#### **VARDHAMAN CAPITAL PRIVATE LIMITED**

www.vardhamancapital.co.in

# PART I - KNOW YOUR CLIENT (KYC) APPLICATION FORM (FOR INDIVIDUALS ONLY)

(FOR INDIVIDUALS ONLY)

Email: info@vardhamancapital.net

REGISTERED & CORPORATE OFFICE:
25 SWALLOW LANE WARDLEY HOUSE 2ND FLOOR

KOLKATA - 700001 TEL. : +91 33 6820 2020



PLEASE FILL THIS FORM IN **ENGLISH** AND IN **BLOCK** LETTERS. **IDENTITY DETAILS** Name of the Applicant Father's/Spouse's Name **PHOTOGRAPH** Date of Birth Single Gender **Marital Status** Please affix your □ Female Married recent passport ☐ Resident Individual ☐ Indian size photograph **Nationality** Status Other (Please Specify) ☐ Non Resident ☐ Foreign National and sign across it Aadhar Number, PAN If Any Specify the Proof of Identity Submitted PAN Card Any Other (Please Specify) Ø **ADDRESS DETAILS** Residence Address VARDHAMAN CAPITAL PRIVATE LIMITED City/Town/Village Pin Code State Country Specify the Proof of Address Submitted for Resi. Address Mobile No. Tel. (Off.) Tel. (Res.) Fax No. Email ID Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant) City/Town/Village 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. D D Signature of Applicant FOR OFFICE USE ONLY **IPV Details**: (DD/MM/YYYY) ☐ Originals Verified & Self **Attested Documents Copies Received** 

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KOLKATA - 700001 TEL.: +91 33 6820 2020

Email: info@vardhamancapital.net



**IDENTITY DETAILS** Name of the Applicant Date of Incorporation Date of Comm.of Business PHOTOGRAPH Place of Incorporation Regn. No. Please affix your PAN (Eg.CIN) recent passport □ Private Ltd Co. □ Bank ☐ Body Corporate ☐ Charities size photograph Status ☐ NGO's ☐ LLP Partnership ☐ Defense Estb. (Please and sign across it ☐ Trust ☐ FII Society ☐ AOP Tick any ☐ HUF ☐ BOI ☐ Non-Govt. Org. ☐ FI one) Ø ☐ Public Ltd. Co. ☐ Govt. Body Others (Please Specify) **ADDRESS DETAILS** В Correspondence Address **VARDHAMAN CAPITAL PRIVATE LIMITED** City/Town/Village Pin Code State Country Specify the Proof of Address Submitted for Corres. Address Mobile No. Tel. (Off.) Fax No. Tel. (Res.) Email ID Registered Address (If different from above) City/Town/Village Pin Code State Country **DECLARATION** I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that I/we may be held liable for it. Name & Signature of The Authorised Signatory FOR OFFICE USE ONLY **IPV Details:** (DD/MM/YYYY) ☐ Originals Verified & Self **Attested Documents Copies Received** 

С	OTHER DETAILS FOR NON INDIVIDUALS ONLY								
	Details of Promoters/Partners/Karta/Trustees & Whole Time Directors forming partners	rt of KYC application Form	_						
1	Name  Relationship with Applicant  Date of Birth								
	(i.e. promoters, whole time directors etc.)  Residential/ Registered Address	PHOTOGRAPH  Please affix your recent passport							
ORY	City/Town/Village PIN	size photograph							
SIGNATORY	State Country Tel. (O) Mobile No.	and sign across it							
1st SI	PAN Equity % PSR Ownership Stake								
Ŧ									
	Aadhar Number, If Any  DIN No. i.e Whole time Directors								
	Proof of Identity (POI)								
	Proof of Address (POA)	Signature							
2	Name								
	Relationship with Applicant (i.e. promoters, whole time directors etc.)  Date of Birth  D D M M Y Y Y Y	PHOTOGRAPH							
<u></u>	Residential/ Registered Address	Please affix your recent passport	AN CAPITAL PRIVATE LIMITED						
TOR	City/Town/Village PIN PIN	size photograph	<u> </u>						
SIGNATORY	State Country	and sign across it	N N						
	Tel. (O) Mobile No.		DR						
2 <sup>nd</sup>	PAN Equity % PSR Ownership Stake		I						
	Aadhar Number, If Any		CAP						
	i.e Whole time Directors		Z						
	Proof of Identity (POI)		Σ						
	Proof of Address (POA)	Signature	VARDHAM						
3	Name   Date of Birth		<b>\\</b>						
	Relationship with Applicant (i.e. promoters, whole time directors etc.)    D   D   M   M   Y   Y   Y   Y   Y   Y   Y   Y	PHOTOGRAPH							
	Residential/ Registered Address	Please affix your							
)RY	City/Town/Village PIN	recent passport size photograph							
SIGNATORY	State Country	and sign across it							
19	Tel. (O) Mobile No.								
3rd S	PAN Equity % PSR Ownership Stake								
	Aadhar Number, If Any								
	DIN No. i.e Whole time Directors								
	Proof of Identity (POI)								
	Proof of Address (POA)	Signature							
			7						
	Name of the Auth. Signatory   Signature of the Auth. Signatory	ory Date							
	Note: In case of more than three authorised signatories, please submit all the required details in a separ	-							

Α	PART II - TRADING & DEMAT ACCOUNT RELATED DETAILS (FOR INDIVIDUALS & NON INDIVIDUALS)  BANK ACCOUNT DETAILS											
			1 <sup>st</sup> Account/Prim	nary	2 <sup>nd</sup> Account		3 <sup>rd</sup> Account					
	Bank Nam	ne										
	Branch Na Address	me &										
	Bank Acco	ount No.										
	Account T (Saving/Current/C In case of NRI/NRI	Others										
	MICR No.											
	IFSC Code											
В	DEPOSITO	ORY ACCO	OUNT DETAILS					٦				
	DP Name											
	CDSL/NSD	)L										
	DP ID							۵				
	Beneficiar (BO ID)	y ID						CAPITAL PRIVATE LIMITED				
	Beneficiar	y Name 1						ATE L				
	Beneficiar	y Name 2						PRIV				
	Beneficiar	y Name 3						PITAL				
С												
	*Please sign i	n the relevan	NSE NSE	ou wish to	trade. The Segment not chose	en shou	ıld be struck off by the Client.	MAN				
ent/new exchange, he Client to VCPL.	Cash	Ø.		Ø			IBT/STWT	VARDHAMAN				
# If, in future, the client wants to trade on any new segment/new exchange, separate authorisation/letter should be submitted by the Client to VCPL.	F&O	Ø				_						
	SLBM	Ø.										
#								-				

<b>&gt;</b>	PAST ACTIONS								
	Details of any action/proce against the applicant/cons charge of dealing in securi	tituent or its Part	tners/pr	omoters,	•	_	•		
	Are You Member Of Any St	tock Exchange?	YN	Please	Specify				
<b>&gt;</b>	DEALINGS THROUGH AU	THORIZED PERS	ON OF C	THER ST	OCK BROKE	RS			
	If client is dealing through the AP, p	rovide the following d	etails:						
	AP Name				Exchange Reg	n. No.			
	Registered Office Address								
	Phone			Fax					
	Website								
WHETHER DEALING WITH ANY OTHER STOCK BROKER (If case dealing with multiple stock brokers, provide details of all)									
	Name of Stock Broker				Client Code				
	Name of AP, If Any				Exchange				
	Details of Disputes/Dues Po	ending from/to s	uch Sto	k Broker	/AP:				
>	ADDITIONAL DETAILS								
	GST Registration Details								
	Whether You Wish to Rece	eive Physical Cont	tract No	e or Elec	tronic Contra	ct Note (	ECN) (Please Spo	ecify):	
	Specify Your Email ID, If Ap	plicable							
	Whether You Wish to Avail	l of the Facility of	f Interne	t Trading	/Wireless Tec	hnology	(Please Specify)	☐ Yes ☐ No	
	Number of Years of Investr	ment/Trading Exp	erience						
	Any Other Information								
>	INTRODUCER DETAILS (O	PTIONAL)							
	Name of the Introducer	Surnam	ie		Name		Middle Name		
Status of the Introducer  Authorized Person    Remisier    Employee  Existing Client    Other    (Please Specify)									
	Address of the Introducer								
	Mobile/Phone No. of the Introducer				Si Si	gnature	of the Introduce	r	

												DP	ID: II	N303	212
<b>&gt;</b>	DEMAT ACCOUN	IT OPENIN	IG FORM		Client	ID:									
	I/WE REQUEST YO (PLEASE FILL ALL THI					IN MY/	OUR NA Date:		AS PE	RTHE	FOLL	OWIN	IG DE	TAIL	S: Y
<b></b>	TYPE OF ACCOU				,										
	STATUS				:	SUB-ST	ATUS								
	Individual	☐ Inc	dividual Res	ident	In	ndividual	Director			Indivi	dual P	romot	er		
	□NRI	☐ NR	RI-Repatriab	le	N	RI-Non R	epatriab	le		Other	(Ple	ase Sp	ecify)	_	
	Foreign National	☐ Fo	reign Natior	nal	_ Q	ualified F	oreign Ir	ivestoi	r						
	Non-Individual	n-Individual Body Corporate Trust Bank FI FII Mutual Fund CM Qualified Foreign Investor Margin HUF Other (Please Specify)													
<b>&gt;</b>	DETAILS OF ACC	OUNT HO	LDER(S)												
	Name of Sole/Fire	st Holder				F	PAN								
	Name of Second	Holder				F	PAN								$\exists$
	Name of Third Ho	older				F	PAN								$\dashv$
	* Please provide a se											·			
<b>\</b>	For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:								the be						
	Name					F	PAN								
<b>\</b>	IN CASE OF NRIS	Asse provide a separate KYC Application Form (KRA Form) for all Joint Holders Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the ral persons, the name & PAN of Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be choned below:  PAN  PAN  CASE OF NRIs/FOREIGN NATIONALS/FIIs/Others (as may be applicable)													
	RBI Approval Ref.	No.						RBI Approval Date							
	SEBI Regn. No. (fo	or FIIs)													
<b>\</b>	STANDING INST	RUCTIONS	S								,				
	I/We authorise yo						our ac	count	t			Yes		□Nc	
	Account to be op	erated thro	ough Pow	er of At	torney (							Yes		□ Nc	
	SMS Alert Facility [Mandatory if you a	are giving Po	ower of Att	ornev (E	ΡοΔΙ		ole/Firs					Yes	↓ L	_ Nc	
	Ensure that the mo				•	S	econd I	Holde	er			Yes		☐ Nc	)
	Application Form]						hird Ho	lder				Yes		☐ Nc	
	MODE OF RECEIVING  ☐ Physical Form		ectronic F	-		' '/	/We wis		•			103		No	
	MODE OF RECEIVING									Form		Elect			-
	MODE OF RECEIVING				•					Form		Elect			_
	Auto Pledge	'es □ No	Saral	Accour	nt 🗌 Ye	s $\square$ N	lo Po	sitive	e Cor	nfirma	tion	☐ Y	es [	□ No	5
>	GUARDIAN DETA	AILS (wher	e sole ho	lder is a	a minor)										
	=	account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the							е						
	minor (to be signed by guardian)]														
	Guardian Name														_
	PAN No.														
	Relationship of Gu	uardian wit	th Minor												
						=									

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LIMITE
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VARDHAMAN CAPITAL PRIVATE LIMITED

<b>&gt;</b>	MODE OF OPERATION FOR SOLE/FIRST HOLDER [For Non-Individuals] (In case of joint holdings, all the holders must sign)								
	☐ Any One Singly		☐ Jointly						
	☐ As per Resolution		Other (Ple	ase Specify	·)				
<b>&gt;</b>	CLEARING MEMBERS DETAILS (to	be filled up by Cle	earing Members	only)					
	Name of Stock Exchange								
	Name of Clearing Corporation/Clea	ring House							
	Clearing Member ID	·							
	SEBI Registration Number								
	Trade Name								
	CM-BP-ID (To Be Filled Up By Partic	ipant)							
<b>&gt;</b>	DECLARATION			F	OR DEMAT ACCOUN	Т			
	read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it. In case of non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/We acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".  Non-Individuals-Authorised Signatories (Enclose a Board resolution for Authorised Signatories).								
	Sole/First Holder/or Guardian (In case of minor) or First Signatory	Na	me	Ø	Signature				
	Second Holder or Second Signatory	Na	me	r. 8.	Signature	PRIVATE			
	Third Holder or Third					ΙΔΤ			
	Signatory	Na	me	A.	Signature	CAP			
<b>&gt;</b>	NOTES					2			
	All communication shall be sent at Sole/First holder only.	the address of the			sfer of the securities.	d MAH			
	2. For Non-Individual - In case of additiona annexures should be attached to the app		discharge by the d legal heir.	epository and	d the Participant against th	d HOMAN			
	<ol> <li>Thumb impressions and signatures other or any of the other language not contained of the Constitution of India must be attested a Notary Public or a Special Executive Ma</li> <li>Instructions related to nomination, are at I. The nomination can be made only be beneficiary owner accounts on their of jointly. Non-individuals including strong corporate, partnership firm, karta of Hir holder of power of attorney cannot nominated jointly all joint holders will sign then II. A minor can be nominated. In that address of the Guardian of the minor provided by the beneficial owner.</li> <li>III. The Nominee shall not be a trust, soo partnership firm, karta of Hindu Undivided Attorney holder. A non-resident India subject to the exchange controls in force,</li> <li>IV. Nomination in respect of the beneficial</li> </ol>	ed in the 8th Schedule sted by a Magistrate or gistrate.  as below:  by individuals holding own behalf singly or cociety, trust, body and Undivided Family, inate. If the account is comination form.  event, the name and or nominee shall be ciety, body corporate, ded Family or a power an can be a Nominee, from time to time.	individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non Individuals including society trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cance the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.  VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.  5. For receiving Statement of Account in electronic form:  I. Client must ensure the confidentiality of the password of the email account.  II. Client must promptly inform the Participant if the						
	stands rescinded upon closure of the account. Similarly, the nomination in res	e beneficiary owner		cility by givin	g 10 days prior notice.				

>	NOMINATION DETAILS										
	me / us in the said beneficiary o	n and do hereby nominate the follow owner account in the event of my / ou only shall be considered for the purp mination. [Strike off the nominatio	r death. [As per details given bose of Trading Account. Multiple nor	pelow]							
	Nomination can be made upto three nominees in the account.	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee							
	Name of the nominee(s) (Mr./Ms.)										
	Share of each   Equally   If not equally,	%	%	%							
	Relationship With the Applicant	Any odd lot after division sh	nall be transferred to the first nomine	e mentioned in the form.							
AILS	(If Any) Address of Nominee(s)										
NOMINATION DETAILS	PIN Code										
NON	Mobile/Phone No. of nominee(s)										
	Email ID of nominee(s)										
	Nominee Identification Details:  [Please tick any of the following and	Photograph	Photograph	Photograph							
	provide details of same]	of the Nominee Please Affix	of the Nominee Please Affix	of the Nominee							
		Your Recent	Your Recent	Your Recent							
	PAN Aadhar Savings Bank Account No	Passport Size Photograph	Passport Size Photograph	Passport Size Photograph							
	Proof of Identity	And Sign Across It	And Sign Across It	And Sign Across It							
	Demat Account ID	ACTOSS II	ACIOSS II	ACIOSS II							
	Details of the ID Proof			Photograph of the Nominee Please Affix Your Recent Passport Size Photograph And Sign Across It							
	Date of Birth {in case of minor nominee(s)}			NAN O							
	Name of Guardian (Mr/Ms) (in case of minor nominee(s) }			VARDHAM							
A MINOR	Relationship of Guardian with nominee			<b>*</b>							
A	Address of Guardian										
ONLY IF NOMINEE IS											
NON	PIN Code										
Y IF	Mobile/Phone No. of Guardian										
ONL	Email ID of Guardian										
LED.	Guardian Identification Details:										
E FIL	[Please tick any of the following and	Photograph of the Guardian	Photograph of the Guardian	Photograph of the Guardian							
SHOULD BE FILLED	provide details of same]	Please Affix Your Recent	Please Affix Your Recent	Please Affix Your Recent							
HOL	PAN Aadhar	Passport Size	Passport Size	Passport Size							
S	Savings Bank Account No	Photograph And Sign	Photograph And Sign	Photograph And Sign							
	Proof of Identity Demat Account ID	Across It	Across It	Across It							
	Details of the ID Proof										

	Names(s) of holder (s)	Signature (s) of holder (s)								
Sole/ First Holder/ Guardian (in case sole holder is minor) (Mr./Ms.)		Ø								
Second Holder (Mr./Ms.)		18								
Third Holder (Mr./Ms.)		, di								
	Signature of Witness for Nomination									
Name of the Witness	Address		Signature							
		A.								
		D	D	M	M	Υ	Υ	Υ	Υ	

#### Notes:

- 1. The nomination can be made only by individual holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
- 2. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominate shall be provided by the beneficial owner.
- 3. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
- 4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
- 5. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
- 6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
- 7. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
- 8. Nomination can be made upto three nominees in a demat account. In case of multiple nominee, the Client must specify the percentage of share for each nominee that shall upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
- 9. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
- 10. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the document, as provided in Annexure D.
- 11. Savings bank account details shall only be considered if the account is maintained with the same participant.
- 12. DP ID and client ID shall be provided where demat details is required to be provided.

<b>&gt;</b>	OTHER DETAILS				FOR INDIVIDU	AL ONLY			
	Gross Annual Income Do	Belo	w₹1 Lacs □₹1-5	5 Lacs	₹ 10-25 Lacs	han ₹ 25 Lacs			
¥	·				usiness Agriculturi	st			
ACCOUNT	Please Tick, If Applicable : □ Politic	cally Exposed F	Person (PEP)	Related to a Polit	ically Exposed Person	(PEP)			
DEMAT	Any Other Information								
જ	OTHER DETAILS FOR NON INDIVIDUAL ONLY								
RADING	Income Details Please Specify: Income Range Per Annum  □ Below ₹ 20 Lacs □ ₹ 20-50 Lacs □				FOR NON INDIVIDUAL ONLY				
BOTH FOR TRADING	Networth Amount (₹)		As on date	(Netw	orth should not be older	than 1 year)			
BOT	Please Tick, if Applicable Signatories/Promoters/F	•		☐ Politically Exp	osed Person (PEP)				
	Trustees/Whole Time Di			☐ Related to a Politically Exposed Person (PEP)					
	Any Other Information								
<b>&gt;</b>	DECLARATION				FOR TRADING A	CCOUNT			
	<ol> <li>I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that I/we may be held liable for it.</li> <li>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.</li> <li>I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and</li> </ol>								
	'Risk Disclosure Docume I/We have also been info broker's designated web	rmed that the st	eby agree to be bo andard set of docu	ound by such provisio uments has been disp	ns as outlined in these do layed for Information on	cuments.			
					Place				
	Signature of the Client	/(All) Authorized	d Signatory(ies)	_	D D M M Y	Y Y Y			
			10						

#### a) Refusal of Orders for Penny Stocks:

"VCPL" allows their client to deal in various compulsorily dematerialized stocks listed on designated stock exchanges. However, VCPL may at anytime at its sole discretion prohibit or restrict the clients' dealing or refuse completely/partially acceptance of the orders of the client for various reasons including but not limited to the trading in penny stocks. Penny stock shall include any illiquid stocks as declared by the stock exchanges and/or illiquid options and/or dealing in far months options and/or highly speculative stocks and/or stocks having low market capitalization and/or securities which are not in dematerialized form and/or securities which are restricted/ not permitted by the stock exchanges/SEBI/VCPL.

VCPL, however, may allow solely on its own discretion, acceptance of orders of the client in penny stocks. Prior to acceptance of such orders, VCPL reserves the right to ask the client for compulsory settlement / pay full upfront margin/ delivery of securities for settlement. It is known that trading in penny stocks are highly risky and that any financial obligations/ losses thus aroused will be borne exclusively by the client alone. VCPL shall not be liable for any losses caused due to any delay in execution of such orders or any other orders/ enhancement of the limit/ limitation on order quantity/ any unexpected technical fault in the trading system. By means of internal control, VCPL may restrict such orders on Internet Based Trading terminals facilitated to the client and/or any dealer terminals operated at designated branches.

Client shall indemnify and keep indemnified the VCPL or its directors or its employees from and against any loss, claims, liabilities, obligations, damages, deficiencies, actions, suits, proceedings or liability suffered or incurred or fastened due to any partial/complete refusal and/or delay/failure in execution of the client orders in penny stocks, clients' inability to use internet based trading terminals, limit enhancement and/or by incomplete information provided by the client in relation to trade in penny stocks.

#### b) Setting up client's exposure limits

Setting up the client's exposure limit is subject to internal control mechanism of the VCPL where client is provided collectively a variable trading limit for placing the orders in various segments of exchanges. Normally the client exposure limit is calculated by adding the available ledger balance, cash equivalent collaterals and purchased securities in the margin account with applicable variable haircuts. The list of approved stocks for the purpose of margin consideration is provided to the client by the regulator/exchanges/VCPL from time to time.

However, the VCPL can at its sole discretion vary the applicable haircut on the approved stocks from time to time

Client exposure limit vary as the margin components varies. However, VCPL can vary or reduce or impose the exposure limit at anytime without any prior notice to the client. VCPL shall not be responsible for any such variation or reduction or imposition or the clients' inability to route any order through the VCPLs' trading system on account of any such variation or reduction or imposition of limits.

Other factors can also influence the set client exposure limit that may include but not limited to the market condition, SEBI and/or exchange restrictions/limitations on either script-wise or VCPL-wide set limits. Exposure limits can also vary from client to client based variable factors such as financial status and/or residential status and/or risk tolerance of the client. RMS department of the VCPL shall assess and evaluate the risk involved in the transactions of each client on one to one and at any time on case to case basis. If the clients' available margin diminishes, RMS may reset the limit immediately to manage the risk exposure while and in the open market. It is provided that client shall execute his/her trades within the set limit only. If the client wishes to increase the exposure limit, client shall deposit additional fund/margins in the designated form as stated above into the designated account.

Client exposure limit for intraday, carry forward and delivery based transactions may vary from each other. Within the set exposure limit for a client, allocation of the limit may vary based on clients' transactions/position in various categories of stocks and/or in derivatives (futures and options). Defining the categories of the stock is discretionary and shall be communicated to the client from time to time. VCPL may at its sole discretion and without prior notice, prohibit or restrict the clients' ability to place orders or trades in securities due to but not limited to the reason of lack of margin or the order being outside the limits set by VCPL/exchanges/SEBI or any other reason which the VCPL may deem appropriate. Setting up exposure limit doesn't entitle any right to the client and that VCPL at any time without any notice withdraw the set exposure limit. Client shall indemnify and keep indemnified the VCPL against any loss/damage incurred due to such withdrawal of the exposure limit. Any loss thus occurred shall be borne by the client only and client shall clear all his/her/its outstanding debit balance along with any other applicable charges.

## c) Applicable Brokerage Rates

The VCPL imposes the brokerage on the clients' transactions in various segments as provided by the SEBI/Exchanges/ any other competent authority from time to time. However, the maximum brokerage chargeable for each transactions in the

- Cash/Capital Market segment shall be 2.5% of the transaction value excluding statutory levies. however in capital market segment VCPL can charge brokerage upto 0.25 paisa per share if the market value of the scrip is less than Rs.10/-.
- Futures contracts in derivative segment shall be 2.5% of the transaction value excluding statutory levies.
- Option contracts in derivative segment shall be 2.5% of the premium amount or Rs 100 whichever is higher.

#### d) Imposition of penalty/ delayed payment charges/ other charges

Clients are required to settle all their dues on time. If the client fails to settle the amount outstanding/overdue towards his/her trading or any other reasons, VCPL would impose penalty/delayed payment charges on the account(s) of the client, at such rates as may be determined by the VCPL from time to time. Not exceeding 2% per month.

In addition, it is provided that client shall pay to the VCPL the applicable brokerage charges, all statutory charges applied by exchanges due to clients' trading/dealing in securities, penalty on clients' material default in pay-in obligation or any penalty imposed on VCPL by exchanges/SEBI/any other competent authority in relation to clients' default/action/dealing/ trading, any incidental charges such as postage, courier etc as they apply to the clients' account from time to time and any other charges/penalty as imposed to the clients' account by the VCPL due to the clients' non-performance/ misrepresentation of any facts/evidence/ commitment provided in any manner whatsoever or by any other reason as may be provided by the VCPL from time to time.

Clients shall abide by the Member Client Agreement executed with the VCPL. VCPL at any time may impose penalty/fines on the client account if the clients' orders/trades/any action breaches the terms of this agreement. Also if the clients' any other action breaches any statutory laws/ rules/Bylaws/ regulations of the exchanges/SEBI orders and/or circulars/orders of any other competent authority in force at time, VCPL may impose fines/penalties as it deem fit. However, due to the clients' action if the VCPL has been imposed any fine/penalty by any such authority the same shall be borne exclusively by the client.

## e) The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payments of clients' dues

The VCPL shall have the right to sell client's securities purchased which are lying in VCPLs demat account, or close out clients' positions without giving prior notice to the client to meet clients' pay-in obligation and/or delay or failure to meet the margin obligations towards his/her/its trading and/or any other reason as may be decided by the VCPL. Client would be responsible to monitor its open position and review continuously the valuation of his/her/its position in the open market. Client is aware that stock market is volatile in nature, at any time, if the clients' open position attracts the additional margin client shall immediate, whether or not communicated by any way or received any margin call, deposit in the designated account an additional fund/approved securities in the form as may be decided by the VCPL. In case, if the client fails to provide the additional margin requirement, RMS can at its own risk perception at any time without any prior information to the client sell the clients' securities or close the clients' position at market rate/price or at such rate as the VCPL deem fit. The losses/deficit if any on account of such square off by the VCPL shall be borne exclusively by the client alone.

If the client gives orders/trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) and if such anticipated availability does not materialize in actual availability of securities/funds for pay in for any reason whatsoever including but not limited to any delays/shortages at the exchange or VCPL level/ non release of margin by the VCPL or by any other reasons, the loss which may occur to the client as a consequences of such shortages in any manner such as on account of auctions/square off/closing outs or any other manners as the case may be, shall be solely to the account of the client. The VCPL shall not be responsible for the same in any form or manner whatsoever.

Client shall be responsible for the timely availability of funds/securities in the designated form and manner at designated time and place in designated account, for meeting his/her/its pay-in obligation.

Margin thus provided in the form of funds/securities by the client to the VCPL are subject to the actual realization in the designated account of the VCPL. In any case if the provided fund instruments/instruction slips undergoes any clarification/verification than in such case client alone shall be responsible for any loss/

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

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

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

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

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

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

If for any reason, obtaining such securities is not possible, seller delivering short shares (i.e. client failing to deliver shares against sell transactions) would be debited at the closing rate (as per bhav copy) on T+2 day or Auction day on Exchange plus additional 1%

The client on the buy side would be credited with the same amount which was debited to the defaulting (i.e. selling) client as computed above. The provisional entry, if any, debited to the short delivering client (i.e. seller) would get reversed on T+2 day.

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

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

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

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

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

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

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

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

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

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

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

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

#### Deregistering a client

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

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

#### j) Client Acceptance and Acknowledgment:

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

I/we understand and acknowledge that these policies and procedures are subject to change/amend and thus any change(s)/amendment(s) shall be incorporated in the document and placed/updated on the

	I/we here by acknowledge and confirm my/our unconditional acceptance to follow these policies and procedures, any subsequent amendments made there to and the member client agreement and any other agreement(s) executed between the parties.  I/we acknowledge that a copy of this document is available on the website www.vardhamancapital.co.in										
	and I/we ar	e referred		ite conten			the website www. larly myself/ourselv				
	this policy	and prod	edure docu	iment sha		d cor	g in dealing betwee mpulsorily before				
	I/we also acknowledge that the copy of this document shall be made available to me/us on my/our request to the info@vardhamancapital.net or on a telephonic request to the Help Desk at +91-33-68202020.										
	Signature of Client  D D M M Y Y Y Y										
-	TARIFF SHE	ETS/BRO	KERAGE SLA	AΒ							
	Segment		ivery		are Off		Remarks	Risk C	Category		
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	We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents.  We have also given/sent him a copy of 'Rights and Obligations' document (s), Risk Disclosure Document (RDD), Guidance Note and made him aware of the contents therein. We have given/sent him a copy of all the KYC documents. We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. We also undertake that any change in the 'Rights and Obligations' and Risk Disclosure Document (RDD) would be made available on our website for the information of the clients.										
		Name	e of the Auth	norised Sig	natory						
	✓ Signatur	e of the A	uthorised Sig	gnatory	D M M Y	YY	Y Seal/Stamp	of the Inte	ermediary		
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<b>&gt;</b>	DEMAT TARIFF SHEET				DP I	D: IN303212			
	DESCRIPTION	PLATINUM - LIFE TIME	PLATINUM - AMC	STANDARD - AMC	BSDA - I	BSDA - II			
	Annual Maintenance Charges	₹ 1500	₹ 300 P.A.	₹ 500 P.A.	NIL	₹ 100 P.A.			
	AMC - CORPORATE	₹ 500 P.A.	₹ 500 P.A.	₹ 500 P.A.	N	.A.			
	Transaction & Interdepository Char	ges							
	VCPL CM	₹ 20	₹ 15	₹ 20					
	Brokers Having CM A/C with VCPL DP	₹ 20	₹ 20	₹ 20					
	Outside VCPL DP CM	0.01% 0	R ₹ 25 whichever is	higher	₹ 50	FLAT			
	Off Market/Interdepository Charges	0.01% O	R ₹ 25 whichever is	higher	ı				
	Pledge								
	Creation		;	₹ 40 per transaction					
	Closure		•	₹ 25 per transaction					
	Invocation		•	₹ 50 per transaction					
	Other Charges								
	Demat Request		₹ 5 per ce	rtificate. Min ₹ 100 p	er request				
	Demat/Remat Rejection		•	₹ 50 per rejection	·				
	Remat Request		₹ 15 per 100	SHARES. Min ₹ 100	per request				
	Additional Booklet		₹ 50 per booklet p	lus courier charges, i	f any (at actuals)				
	Freeze/Defreeze			₹ 25 per instance					
	Holding/Transaction Statement Charges	₹5 per page o	or ₹ 25, whichever is	higher	₹ 25	FLAT			
	Categories Defined								
	PLATINUM SCHEME - LIFE TIME / AMC		APPLICABLE T	O TRADING CLIENTS	OF VCPI				
	STANDARD SCHEME	IME / AMC APPLICABLE TO TRADING CLIENTS OF VCPL  NON TRADING CLIENTS OF VCPL							
	ELIGIBILITY FOR BSDA								
	<ul> <li>account where they are sole or first h</li> <li>The individual shall have only one BSI</li> <li>Value of securities held in the demat</li> <li>BSDA - I is applicable to clients having</li> <li>BSDA - II is applicable to clients having</li> <li>IN CASE YOU ARE ELIGIBLE AND WISH TO</li> </ul>	DA in his/her name acro account shall not excee s holding value less thar g holding value betwee	d Rupees Two Lakhs n ₹ 50000. n ₹ 50000 & ₹ 20000	00.		ne single demat			
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	PLEASE FILL IN THE FOLLOWING I  Tick the appropriate category clearly:	DE IAILS							
	(Not applicable if you have opted for BS	SDA Account)	PLATINUM -	LIFE TIME PLA	TINUM - AMC	STANDARD - AMC			
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>	NOTES								
	<ul> <li>The above schedule is effective from 1s previously applicable rates to all categories.</li> <li>Cheque/Demand Draft should be in favor Limited."</li> <li>ONE TIME AMC should be paid upfront at Scheme.</li> <li>Clients must ensure that their name, Client behind every cheque/DD deposited by then</li> <li>All charges are exclusive of GST. Taxes and charged extra as applicable from time to tim</li> <li>Above rates are based on NSDL/SEBI Chrevision by NSDL/SEBI.</li> <li>Cheque dishonour charges ₹ 100 (Min) or acong the state of the payment will be charged date.</li> <li>In case of any upward revision of Transacting iven which shall be treated as sufficient not</li> </ul>	of clients.  ur of "Vardhaman Capital  the time of Opening or Cha  (BO ID and Bill number is noted)  d other government levies  e.  harges and may be revised  tual plus GST.  (a) 1.5% per month from to charges, 30 days notice	authorized shares fron are liable idemand. Ti stamp chair in the share from are liable idemand. Ti stamp chair in the share from a shar	to refuse to accept an oclient's account, till the cobe discontinued with erenewal charges for re ges will be applicable ex vill be charged on prorat tly, it will be charged and the month of April, a ) will be charged for eac licable from the following ustment of previous bill not quoted above will be account maintenance of e charged in advance at e charged in advance at e	y type of instruction relecterance of such dues thin a period of 30 day assuming the services will tra a basis from the month a nually in the month of Apn amount of ₹ 250 (not his cheme change requeing month in which the s. the charged separately the time of opening the a (upto 10.15 AM at client the steel and the service charged separately the time of opening the a (upto 10.15 AM at client the service charges for corporate and the time of opening the a (upto 10.15 AM at client the service charges for corporate and the time of opening the a (upto 10.15 AM at client the service charges for corporate and the time of opening the a (upto 10.15 AM at client the service charges for corporate and the time of opening the a (upto 10.15 AM at client the service charges).	ating to transfer of and the DP services is from the date of lbe ₹ 100.  of account opening. oril.  on adjustable/ non st. The new scheme is changed  ccount - ₹ 500 P.A.			