | | | | | | | | | |
| State : | | | | | | | | | | | | | | | | | | | | | | | |
| Country: | | | | | | | | | | | | | | | | | | | | | | | |
| PIN Code | | | | | | | | | | | | | | | | | | | | | | | |
| 5 | Mobile / Telephone No. of nominee(s) | | | | | | | | | | | | | | | | | | | | | | |
| 6 | Email ID of nominee(s) | | | | | | | | | | | | | | | | | | | | | | |
| 7 | Nominee Identification details - [Please tick any one of following and provide details of same] | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID | | | | | | | | | | | | | | | | | | | | | | | |

| Sr. Nos. 8-14 should be filled only if nominee(s) is a minor: | | | | |
|---|---|----------------------|---|-------------------------|
| 8 | Date of Birth {in case of minor nominee(s)} | | | |
| 9 | Name of Guardian (Mr./Ms.) {in case of minor nominee(s)} | | | |
| 10 | Address of Guardian(s) | | | |
| | City / Place: | | | |
| | State : | | | |
| | Country: | | | |
| | PIN Code | | | |
| 11 | Mobile / Telephone no. of Guardian | | | |
| 12 | Email ID of Guardian | | | |
| 13 | Relationship of Guardian with nominee | | | |
| 14 | Guardian Identification detail - [Please tick any one of following and provide details of same] Photograph & Signature PAN Aadhaar Saving Bank account no. Proof of Identity Demat Account ID | | | |
| | | Name(s) of holder(s) | | Signature(s) of holder* |
| Sole / First Holder (Mr./Ms.) | | |  | |
| | | | 9/17 | |
| Second Holder (Mr./Ms.) | | |  | |
| | | | 5/11 | |
| Third Holder (Mr./Ms.) | | |  | |
| | | | 5/11 | |
| * Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature Note : This nomination shall supersede any prior nomination made by the account holder(s), if any. | | | | |



| | | | | | | | | | |
|--|------|---|---------------------------|---|---|---|--------------------------|---|---|
| To | Date | D | D | M | M | Y | Y | Y | Y |
| Arham Share Pvt. Ltd. Correspondence Add. U-8, Jolly Plaza, Athwagate, Surat-395001 Ph. : 0261-6794000 Fax : 0261-2471060 E-mail: contact@arhamshare.com Website : www.arhamshare.com | | | | | | | | | |
| UCC/Code | | | | | | | | | |
| DP ID / Client ID (only for Demat account) | 1 | 2 | 0 | 7 | 1 | 7 | 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 issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account. | | | | | | | | | |
| Name and Signature of Holder(s)* | | | | | | | | | |
| 10/17 | | | 6/11 | | | | 6/11 | | |
| (First/Sole Holder Signature) | | | (Second Holder Signature) | | | | (Third Holder Signature) | | |

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



| CAPITAL MARKET SEGMENT | | | | | | | | | | | | |
|------------------------|--|----------------------|------|--------------------|------|-----------------------------|------|--------------|------|-----------------|------------|--|
| Intraday | | | | | | Delivery | | | | | | |
| | | % | | Min. Paise | | | | % | | | Min. Paise | |
| 1st Side | | | | | | | | | | | | |
| 2nd Side | | | | | | | | | | | | |
| F & O SEGMENT | | | | | | CURRENCY DERIVATIVE SEGMENT | | | | | | |
| | | % | | Min. Paise | | | | % | | | Min. Paise | |
| 1st Side | | | | | | | | | | | | |
| 2nd Side | | | | | | | | | | | | |
| | | Index Option (Nifty) | | Index Option(Bank) | | Index Option (Finnifty) | | Stock Option | | Currency Option | | |
| | | Rs. | Min. | Rs. | Min. | Rs. | Min. | Rs. | Min. | Rs. | Min. | |
| 1st Side | | | | | | | | | | | | |
| 2nd Side | | | | | | | | | | | | |

| TARIFF SHEET DP SERVICES (CDSL) | | | | |
|-----------------------------------|--|---|---|---|
| Sr. No. | Services | SCHEME | | SCHEME |
| | | <input type="checkbox"/> TRADERS | <input type="checkbox"/> INVESTOR | <input type="checkbox"/> LIFE TIME |
| 1. | Annual Maintenance Charges | 300/- | 100/- | 999/- |
| 2. | Deliveries / Debit transaction | Rs. 11 / ISIN | Rs. 16 / ISIN | Rs. 26 / ISIN |
| | a) Within Arham | | | |
| | b) Outside Arham | 0.02% Min Rs.15 / ISIN | 0.02% Min Rs. 20 / ISIN | 0.02% Min Rs. 25 / ISIN |
| 3. | Charges for Pledge creation /Pledge closure | 0.02% Min Rs. 25 / ISIN | 0.02% Min Rs. 55 / ISIN | 0.02% Min Rs. 55 / ISIN |
| 4. | Dematerialization | Rs. 5 per certificate & Rs. 50 per DRF request & Rs. 50 per rejection | Rs. 5 per certificate & Rs. 50 per DRF request & Rs. 50 per rejection | Rs. 5 per certificate & Rs. 50 per DRF request & Rs. 50 per rejection |
| 5. | Rematerialization | Actual CDSL charges plus Rs. 50 per request | Actual CDSL charges plus Rs. 50 per request | Actual CDSL charges plus Rs. 50 per request |
| 6. | Additional DIS requisition | Rs. 10/ booklet | Rs. 50/ booklet | Rs. 50/ booklet |
| 7. | Additional Request for account statement or holding with valuation, account modification, freeze & unfreeze etc. | Rs. 25/ Request | Rs. 25/ Request | Rs. 25/ Request |

Notes :

- GST and other statutory levies (if any) would be charged extra wherever applicable as per the prevailing rates.
- Charges payable monthly for DP transactions.
- The rate will depend on existing CDSL charges and will be revised on revision by CDSL. All the charges are subject to revision at
- At sole discretion of ASPL, Charges will be revised by giving minimum 30 days notice in writing.
- For availing 'Easiest' facility of CDSL, The charges as levied by CDSL would be collected from clients at actuals.
- In case of every Corporate Accounts, CDSL AMC of Rs. 500/- shall be charged extra.
I/We authorise you to debit my/our trading account towards my/our demat account dues. Any such amount debited to my/our trading account will be binding on me/us.
- Statutory Charges like Securities Transaction Tax, Transaction Charges, Stamp Duty, SEBI Turnover Fees, Clearing Charges levied extra.
- The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.
- If I/we were to add/modify/remove any of my detail including brokerage plans with Arham Share Pvt. Ltd, I/we authorize you to carry it out based on my request sent through an email to dp@arhamshare.com from my registered email address or intimation through an interface provided by you, where to I have been allowed secured access.
- For detailed list of charges visit : <https://www.arhamshare.com/pricing>

11/17

(First/Sole Holder Signature)

7/11

(Second Holder Signature)

7/11

(Third Holder Signature)

Date : _____

Place : _____

To,
ARHAM SHARE PVT. LTD.
15th Floor, Unit No. 1B,
GIFT One Building, Ratanpur,
Gandhinagar-382355.

Date : _____

SUBJECT : AUTHORITY TO MAINTAINING RUNNING ACCOUNT

With reference to SEBI circular SEBI/HO/MIRSD/DOP/P/CIR/2021/577 in respect of my/our Trading Account held with you on Capital Market and/or Future & Options segment and/or currency derivative segment of the Bombay Stock Exchange, & National Stock Exchange of India Limited. As my/our broker I/We direct and authorize you to carry out trading/dealings on my/our behalf as per instruction given below:

- 1) I/We request you to do the settlement of running account of funds after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchanges in

Once in 30 days Once in 90 days

running account as per the selection made above.

- 2) If my account has credit balance and I/We have not done any transaction in the 30 calendar days since the last transaction, I/We authorize and request you to return the credit balance within next three working days irrespective of the date when the running account was previously settled.
- 3) I understand and accept that as per above referenced SEBI circular, security settlement won't be carried out in the account held by me/us.
- 4) I agree that if I/We fail to bring any disputes arising from the statement of running account to your notice within 30 working days from the date of receipt of statement of running account, The statement of running account shall be final and binding to me/us and I/We shall have no right to dispute on the same.

Thanking You,
Yours faithfully,

Client Name _____
 Address _____

12/17  _____
Client Signature

Dear Sir/Madam,

SUB.: A) Consent for use of common E-mail id & Common Mobile Number in our trading and Demat Account;

B) Consent to receive digitally signed documents by E-mail (Electronic Contract Note (i.e. ECN) & other Documents) and trade confirmation etc by SMS.

A. With ref. to SEBI circular CIR/MIRSD/15/2011 DATED 02/08/2011, I/we hereby authorized you to accept following common email id & common mobile number in our family member's trading & Demat account with you as per annexure 1. As per the clause (2B IV) of this SEBI circular, family member means self, spouse, dependent children and dependent parents. Following is our common E-mail id & Common Mobile number.

| Sr. No. | Mobile No. / Email-Id | Owner | Relationship | Code |
|---------|-----------------------|-------|--------------|------|
| 1 | | | | |
| 2 | | | | |

Annexure 1 (List of family Member's Trading & Demat Account having common Email & mobile Number as mentioned above)

| Sr. No. | CODE | NAME | RELATIONSHIP |
|---------|------|------|--------------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

B. I/we hereby consent to receive digitally signed documents like contract note (ECN), daily margin statement, statement of accounts for funds & securities of the trades executed by me/us, retain statement, trade confirmation, ledger, bills, demat holdings statements, demat transaction statements, notices, circulars, amendments and such other correspondence as per exchange & regulatory requirements in electronic form duly authenticated by means of a digital signature as specified in the Information technology Act, 2000 and the rules made there under on above our common email id & SMS if any on above common mobile number & accept and authorized the same as correct. If any error or any false information or details received in such email then I/we will agree to inform you in writing or by email immediately or within week. I/we further agree that non-receipt of bounce mail notification by the member shall amount to delivery of the electronic documents.

I/we further agree that in future if any change in my/our email id / or mobile number, I/we will inform immediately in writing to member for updation.

Thanking you.

Your's faithfully,

13/17 

(First/Sole Holder Signature)

8/11 

(Second Holder Signature)

8/11 

(Third Holder Signature)

A. INTERNET & WIRELESS TECHNOLOGYBASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT (ALL THE CLAUSES MENTIONED IN THE 'RIGHTS AND OBLIGATIONS' DOCUMENT(S) SHALL BE APPLICABLE. ADDITIONALLY, THE CLAUSES MENTIONED HEREIN SHALL ALSO BE APPLICABLE)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/ securities using trading wireless technology as may be specified by SEBI & the Exchanges from time to time
2. The client is desirous of investing/ trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/ Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/ SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ internet/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/ SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person who so ever through the Stock broker's System IBT using the Client's Username and/ or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/ or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/ suspects discrepancies/ unauthorized access through his username/ password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/ securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/ password in any manner whatsoever.
8. The stock broker shall send the order/ trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology the stock broker shall send the order/ trade confirmation on the device of the client
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption

10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/ system failure at the Client/ Stock brokers/Exchange end for any reason beyond the control of the stock broker/ Exchanges

B. DEBIT ACCOUNT AUTHORIZATION

Dear Sir,

Sub: Authorisation to debit trading account for the demat account charges

Ref:- BO ID: 12071700_____

Trading ID :_____

I/We have opened/have a beneficiary account with your CDSL depository along with a trading account for investment and trading purposes. It would be difficult or me/us to keep issuing separate cheques against your depository bills. I/We, therefore authorize you to debit the charges payable towards operation of the above account. I/We are aware of the charges for operating the said account. Any such sum debited to my trading account shall be binding on me/us.

Thanking you

Yours truly,

14/17 

Client's Signature

With respect to member-constituent relationship and mandatory and voluntary (optional) documents executed between us, I/we do hereby authorize Arham to do the following:

1. ORDER PLACEMENT INSTRUCTIONS

I understand that you require written instructions from me for placing/modifying/cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting/calling/emailing the call center/branch specified for the said purpose by Arham in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other approved modes. I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery of contract note at my/our email ID. I indemnify Arham and its employees against all trade related losses, damages, actions which you may suffer or face, as a consequence carrying out my instructions for orders placed verbally

2. ERRORS AND OMISSIONS

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances Arham shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold Arham responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by Arham.

3. NO MARKET MANIPULATION

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self-trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, Arham has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

4. NOT TO ACT AS UNREGISTERED SUB BROKER

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients. In case I wish to deal for other clients also, I undertake to apply to SEBI through Arham to obtain a sub broker registration. In case Arham perceives that I am acting as an unregistered sub broker, Arham has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to Arham without the requirement of any notice from Arham. Further, Arham has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify Arham from any loss/ damage/claim arising out of such activity.

5. NOT DEBARRED BY ANY REGULATOR

I confirm and declare that there is no bar on me imposed by any Exchange or any regulatory and/or statutory authority to deal in securities directly or indirectly. I agree to inform Arham, in writing, of any regulatory action taken by any Exchange or regulatory/ statutory authority on me in future. In case I fail to inform the same and Arham on its own comes to know of such action, Arham has the right to suspend/close my trading account and refuse to deal with me. Also, Arham can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related debit balances, without any notice to me.

6. PMLA DECLARATION

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by Arham officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that;

- a. I do not have any links with any known unlawful persons/institutions
- b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

7. INDEMNIFICATION

I hereby indemnify and hold Arham, its Directors and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the Arham directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

8. INDEMNITY OF JOINT HOLDINGS

I hereby agree to indemnify and hold Arham harmless from any trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

9. BSE STAR MUTUAL FUND FACILITY

I am interested in availing the STAR Mutual Fund facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the STAR platform of the Exchange. For the purpose of availing the STAR Mutual Fund facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of STAR and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

10. DELAYED PAYMENT CHARGES

I understand that in case my account is in debit balance and/or if I have insufficient funds to manage my trading positions, I will be charged an interest of 0.05% per day as delayed payment charges. I confirm having read the rules & regulations pertaining to the levy of such interest under the policies & procedures page on Arham's website.

11. NRI DECLARATION

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to Arham every time the investment is made.

12. THIRD-PARTY PAYMENTS

Arham shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per proforma prescribed by Arham. Arham shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by Arham and the credit for the same has been given in the client's ledger, Arham shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, Arham reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. Arham, its Directors and employees shall not be responsible for any consequential damages or losses.

13. NO DEALINGS IN CASH

Arham as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub- Broker/ Remisier/Employee/Authorized Person of Arham.

14. DELIVERIES

The client shall ensure that the shares are properly transferred to the designated demat account of Arham, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/Arham. In case the client fails to transfer the shares on time to Arham, Arham shall not be responsible for any loss/damages arising out of such delayed transfers.

15. SQUARING OFF OF POSITIONS & SALE /LIQUIDATION OF COLLATERAL MARGINS (to the extent of Settlement Margin obligation)

The client shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds and/or delivery of the shares. In case the client fails to settle the transactions within the settlement date, then Arham has the right to square off the open and/or unpaid positions, at an appropriate time, as it deems fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. Arham, its Directors and Employees shall not be responsible for any trade related loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of Arham.

After such square off of open positions by Arham, as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, Arham shall have the right to liquidate the shares and other securities of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/margin and the shares and securities that needs to be sold or liquidated. Arham, its Directors and employees shall not be responsible for any trade related loss or damages arising out of such selling.

16. INDEMNITY FOR USE OF BACKOFFICE, E-DIS & OTHER FACILITY MADE AVAILABLE UNDER THE SAME

I/We understand that login credentials for back-office and trading platform shall be provided to us on email id provided to you on account opening form, I/we hereby agree to indemnify and hold Arham, its employee or directors harmless from any action taken by us from the back-office access, execution of E-dis, profile modification carried out from login access given to us in account held jointly by me with any other person or persons, if any.

The Client acknowledges that he is fully aware of and understands the risks associated with availing of access to online back-office & trading services through internet including the risk of misuse and unauthorized use of his Username and/or Password by a third party and the risk of a person hacking into the Client's account on Trade circle's back-office & Online Trading. The Client agrees that he shall be fully liable and responsible for any and all unauthorized use and misuse of his Password and/or Username and also for any and all acts done by any person through Trade circle's back-office & Online Trading System on the Client's Username in any manner whatsoever.

All the access, edis instruction executions, corporate action, profile modification or any other request or instructions given through the trade circle's back-office system via the Client's Username, password & 2FA shall be deemed to have been done and given by the Client.

17. INDEMNITY FOR BO HAVING JOING BANK ACCOUNT

In case where client's bank has joint holder, it is client's responsibility to get consent of the other holder(s) in respect of mapping & executing transaction via mapped bank in client's demat & trading account held with Arham.

All the transaction Carried out via such bank account which has multiple holder shall be assumed to have done through consent of all holders.

DISCLOSURE REGARDING PROPRIETARY TRADING

As required under Circular No. SEBI / MRD / SE / Cir-42/2003 dated 19.11.2003 issued by the Securities and exchange board of India; we hereby disclose that in addition to client-based business, we are also doing proprietary trading.

IMPORTANT INSTRUCTIONS

1. All details to be filled in Capital Block letters in Black / Blue Ink Only.
2. Email ID & Mobile number is mandatory for account related passwords and transaction details.
3. Corrections in the KYC form should be counter signed. Do not use whitener anywhere in the form.
4. Strike off whichever option in the account opening form is not applicable.
5. All Originals to be produced for physical verification.
6. Name & address of the applicant mentioned on the KYC form should match with the documentary proof submitted.
7. If correspondence & permanent address are different, then proofs for both have to be submitted.
8. NRI resident of United States of America are not permitted to open a trading account.

KYC CHECKLIST (PLEASE TICK WHEREVER APPROPRIATE - COPIES OF ALL DOCUMENTS SHOULD BE SELF ATTESTED)

| | | |
|--|---|--|
| Important Points | 1. Self attested copy of PAN card is mandatory | |
| | 2. One colored front face photo (passport size) | |
| | 3. Any POI or POA is in regional language, then translation into English is required | |
| | 4. Sole proprietor must make the application in his individual name & capacity | |
| Proof of Identity (POI) (Any One) | 1. Unique identification number (UID) (Aadhaar) | |
| | 2. Valid Passport (Name, Address & Photo page) | |
| | 3. Voter ID (front and back) | |
| | 4. Valid Driving License (Name, Address & Photo page) | |
| | 5. PAN Card | |
| | 6. Other (Pls. Specify) _____ | |
| Proof of Address (POA) (Any One) Permanent / Correspondence | 1. Valid Passport (Name, Address & Photo page) | |
| | 2. Voter ID (front and back) | |
| | 3. Valid Driving License (Name, Address & Photo page) | |
| | 4. Unique identification number (UID) (Aadhaar) | |
| | 5. Bank Statement/Passbook (not more than 3 months old must contain complete address of client) | |
| | 6. Banker's Verification Letter | |
| | 7. Electricity Bill (not more than 3 months old) | |
| | 8. Resident Landline Tel. Bill (not more than 3 months old) | |
| | 9. Registered Flat Sale Agreement of Residence | |
| | 10. Registered Lease/Leave & License Agreement | |
| | 11. Ration Card 12. Other (Pls. Specify) _____ | |
| Bank Proof With MICR / IFSC Code (First Holder Only) | 1. Bank Statement / Bank Passbook with cheque leaf (not more than 3 months old) | |
| | 2. Banker's Certificate on letter head of the Bank (ORIGINAL) | |
| | 3. Cancelled Personalized Cheque leaf | |
| Demat Proof (Any One) (First Holder Only) | 1. Client Master (CML copy duly attested by DP) | |
| | 2. DP Statement / Transaction cum Holding Statement 3. Pre-Printed DIS. | |
| | | |
| Proof of Income (Any One) Mandatory for F&O and Currency Segments (First Holder Only) | 1. Copy of ITR Acknowledgement | |
| | 2. In case of salary income - Salary Slip (not more than 2 months old) | |
| | 3. Net-worth certificate (Not more than 1 year old) | |
| | 4. Copy of Demat Account Holding Statement | |
| | 5. Account Statement for last 6 months reflecting income | |
| | 6. Annual Accounts | |
| | 7. Any other relevant documents 8. Self declaration with Proof | |



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