



Vardhaman Capital Private Limited

CIN No. : U67120WB1995PTC068108

CLIENT NAME

Trading Client Code
(for office use only)

DP Client ID
(for office use only)

Date of A/c. Opening

Branch Code / RM / AP

Filling / Group Code

CLIENT REGISTRATION KIT

NSE CAPITAL MARKET	INZ 000204533
NSE FUTURE & OPTION (TM)	INZ 000204533
BSE CAPITAL MARKET	INZ 000204533
NATIONAL SECURITIES DEPOSITORY LTD	IN-DP-NSDL-265-2006

REGISTERED & CORRESPONDENCE OFFICE

25, Swallow Lane, Wardley House, 2nd Floor, Kolkata - 700001.

Phone: 91-33-68202020, e-mail:- info@vardhamancapital.net

Compliance Officer Name, e-mail & Ph. No.:- Anup Kumar Khandelwal: co_vcpl@ymail.com ; 91-33-6820 2003

Investor Grievances Email ID:- ig@vardhamancapital.net

www.vardhamancapital.co.in



Dear Clients,

Thank you for choosing us as the preferred platform for your trading & investment needs. We look forward to you becoming one of our valued Client and give us the pleasure of serving you. Vardhaman Capital Private Limited offers you diverse opportunities to trade in various segments of various exchanges (as the case may be).

To start with we request you to complete the relevant forms and submit the required documents. We have designed the form for ease of completion with simple instructions at relevant places to guide you along.

Should you face any difficulty in understanding the requirements, please do not hesitate to contact our executive, who will be ever willing to assist /guide you.

It shall be our endeavor as always, to provide you truly personalized & satisfying services.

You can also lodge your grievances with SEBI at [http:// scores.gov.in](http://scores.gov.in). For any queries, feedback or assistance,

please contact SEBI office or toll free Helpline at 1800-22-7575 / 1800-266-7575

Filing complaints on **SCORES** - Easy & Quick

1. Register on SCORES portal
2. Mandatory details for filling complaints on SCORES - Name, PAN, Address, Mobile Number, E-mail ID
3. Benefits - Effective Communication, Speedy redressal of the grievances

PLEASE READ "VCPL" AS "VARDHAMAN CAPITAL PRIVATE LIMITED" WHERE EVER IT APPEARS.

Compliance Officer Name, Tel. No. & Email ID : Mr. Anup Kumar Khandelwal. 033 68202003. co_vcpl@ymail.com

CEO Name, Tel. No. & Email ID : Mr. Anil Kumar Khandelwal.68202020. anil@vardhamancapital.net

SEBI REGISTRATION NUMBERS & DATE			GRIEVANCES		
NSE - CM	INZ 000204533	03.10.2018	For any grievance/dispute please contact VCPL at the above address or email us at Investor Grievance Email ID ig@vardhamancapital.net and call at 6820 2020 In case not satisfied with the response, <i>Please contact the concerned exchange(s)</i>		
NSE - F&O	INZ 000204533	03.10.2018			
BSE - CM	INZ 000204533	03.10.2018			
			NSE	ignse@nse.co.in	022-2659 8190
			BSE	ig@bseindia.com	022-2272 1233

The Client must ensure the following:

1. Proof of Identity (POI)	<ul style="list-style-type: none"> • Copy of PAN Card is mandatory for all applicants (except for applicants residing in the state of Sikkim) • If Name/Photo/Signature on Pan Card is not clear, then submit additional POI
2. Proof of Address (POA)	<ul style="list-style-type: none"> • Copy of Aadhar Card is mandatory for all Individual applicants & Authorised Signatories in case of Non-Individuals • Address in proof should match with the address given in KYC form • If correspondence & permanent address are different, then proofs for both should be submitted • Office/Business/Shop Address is not acceptable as permanent address in case of individual • In case of individual- POA in name of spouse may be accepted. In such case proof to establish relationship such as Ration Card, Passport, and Marriage Certificate should be provided
3. Bank + MICR/IFS code Proof	<ul style="list-style-type: none"> • Proof should contain IFS Code (11 digits)/MICR Code (9 digits) of Bank • If name is not pre-printed on cheque - then submit additional proof containing the Bank A/c number and Name of Client
4. Income Proof	<ul style="list-style-type: none"> • Mandatory if you wish to trade in Derivatives (F&O/Currency) segments
5. Demat A/c Proof	<ul style="list-style-type: none"> • Not required if you are opening new Demat A/c

▶ PROOF OF FINANCIAL DETAILS, any one (for clients who wish to trade in F&O)

- | | | |
|------------------------------|----------------------------|---|
| 1. Copy of Income Tax Return | 2. Copy of Annual Accounts | 3. Copy of Form 16 (Salary Certificate) |
| 4. Networth Certificate | 5. Demat Holding Statement | 6. Bank Statement for last 6 months |

▶ PROOF FOR EXISTING DEMAT ACCOUNT HOLDERS

- A. DP Statement B. Client Master Report (CMR)
1. Clients name & DP A/c No. on the proof of DP should match with that mentioned in the account opening form.
 2. DP statement should clearly show DP ID & Client ID.
- For E-Broking clients, Demat A/c should be opened with VCPL only with POA.




▶ PROOFS FOR NRI (NON RESIDENT INDIAN)

1. PAN card.
2. Valid Passport /PIO Card/OCI card as Proof of Identity. Proof of Foreign Address and Indian Address (if any).
3. PIS Bank A/c should be either Repatriable Bank A/c for NRE OR Non-Repatriable A/c for NRO status.
4. Proof of Demat Account should be only with NRI status.
5. Permission for dealing in securities from Authorized Dealer (Bank)/RBI.

▶ TO AVOID OBJECTION AND DELAYS:

1. The A/c opening form should be filled in BLACK INK and CAPITAL LETTERS ONLY and do have:
 - a. Clients Name and Signature at all the required places.
 - b. Joint Holders/Witness signatures at the required places.
 - c. N.A. mentioned at all places not applicable to the client.
2. White ink is not allowed anywhere on the form. All corrections need to be countersigned with full signature.
3. All proofs, photographs and signature on the form should be clearly visible and should be self attested by the client.
4. In case of DP account with joint holders, KYC Application Form (KRA Form) & all the proofs (PAN card and address proof) should be provided for Second & Third Holder also.

▶ SIGNATURE MARKINGS

-  **Signature of the Client/First or Sole Holder.**
-  **Signature of Nominee/Guardian/Introducer/Second Holder/Third Holder/Witness**
-  **Signature of VCPL Authorized Signatory/The Participant (For office use)**

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▶ MANDATORY DOCUMENT AS PRESCRIBED BY SEBI, EXCHANGES AND DEPOSITORIES

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		II	Document captures the additional information about the constituent relevant to trading & demat account.	4
2.	APPLICATION FOR DEMAT ACCOUNT	Additional KYC details for opening a Demat account.		6
3.	NOMINATION DETAILS	Nomination form for Demat & Trading account.		8
4.	POLICIES & PROCEDURES	Document detailing significant policies and procedures of the stock broker.		11
5.	TARIFF SHEETS	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).		15
6.	INSTRUCTION/CHECKLIST	Document captures the instruction/checklist for filling KYC Form.		B-2
7.	RIGHTS & OBLIGATIONS OF STOCK BROKERS, AP & CLIENTS	Document stating the Rights & Obligations of stock broker/trading member, AP and client for trading on exchanges (including additional rights obligations in case of internet/wireless technology based trading) in securities & commodity Market.		B-4
8.	RISK DISCLOSURE DOC. (RDD)	Document detailing risks associated with dealing in the securities & commodity market.		B-8
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10.	RIGHTS & OBLIGATIONS OF BENEFICIAL OWNER & DEPOSITORY PARTICIPANT	Document Stating the Rights & Obligations of Beneficial Owner and Depository Participant as specified by SEBI & Depositories.		B-13

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

REGISTERED & CORPORATE OFFICE:
 25 SWALLOW LANE WARDLEY HOUSE 2ND FLOOR
 KOLKATA - 700001
 TEL. : +91 33 6820 2020
 Email: info@vardhamancapital.net



PLEASE FILL THIS FORM IN **ENGLISH** AND IN **BLOCK LETTERS**.

A IDENTITY DETAILS

Name of the Applicant				PHOTOGRAPH Please affix your recent passport size photograph and sign across it
Father's/Spouse's Name				
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married	
Date of Birth		D D M M Y Y Y Y		
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other <i>(Please Specify)</i>	Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National	
PAN		Aadhar Number, If Any		
Specify the Proof of Identity Submitted <input type="checkbox"/> PAN Card <input type="checkbox"/> Any Other <i>(Please Specify)</i>				✍

B ADDRESS DETAILS

Residence Address			
City/Town/Village		Pin Code	
State		Country	
Specify the Proof of Address Submitted for Resi. Address			
Tel. (Off.)		Mobile No.	
Tel. (Res.)		Fax No.	
Email ID			
Permanent Address <small>(if different from above or overseas address, mandatory for Non-Resident Applicant)</small>			
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 M M Y Y Y Y
Place:	✍ Signature of Applicant

FOR OFFICE USE ONLY

IPV Details: _____ (DD/MM/YYYY)	Name of the Auth. Signatory	
<input type="checkbox"/> Originals Verified & Self Attested Documents Copies Received	Employee Name	✓ Signature of the Auth. Signatory
	✓ Employee Signature	Date
	Employee Designation	Seal / Stamp of the Intermediary

VARDHAMAN CAPITAL PRIVATE LIMITED

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

REGISTERED & CORPORATE OFFICE:
 25 SWALLOW LANE WARDLEY HOUSE 2ND FLOOR
 KOLKATA - 700001
 TEL. : +91 33 6820 2020
 Email: info@vardhamancapital.net



PLEASE FILL THIS FORM IN **ENGLISH** AND IN **BLOCK LETTERS**.

A IDENTITY DETAILS

Name of the Applicant												PHOTOGRAPH Please affix your recent passport size photograph and sign across it 									
Date of Incorporation	D	D	M	M	Y	Y	Y	Y	Date of Comm.of Business	D	D		M	M	Y	Y	Y	Y			
Place of Incorporation																					
PAN																			Regn. No. (Eg.CIN)		
Status (Please Tick any one)	<input type="checkbox"/> Private Ltd Co. <input type="checkbox"/> Bank <input type="checkbox"/> Body Corporate <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> LLP <input type="checkbox"/> Partnership <input type="checkbox"/> Defense Estb. <input type="checkbox"/> Society <input type="checkbox"/> AOP <input type="checkbox"/> Trust <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> BOI <input type="checkbox"/> Non-Govt. Org. <input type="checkbox"/> FI <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Govt. Body <input type="checkbox"/> Others <i>(Please Specify)</i>																				

B ADDRESS DETAILS

Correspondence Address													
City/Town/Village												Pin Code	
State											Country		
Specify the Proof of Address Submitted for Corres. Address													
Tel. (Off.)						Mobile No.							
Tel. (Res.)						Fax No.							
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.												Signature with Stamp Name & Signature of The Authorised Signatory	
Place: _____													

FOR OFFICE USE ONLY

IPV Details: _____ (DD/MM/YYYY)		Name of the Auth. Signatory	
<input type="checkbox"/> Originals Verified & Self Attested Documents Copies Received	Employee Name		✓ Signature of the Auth. Signatory
	Employee Signature		Date
	Employee Designation		Seal / Stamp of the Intermediary

VARDHAMAN CAPITAL PRIVATE LIMITED

C OTHER DETAILS FOR NON INDIVIDUALS ONLY

Details of Promoters/Partners/Karta/Trustees & Whole Time Directors forming part of KYC application Form

1	Name												
1st SIGNATORY	Relationship with Applicant <small>(i.e. promoters, whole time directors etc.)</small>					Date of Birth							
						D	D	M	M	Y	Y	Y	Y
	Residential/Registered Address												
	City/Town/Village							PIN					
	State					Country							
	Tel. (O)					Mobile No.							
	PAN					Equity % <small>PSR Ownership Stake</small>							
	Aadhar Number, If Any												
	DIN No. <small>i.e Whole time Directors</small>												
	Proof of Identity (POI)												
Proof of Address (POA)													
Signature													

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

2	Name												
2nd SIGNATORY	Relationship with Applicant <small>(i.e. promoters, whole time directors etc.)</small>					Date of Birth							
						D	D	M	M	Y	Y	Y	Y
	Residential/Registered Address												
	City/Town/Village							PIN					
	State					Country							
	Tel. (O)					Mobile No.							
	PAN					Equity % <small>PSR Ownership Stake</small>							
	Aadhar Number, If Any												
	DIN No. <small>i.e Whole time Directors</small>												
	Proof of Identity (POI)												
Proof of Address (POA)													
Signature													

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

3	Name												
3rd SIGNATORY	Relationship with Applicant <small>(i.e. promoters, whole time directors etc.)</small>					Date of Birth							
						D	D	M	M	Y	Y	Y	Y
	Residential/Registered Address												
	City/Town/Village							PIN					
	State					Country							
	Tel. (O)					Mobile No.							
	PAN					Equity % <small>PSR Ownership Stake</small>							
	Aadhar Number, If Any												
	DIN No. <small>i.e Whole time Directors</small>												
	Proof of Identity (POI)												
Proof of Address (POA)													
Signature													

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

Name of the Auth. Signatory	✓ Signature of the Auth. Signatory	Date
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Note: In case of more than three authorised signatories, please submit all the required details in a separate sheet.

VARDHAMAN CAPITAL PRIVATE LIMITED

PART II - TRADING & DEMAT ACCOUNT RELATED DETAILS (FOR INDIVIDUALS & NON INDIVIDUALS)

A BANK ACCOUNT DETAILS






	1 st Account/Primary	2 nd Account	3 rd Account
Bank Name			
Branch Name & Address			
Bank Account No.			
Account Type <small>(Saving/Current/Others In case of NRI/NRE/NRO)</small>			
MICR No.			
IFSC Code			

B DEPOSITORY ACCOUNT DETAILS

DP Name			
CDSL/NSDL			
DP ID			
Beneficiary ID (BO ID)			
Beneficiary Name 1			
Beneficiary Name 2			
Beneficiary Name 3			

C TRADING PREFERENCES

*Please sign in the relevant segment boxes where you wish to trade. The Segment not chosen should be struck off by the Client.

	NSE	BSE	IBT/STWT
Cash			
F&O			
SLBM			

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.

VARDHAMAN CAPITAL PRIVATE LIMITED

▶ 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: _____

Are You Member Of Any Stock Exchange? Y N *Please Specify*

▶ DEALINGS THROUGH AUTHORIZED PERSON OF OTHER STOCK BROKERS

If client is dealing through the AP, provide the following details:

AP Name		Exchange Regn. 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 Pending from/to such Stock Broker/AP:			

▶ ADDITIONAL DETAILS

GST Registration Details	
Whether You Wish to Receive Physical Contract Note or Electronic Contract Note (ECN) <i>(Please Specify)</i> :	
Specify Your Email ID, If Applicable	
Whether You Wish to Avail of the Facility of Internet Trading/Wireless Technology <i>(Please Specify)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Number of Years of Investment/Trading Experience	
Any Other Information	

▶ INTRODUCER DETAILS (OPTIONAL)

Name of the Introducer	Surname	Name	Middle Name
Status of the Introducer	<input type="checkbox"/> Authorized Person <input type="checkbox"/> Remisier <input type="checkbox"/> Employee <input type="checkbox"/> Existing Client <input type="checkbox"/> Other <i>(Please Specify)</i> _____		
Address of the Introducer			
Mobile/Phone No. of the Introducer		Signature of the Introducer	

▶ **DEMAT ACCOUNT OPENING FORM** Client ID:

I/WE REQUEST YOU TO OPEN A DEPOSITORY ACCOUNT IN MY/OUR NAME AS PER THE FOLLOWING DETAILS:
(PLEASE FILL ALL THE DETAILS IN CAPITAL LETTERS ONLY) Date:

▶ **TYPE OF ACCOUNT**

STATUS	SUB-STATUS			
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual Director	<input type="checkbox"/> Individual Promoter	
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Other <i>(Please Specify)</i>	
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Qualified Foreign Investor		
<input type="checkbox"/> Non-Individual	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Trust	<input type="checkbox"/> Bank	<input type="checkbox"/> FI
	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Margin	<input type="checkbox"/> HUF	<input type="checkbox"/> Other <i>(Please Specify)</i>
		<input type="checkbox"/> FII	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> CM

▶ **DETAILS OF ACCOUNT HOLDER(S)**

Name of Sole/First Holder	<input type="text"/>	PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>										
Name of Second Holder	<input type="text"/>	PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>										
Name of Third Holder	<input type="text"/>	PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>										

* Please provide a separate KYC Application Form (KRA Form) for all Joint Holders

▶ 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:

Name	<input type="text"/>	PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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▶ **IN CASE OF NRIs/FOREIGN NATIONALS/FIIs/Others (as may be applicable)**

RBI Approval Ref. No.	<input type="text"/>	RBI Approval Date	<input type="text"/>
SEBI Regn. No. (for FIIs)	<input type="text"/>		

▶ **STANDING INSTRUCTIONS**

I/We authorise you to receive credits automatically into my/our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through Power of Attorney (POA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
SMS Alert Facility [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]	Sole/First Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Second Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Third Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
MODE OF RECEIVING STATEMENT OF ACCOUNT (TICK ANY ONE)	I/We wish to opt for BSDA	<input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form [Read Note 5 and ensure that email ID is provided in KYC Application Form]		
MODE OF RECEIVING DP CLIENT RIGHTS & OBLIGATIONS (TICK ANY ONE)	<input type="checkbox"/> Physical Form	<input type="checkbox"/> Electronic Form
MODE OF RECEIVING RTA DOCUMENTS	<input type="checkbox"/> Physical Form	<input type="checkbox"/> Electronic Form
Auto Pledge <input type="checkbox"/> Yes <input type="checkbox"/> No	Saral Account <input type="checkbox"/> Yes <input type="checkbox"/> No	Positive Confirmation <input type="checkbox"/> Yes <input type="checkbox"/> No

▶ **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	<input type="text"/>
PAN No.	<input type="text"/>
Relationship of Guardian with Minor	<input type="text"/>

▶	MODE OF OPERATION FOR SOLE/FIRST HOLDER [For Non-Individuals] (In case of joint holdings, all the holders must sign)	
	<input type="checkbox"/> Any One Singly	<input type="checkbox"/> Jointly
	<input type="checkbox"/> As per Resolution	<input type="checkbox"/> Other (Please Specify)
▶	CLEARING MEMBERS DETAILS (to be filled up by Clearing Members only)	
	Name of Stock Exchange	
	Name of Clearing Corporation/Clearing House	
	Clearing Member ID	
	SEBI Registration Number	
	Trade Name	
	CM-BP-ID (To Be Filled Up By Participant)	
▶	FOR DEMAT ACCOUNT	
	<p>The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been 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".</p> <p><i>Non-Individuals-Authorised Signatories (Enclose a Board resolution for Authorised Signatories).</i></p>	
	Sole/First Holder/or Guardian (In case of minor) or First Signatory	Name
	Signature	
	Second Holder or Second Signatory	Name
	Signature	
	Third Holder or Third Signatory	Name
	Signature	
▶	NOTES	
	<p>1. All communication shall be sent at the address of the Sole/First holder only.</p> <p>2. For Non-Individual- In case of additional signatures, separate annexures should be attached to the application form.</p> <p>3. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.</p> <p>4. Instructions related to nomination, are as below:</p> <p>I. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, 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.</p> <p>II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.</p> <p>III. The Nominee 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.</p> <p>IV. 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</p>	<p>shall stand terminated upon transfer of the securities.</p> <p>V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.</p> <p>VI. 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, 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.</p> <p>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.</p> <p>5. For receiving Statement of Account in electronic form:</p> <p>I. Client must ensure the confidentiality of the password of the email account.</p> <p>II. Client must promptly inform the Participant if the email address has changed.</p> <p>III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.</p> <p>6. Strike off whichever is not applicable.</p>

NOMINATION DETAILS

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me / us in the said beneficiary owner account in the event of my / our death. [As per details given below]
Note: Details of 1st Nominee ONLY shall be considered for the purpose of Trading Account. Multiple nomination facility is available only for DP Account.
 I/We do not wish to make a nomination. [Strike off the nomination details below]





NOMINATION DETAILS

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 Nominee	Equally <input type="checkbox"/> [If not equally, please specify percentage]	%	%	%
	Any odd lot after division shall be transferred to the first nominee mentioned in the form.			
Relationship With the Applicant (If Any)				
Address of Nominee(s)				
PIN Code				
Mobile/Phone No. of nominee(s)				
Email ID of nominee(s)				
Nominee Identification Details: [Please tick any of the following and provide details of same] <input type="checkbox"/> PAN <input type="checkbox"/> Aadhar <input type="checkbox"/> Savings Bank Account No <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID		Photograph of the Nominee Please Affix Your Recent Passport Size Photograph And Sign Across It	Photograph of the Nominee Please Affix Your Recent Passport Size Photograph And Sign Across It	Photograph of the Nominee Please Affix Your Recent Passport Size Photograph And Sign Across It
Details of the ID Proof				

SHOULD BE FILLED ONLY IF NOMINEE IS A MINOR

Date of Birth {in case of minor nominee(s)}				
Name of Guardian (Mr/Ms) {in case of minor nominee(s) }				
Relationship of Guardian with nominee				
Address of Guardian				
PIN Code				
Mobile/Phone No. of Guardian				
Email ID of Guardian				
Guardian Identification Details: [Please tick any of the following and provide details of same] <input type="checkbox"/> PAN <input type="checkbox"/> Aadhar <input type="checkbox"/> Savings Bank Account No <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID		Photograph of the Guardian Please Affix Your Recent Passport Size Photograph And Sign Across It	Photograph of the Guardian Please Affix Your Recent Passport Size Photograph And Sign Across It	Photograph of the Guardian Please Affix Your Recent Passport Size Photograph And Sign Across It
Details of the ID Proof				

VARDHAMAN CAPITAL PRIVATE LIMITED

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

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.

BOTH FOR TRADING & DEMAT ACCOUNT	OTHER DETAILS		FOR INDIVIDUAL ONLY									
	Gross Annual Income Details: Income Range per Annum (Please Tick Any One)		<input type="checkbox"/> Below ₹ 1 Lacs <input type="checkbox"/> ₹ 1-5 Lacs <input type="checkbox"/> ₹ 5-10 Lacs <input type="checkbox"/> ₹ 10-25 Lacs <input type="checkbox"/> More than ₹ 25 Lacs									
	Occupation (Please tick any one)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others <u>(Please Specify)</u>										
	Please Tick, If Applicable :	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)										
	Any Other Information											
OTHER DETAILS		FOR NON INDIVIDUAL ONLY										
Income Details Please Specify: Income Range Per Annum		<input type="checkbox"/> Below ₹ 20 Lacs <input type="checkbox"/> ₹ 20-50 Lacs <input type="checkbox"/> ₹ 50 Lacs - 1 Crore <input type="checkbox"/> Above ₹ 1 Crore										
Networth Amount (₹) _____ As on date _____ (Networth should not be older than 1 year)												
Please Tick, if Applicable, for Any of Your Authorized Signatories/Promoters/Partners/Karta/ Trustees/Whole Time Directors:		<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)										
Any Other Information												
DECLARATION		FOR TRADING ACCOUNT										
<p>1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that I/we may be held liable for it.</p> <p>2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.</p> <p>3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.</p>												
		Place _____										
Signature of the Client/(All) Authorized Signatory(ies)		<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;">D</td> <td style="width: 20px; height: 20px;">D</td> <td style="width: 20px; height: 20px;">M</td> <td style="width: 20px; height: 20px;">M</td> <td style="width: 20px; height: 20px;">Y</td> <td style="width: 20px; height: 20px;">Y</td> <td style="width: 20px; height: 20px;">Y</td> <td style="width: 20px; height: 20px;">Y</td> </tr> </table>			D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y					

POLICIES & PROCEDURES

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.

	POLICIES & PROCEDURES
c)	Applicable Brokerage Rates
	<p>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</p> <ul style="list-style-type: none"> • 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
	<p>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.</p> <p>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.</p> <p>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.</p>
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
	<p>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.</p> <p>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.</p> <p>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.</p> <p>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/</p>

POLICIES & PROCEDURES

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.

POLICIES & PROCEDURES

- 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.

i) 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
- If 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

POLICIES & PROCEDURES

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 are referred to the website contents and update regularly myself/ourselves for any amendment made to this document from time to time.


I/we acknowledge that in case of any dispute/ grievance arising in dealing between me/us and the VCPL, this policy and procedure document shall be referred compulsorily before any legal suit/ court proceeding/arbitration or to any other adjudicating authority.

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 SHEETS/BROKERAGE SLAB

Segment	Delivery		Square Off		Remarks	Risk Category
	(%)	(Paisa)	(%)	(Paisa)		
Cash						
Futures						
Options						
(The above rates are exclusive of STT/CTT, GST, Stamp Duty, SEBI Fee, Transaction Charges & other charges, if any, which will be separately charged as per applicable rates from time to time.)					 Signature of the Client	




FOR OFFICE USE ONLY

	Name, Designation, Code of the Employee	Signature	Date
Documents Verified with Originals		✓	
Client Interviewed by		✓	
In-Person Verification Done by		✓	

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 of the Authorised Signatory		Seal/Stamp of the Intermediary							
✓ Signature of the Authorised Signatory	<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>		D	D	M	M	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		

VARDHAMAN CAPITAL PRIVATE LIMITED

DEMAT TARIFF SHEET				DP ID: 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.	
Advance Deposit	₹ 1500	₹ 1500	₹ 1500	₹ 1500	₹ 1500
Transaction, Interdepository & Margin Pledge Charges					
VCPL CM	₹ 20	₹ 15	₹ 20	₹ 50 FLAT	
Brokers Having CM A/C with VCPL DP	₹ 20	₹ 20	₹ 20		
Outside VCPL DP CM	0.01% OR ₹ 25 whichever is higher				
Off Market/Interdepository Charges	0.01% OR ₹ 25 whichever is higher				
Pledge					
Creation	₹ 40 per transaction				
Closure	₹ 25 per transaction				
Invocation	₹ 50 per transaction				
Other Charges					
Demat Request	₹ 5 per certificate. Min ₹ 100 per request				
Demat/Remat Rejection	₹ 50 per rejection				
Remat Request	₹ 15 per 100 SHARES. Min ₹ 100 per request				
Additional Booklet	₹ 50 per booklet plus courier charges, if any (at actuals)				
Freeze/Defreeze	₹ 25 per instance				
Holding/Transaction Statement Charges	₹ 5 per page or ₹ 25, whichever is higher			₹ 25 FLAT	
Categories Defined					
PLATINUM SCHEME - LIFE TIME / AMC	APPLICABLE TO TRADING CLIENTS OF VCPL				
STANDARD SCHEME	NON TRADING CLIENTS OF VCPL				
ELIGIBILITY FOR BSDA					
Individuals shall be eligible to opt for BSDA subject to the following conditions:-					
<ul style="list-style-type: none"> All the individuals who have or propose to have only one demat account where they are the sole or first holder. Individuals having any other demat account/s where they are not the first holder shall be eligible for BSDA in respect of the single demat account where they are sole or first holder. The individual shall have only one BSDA in his/her name across all depositories. Value of securities held in the demat account shall not exceed Rupees Two Lakhs at any point of time. BSDA - I is applicable to clients having holding value less than ₹ 50000. BSDA - II is applicable to clients having holding value between ₹ 50000 & ₹ 200000. 					
IN CASE YOU ARE ELIGIBLE AND WISH TO OPT FOR BSDA ACCOUNT, PLEASE TICK FOLLOWING BOX CAREFULLY : - <input type="checkbox"/> YES <input type="checkbox"/> NO					
WE DO NOT OPT FOR BSDA, HENCE OPT FOR FOLLOWING SCHEME.					
PLEASE FILL IN THE FOLLOWING DETAILS					
Tick the appropriate category clearly: (Not applicable if you have opted for BSDA Account)					
<input type="checkbox"/> PLATINUM - LIFE TIME <input type="checkbox"/> PLATINUM - AMC <input type="checkbox"/> STANDARD - AMC					
Email *	BO ID	Trading Code			
<div style="display: flex; justify-content: space-around; align-items: flex-end;"> <div style="text-align: center;">  _____ 1st Signatory </div> <div style="text-align: center;">  _____ 2nd Signatory </div> <div style="text-align: center;">  _____ 3rd Signatory </div> </div>					
NOTES					
<ul style="list-style-type: none"> The above schedule is effective from 1st April 2021 and supercedes all previously applicable rates to all categories of clients. Cheque/Demand Draft should be in favour of "Vardhaman Capital Private Limited." ONE TIME AMC should be paid upfront at the time of Opening or Change of Scheme. Clients must ensure that their name, Client/BO ID and Bill number is written behind every cheque/DD deposited by them. All charges are exclusive of GST. Taxes and other government levies will be charged extra as applicable from time to time. Above rates are based on NSDL/SEBI Charges and may be revised upon revision by NSDL/SEBI. Cheque dishonour charges ₹ 100 (Min) or actual plus GST. Interest for late payment will be charged @ 1.5% per month from the due date. In case of any upward revision of Transaction charges, 30 days notice will be given which shall be treated as sufficient notice. In case of any debit balance in Client's name existing with Company, DP is authorized to refuse to accept any type of instruction relating to transfer of shares from client's account, till the clearance of such dues and the DP services are liable to be discontinued within a period of 30 days from the date of demand. The renewal charges for resuming the services will be ₹ 100. Stamp charges will be applicable extra The AMC will be charged on prorata basis from the month of account opening. Subsequently, it will be charged annually in the month of April. Except for the month of April, an amount of ₹ 250 (non adjustable/ non refundable) will be charged for each scheme change request. The new scheme will be applicable from the following month in which the scheme is changed without adjustment of previous bills. Any service not quoted above will be charged separately. Additional account maintenance charges for corporate account – ₹ 500 P.A. with scheme applied. AMC will be charged in advance at the time of opening the account. Same Day DIS for Same Day Pay-in (upto 10.15 AM at clients own risk & on best efforts basis) – ₹ 100 per transaction. 					

VOLUNTARY DOCUMENTS & FORMATS

[THE DOCUMENTS ARE VOLUNTARY IN NATURE & WILL BE MADE AVAILABLE IF CLIENTS OPTs FOR THEIR OWN CONVENIENCE]

FATCA / CRS DECLARATION

FOR INDIVIDUALS

The below information is required for all applicant(s)/ guardian

I) Address Type: Residential or Business Residential Business Registered Office (for address mentioned in form)

II) Is the applicant(s)/ guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India? Yes No


III) If you ticked "Yes" in point no II above, please provide the following information [mandatory]

Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below.

Place/ City of Birth	
Country of Birth	
i)	<input type="checkbox"/> TIN or <input type="checkbox"/> Functional equivalent (please specify name & Number) Country of Issue
ii)	<input type="checkbox"/> TIN or <input type="checkbox"/> Functional equivalent (please specify name & Number) Country of Issue
iii)	<input type="checkbox"/> TIN or <input type="checkbox"/> Functional equivalent (please specify name & Number) Country of Issue

IV) Customer Declaration (Applicable for all customers)

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

Name	Signature	Date
		

Notes:

1. The term United States person means:
 - a) An individual, being a citizen or resident of the United States of America;
 - b) Partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
 - c) A trust if: (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust;
 - d) An estate of a decedent who was a citizen or resident of the United States of America.
2. Functional Equivalent of TIN includes the following:
A social security/insurance number, citizen/personal identification/services code/national identification number, a resident / population registration number, Alien card number, etc.
3. If you have ticked "Yes" in point no II above but do not have Taxpayer Identification Number/ function equivalent, please fill the detailed FATCA/ CRS Declaration Form specifying the reason for the same and sign the self-certification in this regard.
4. In case of joint holders, please provide separate FATCA/CRS Declaration.

FOR NON-INDIVIDUAL CLIENTS, PLEASE ATTACH FATCA, CRS & ULTIMATE BENEFICIAL OWNERSHIP (UBO), SELF CERTIFICATION FORM SEPARATELY.

VARDHAMAN CAPITAL PRIVATE LIMITED

INFORMATION TO BE PROVIDED BY THE CLIENT IN RELATION TO THE PMLA, 2002

Name of the Client		Client Code	
If Business/ Profession	Nature of Business		
	Industry		

► **Details of my/our Relatives, having account with VCPL**

Name	Relationship	UCC (Client Code)

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

Name	Entity Type	Business Nature	Relationship	UCC (Client Code)

I/We agree to submit every year any one of following documents to VCPL:

- | | |
|--|-------------------------------------|
| 1. Profit & Loss Account and Balance Sheet | 2. Form No. 16 (Salary Certificate) |
| 3. Self attested copy of Income Tax Return | 4. Networth Certificate |
| 5. Demat Transaction Statement & Bank Statement (for 6 months) | 6. Share Holding Pattern |

I/We confirm that I/we will immediately inform VCPL in case I/we am/are convicted under any grounds or any action is taken against me/us by any authority(ies).

I/We hereby declare that I/we do not fall under the Clients of Special Category as defined in Prevention of Money Laundering Act,2002, **or**

I/We declare that I/we fall under Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 (choose the relevant category as under):


- Non resident Client | High Net-worth Clients
- Politically Exposed Persons | Companies offering foreign exchange offerings
- Non face to face client | Clients with dubious reputation as per public information available etc.
- Companies having close family shareholdings or beneficial ownership
- Trusts, Charities, Non- Governmental Organizations (NGOs) and organizations receiving donations
- Clients in high risk countries where existence/effectiveness of money laundering controls is suspect etc.

I/We intend to invest in the stock market with: Own Funds Borrowed Funds

[If Borrowed Funds, then please specify below Sources of Funds]:

Sources of Borrowed Funds (If Any)	Amount (₹)

I/We hereby declare that I/we am/are beneficial owner of the trading/online account opened with VCPL.

 Signature of The Client

► **FOR OFFICE USE ONLY**

Risk Category High Medium Low

To,
VARDHAMAN CAPITAL PRIVATE LIMITED
 25 Swallow Lane, Wardley House, 2nd Floor, Kolkata - 700001

D	D	M	M	Y	Y	Y	Y

Dear Sir/Madam,

I/We as the Client of Vardhaman Capital Private Limited for trading in Capital Market and/or Futures & Options of NSE/BSE do hereby authorize VCPL (Member: NSE, BSE) for the following:

- In order to facilitate my/our smooth trading operations, to maintain a running account, instead of settlement to settlement clearance of funds/securities due to me/us. In this regard, I/we have been informed about the SEBI circular no. MIRSD/SE/Cir-19/2009 dated December 3, 2009. I/we have read and understood the same. I/we hereby authorize VCPL to maintain a running account in all segments across the exchanges (NSE/BSE).
- The payout of funds/securities may be retained by VCPL and no interest shall be payable by VCPL on such retention. I/we further agree that VCPL shall not be liable for any claim of loss or profit or for any consequential, incidental, special or exemplary damages, caused by retention of such securities/funds under this agreement or otherwise.
- I/we may be trading in derivatives segments and/or cash segments of NSE and/or BSE and hence have obligations under various accounts with VCPL. In this regard I/we hereby authorize VCPL to act at its discretion of adjusting any credit balance under my/our various accounts against the debit in any account across segments/exchanges, without taking any further instruction from me/us. I/we also agree/understand that there shall be no inter-client adjustment for the purpose of settlement of running account.
- I/we hereby further authorize VCPL to hold and retain the said funds/securities until a request for the same is made by me/us, subject to the condition that sufficient margin in respect of my/our continued trading, across the exchange and/or across the segments of the exchanges are available with VCPL. I/we further authorize VCPL to keep my/our shares purchased through it, in its beneficiary account and to deliver and/or adjust said shares against our sales in subsequent settlements i.e. Inter transferring the shares from one settlement to another settlement in various segments across exchanges, unless VCPL receives any verbal or written instruction from me/us to deliver the same to my/our Depository Account. Similarly, I/we authorize VCPL to issue a cheque against our fund pay out only after getting an instruction from me/us. Otherwise the same will remain with VCPL against my/our margin obligation towards Capital Market Segment and/or Futures & Options Segment.
- I/we authorize VCPL to set off a part or whole of the margin deposited by me/us against any of my/our dues, by appropriating relevant amount of funds or by sale of securities which form part of margin.
- The instructions/authorizations made by me/us as above are revocable and can be revoked/withdrawn at anytime by giving a notice in writing by me/us.
- I/we agree that (a) in respect of derivatives market transactions, VCPL may retain the requisite securities/funds on settlement date to take care of any margin obligation arising in next 5 days, calculated in the manner specified by the exchange, (b) in respect of cash market transactions, VCPL may retain entire pay-in obligations of funds & securities due from me/us as on the date of settlement and for next day's business, VCPL may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement.
- I/We hereby authorize VCPL to pledge my/our Securities / Funds (Collaterals) as margin with the Clearing Corporation(s) of the Exchange(s) towards my/our margin/exposure requirements.
- I/we authorize VCPL to transfer the funds/securities lying in my/our credit within one working day of the request if the same are lying with VCPL and within three working days from the request if the same are lying with the Clearing Corporation(s) of the Exchange(s).
- I/We agree that fund given towards collaterals / margins in form of Bank Guarantee (BG) / Fixed Deposit Receipts (FDR's) may not be periodically settled.
- THE ACTUAL SETTLEMENT OF FUNDS AND SECURITIES SHALL BE DONE BY VCPL AT LEAST ONCE IN**
 A CALENDAR QUARTER A CALENDER MONTH (STRIKE OUT WHICHEVER IS NOT OPTED).
 Further I/We confirm that I/we will bring to the notice of VCPL any dispute arising from the settlement of account or settlement so made in writing within 7 workings days from the date of receipts of funds / securities or settlement of account or statement related to it, as the case may be at VCPL's registered office.
- I/WE HEREBY AUTHORIZED VCPL SEND ME/US RIGHT OBLIGATION, UNIFORM, RISK DISCLOSURE DOCUMENTS DO'S & DON'TS IN**
 PHYSICAL ELECTRONIC MODE

 Signature of the Client

In addition to the 'Rights and Obligations' document, the Client and VCPL have agreed to the following terms and conditions to ensure smooth functioning of the operations in the course of trading/investing in securities by the Client through VCPL.

1. Digitally signed Contract Notes/Statement of Accounts/RMS Policy

- The Client agrees that VCPL will not provide him/her Order Confirmation/Modification/Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. He/She hereby requests VCPL to kindly accept his/her mandate holder's verbal orders/instruction in person over phone and execute the same. He/She shall get the required details from the contract notes issued by VCPL. The Client understands the risk associated with placement of verbal orders and accepts the same. He/She will not disown orders under the plea that the same was not placed by him/her.
- The Client agrees that he/she has been made aware/read, understood and accepted the prevailing RMS Policy/all other policies/procedures/information/instructions of VCPL and further shall keep himself/herself, updated of any future RMS policy, all other policies/procedures/information/instructions that may be issued from time to time from VCPL. The Client shall also access the RMS Policy, all other policies/procedures/information/instructions from the VCPL website from time to time. VCPL may send any necessary communications to the client on their registered email address. VCPL may modify the terms of any additional terms to reflect changes to the law or changes to our policies/procedures etc. The client agrees to look at the terms regularly & access their account regularly. Changes addressing new functions for policies/procedures will be reflected in the Client's account.

2. Regulatory & Other Compliances by clients

- The Client hereby agrees and understand that in case of any non-compliance and/or default by the Client such as cheque bouncing, client code modification, short margin, UCC violation, price rigging or for any other matter as may be decided by VCPL from time to time, without prejudice to VCPL's other rights, VCPL may levy charges/penalty(ies) on the Client and debit such charges/penalty(ies) in the client account which has been imposed by Regulatory Authorities.
- VCPL has placed on its website and also made available to the Client on the login into his trading account a detailed document explaining to the Client the features, risk, responsibilities, obligations and liabilities associated with securities trading among others through wireless technology/internet/smart order routing. The Client agrees to go through the above terms and conditions which shall be deemed to be sufficient notice by VCPL.
- The Client agrees that a modification/addition/deletion to the terms & conditions on the website shall amount to a valid modification of the present.


3. Client Operations

- The Client agrees that VCPL will not be responsible for partial execution of orders placed by the Client. The Client also agrees that all orders placed by him shall be treated as order for that particular session only. In case the Client wants the orders to be carry forward or extended for the day or more number of days he shall communicate the same to VCPL.
- The Client is aware that the Client is required to make full payment to VCPL for the execution of the contract on the day of execution of trade. The Client explicitly agrees and authorizes VCPL to suspend/deactivate his/her accounts for non payment of the above stated dues and such other amounts as may be due from the Client from time to time without giving any further notice or intimation to the Client.
- The Client hereby confirms that he/she will never sublet/allow any third party access to the trading terminal provided to him/her by VCPL, nor indulge in/facilitate any unauthorized trading under any circumstances.
- Adjustment of account between exchanges and segments : The Client hereby informs VCPL that he/she have executed/intend to execute an agreement with VCPL for trading on different exchanges, i.e. NSE, BSE in cash and derivative segment. The Client requests VCPL to transfer, make adjustments and/or set off a part or whole of the securities placed as margin and/or any surplus funds in any of the accounts maintained with VCPL against the outstanding dues payable if any, by the client account(s) maintained with VCPL. VCPL will have lien on the credit balance in any of the client account for meeting the debit or obligations in progress in any other of clients account. Any entries passed by VCPL in accordance with this authorization will be binding on the Client.

4. Authorization to debit Demat Account operating charges and account opening charges

- The Client authorises VCPL to debit his/her Trading Account for all the charges relating to its Demat Account. The Client understands that the said charges in the Demat Account are incurred from time to time and this authorisation of transferring the same to clients trading account shall remain valid from time to time. The Client also authorises VCPL to retain shares till the clearance of dues in trading as well as demat account.

D	D	M	M	Y	Y	Y	Y

 Signature of the Client

- The Client agrees that the charges towards account opening for equity trading and demat account, if any, would be debited to the ledger account of the Client after opening of account. The entry reflected in the ledger account of the Client would be sufficient acknowledgement of the receipt of account opening charges. The Client agrees and understands that no separate receipt will be issued in this regard.

5. Trade Confirmation to Client

- VCPL at its discretion shall also send Trade Confirmations/Margin Calls through SMS at the mobile number provided by the Client. The SMS service may be discontinued for a specified period/indefinite period with or without any prior notice for any reason whatsoever. It shall be the duty of the client to ensure that the mobile number provided in the client registration documents is correct and in operation and/or in working condition at all times. In case the Client has provided and/or incorporated different mobile number in the KYC, VCPL may send notice/communication on any of the mobile number, at its discretion. The notice/information/communication through SMS sent to the client shall be deemed to have been received by the client and VCPL shall not be under any obligation to confirm the authenticity of the person(s) receiving the SMS.
- The Client is informed that he/she shall update their mobile numbers/email ids with VCPL. This will facilitate them to receive information of their transactions, all debits directly from the Exchange(s)/Depository on their mobile/email at the end of the day.
- VCPL shall not be liable or responsible for any statement received from frauds or impostors and their subsequent consequences.

6. Payment of Margins


- For the purpose of the voluntary clauses the term “Dues of Client” shall include the amount of monies payable by the Client including but not limited to, the purchase price of the securities, Brokerage, Margin money, Service Tax, Turnover Tax, Auction debt and charges, Service charges, Penalties, Late payment charges, Transaction charges, KRA charges, cheque bounce charges, Penalties for non compliance, Shortfall in margin etc. That may be levied from time to time in the client account as per Regulatory norms.
- All payment for securities bought shall be made out by way of cheque/fund transfer in favour of “Vardhaman Capital Private Limited”. The Client agrees to make such fund transfer from the bank account, the details of which are provided by the client to VCPL in the Client Registration Form or in any other document. At the time of settlement of dues of the Client, VCPL shall draw an account payee cheque / fund transfer in favour of Client which may be payable to a specified bank account of the Client. The Client undertakes that VCPL shall execute the orders only after proceeds of the Margin Account are realized and credited to the bank account of VCPL. Any payment made by the Client in the form of the account payee cheque shall be considered as Funds only upon the realization of the same. Margin consideration with to funds received in the form of bank instrument will be add the sole discretion of VCPL after taking the exchange prescribed rule and regulations into consideration from time to time.
- The Client hereby agrees to make payment against debit balance and margin payment as demanded by VCPL in the form of Funds or securities in proportion as prescribed by VCPL or exchange , failing which the VCPL can square up all or any outstanding position of sale and/or purchase, in any segment and/or in Exchange, without any notice to the Client.

Margin in the form of Securities : VCPL, in its absolute discretion will decide the eligible securities, which could be deposited by Client for meeting current or future margin/deposit obligations. VCPL would be free to continuously review the eligibility of securities already deposited by the Client. Securities accepted as margin/deposit, shall be valued as per valuation norms decided by VCPL from time to time. The Client authorizes VCPL to sell their securities to recover any outstanding dues including ledger debits/DP debits/margin requirements in Cash and F&O segment of the Exchanges. Collection of margin in the form of securities will be as per the procedure prescribed by the regulators from time to time.

Lien : The Client agrees that all monies, securities or other property that may be held by VCPL on the client’s account shall be held by VCPL at the sole risk and cost of the Client and such monies, securities or other property as permitted by the Exchange(s) shall be held subject to general lien for the discharge of the clients obligation to VCPL under the voluntary clauses irrespective of whether such obligations of the Client is disputed by the Client. VCPL shall be under no obligations to release such monies, securities or other property until the Client has discharged its entire obligation in full to VCPL under the voluntary clause to the satisfaction of VCPL.

- The Client authorise VCPL to use its discretion to close out any VCPL or all of the contracts in Capital Market, Equity Derivative segment held in the clients account with VCPL for the protection of VCPL, in case of any default by the Client. The Client agrees to reimburse any or all such incidental expenses incurred by VCPL.

D	D	M	M	Y	Y	Y	Y

 Signature of the Client

- The Client agrees that in case of any payout (funds/securities) which is yet to be received by him/her for the previous settlement(s), VCPL would be entitled to adjust the same against the current or subsequent settlement obligations or other charges or under the circumstances when client defaults.
- Set-off. The Client agrees that VCPL may set-off his/her credit balance available in his/her ledger account on any one Exchange/Segment against the debit balance in other Exchange/Segment.
- The Client does hereby confirm that he/she shall not deposit any third party cheque towards meeting VCPL's obligation for the trade executed by him and hence shall not hold VCPL against any such credit.

7. Communication with Client

- The Client agrees that any notice or communication served on the client under the voluntary clauses shall be valid and binding on him/her and shall be deemed to be duly served, if conveyed in writing through letter, Fax or by personal delivery duly acknowledged by the other party/Courier at the registered post to the address of the client mentioned here in above or the last known address, or if electronically delivered at any one of the email id intimated by the client, or by publishing the same in the prominent daily newspaper where the registered/last known business/residential address of the client is situated or if conveyed over telephone/fax on the last number or if a notice is pasted at the door of the registered address or the last known address of the Client.
- The Client agrees that he will sent any communication or notice, to VCPL in writing through Letter or by personal delivery duly acknowledged by VCPL or by registered post sent at the registered address of VCPL.
- The Client agrees that the primary mode of communication by VCPL to the Client will be through e-malis. The Client, therefore, agrees to check his/her e-mail account on a regular basis. (Applicable for ECN clients only).

8. Transfer of Securities

- The Client hereby agrees to ensure that before selling any shares, he has the same in hand. Any loss arising out of auction/closed due to short selling of shares will be borne by the Client. The Client also agrees to bear any loss arising out of auctions due to incomplete instruction, illegible instructions, unclear instructions and instructions not received on time.
- The Client hereby authorizes VCPL to transfer shares, lying VCPL's pool account to his account for pay-in purposes for shares purchased by the Client in previous settlements. In case the Client does not want VCPL to transfer these shares towards inter settlement from VCPL's pool account for pay in purpose, he shall inform VCPL in writing 48 hours before pay in date. In case VCPL does not receive the same in writing or for a wrong settlement VCPL shall not be responsible for loss, if any.
- Any queries related to securities delivered by VCPL would be brought to the notice VCPL within seven days of the receipt of such securities in the Client's Demat account. Otherwise it can be presumed that the Client has checked all the securities received by me/us and that are good as per the prevailing norms.

9. Tape recording of Client conversation

- The Client is aware that VCPL/Sub broker/Authorised person may tape record the conversation while providing. Trade Confirmation/Advisory Services/research calls or otherwise between the Client or the Client's representative and VCPL/Sub broker/Authorised person, either personally or over the phone, Authorised person and the Client hereby specifically permits VCPL to do so. Such electronic recording may be relied upon by VCPL/Sub Broker as and when required to resolve disputes in connection with the trading transaction or otherwise.

10. Severance

- In case any one or more of the provisions contained in the voluntary clauses becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality, and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereto.

11. Force Majeure

- The Client agrees not to hold VCPL liable or responsible for any delay or default in performance of VCPL's obligations due to contingencies beyond VCPL's control, such as Fire, Flood, Civic commotion, Earthquake, Riots, Wars, Strikes, Failure of systems, failure of internet links, government/regulatory actions or any other contingencies beyond VCPL's control.

12. Indemnification

- The Client undertake that he/she shall not hold VCPL, its Directors or Officers/Responsible towards his/her/their acceptance of any lucrative offer of fixed return on investment made by any of their representative (verbal/written) without the knowledge of VCPL and the onus to bring the same to the notice of VCPL lies with the Client.

D	D	M	M	Y	Y	Y	Y

 Signature of the Client

- Trading on all Exchanges is in electronic mode, based on connectivity through various media such as VSAT, leased line, ISDN, Modem and VPN, as well as through a combination of technologies and computer systems to place and route orders. The Client understands that there exists a possibility of communication failure or system problem or slow/delayed response from systems

or a trading halt, or any such other problem/glitch which may result in VCPL not being able to establish/provide access to the trading system/network, which may be beyond VCPL's control and may result in delays in processing of buy/sell orders either in part or in full. The Client shall be fully liable and responsible for any such problem/fault and shall not make any claims on VCPL for the same.

13. General

- ^{2|21} The Client understand that information about him/her and their transactions may be reported by VCPL to FIU/concerned authorities/regulators without any intimation to the Client and have no objection to the same.
- ^{2|21} The Client hereby undertakes to extend full co-operation to VCPL in their endeavour towards compliance with Anti-Money laundering norms, and to not hold VCPL legally liable in any manner whatsoever towards the same.
- ^{2|21} In case of any delayed payment by the Client towards any obligations on client's part, VCPL is authorized to debit Client's Trading account with the delayed payment charges which shall be levied by VCPL subject to a maximum of 2% per month.
- ^{2|21} The Client does hereby confirm that the extra levy of charges (as per the prevailing rates) on the physical issuance of contract note shall not construe as a matter of dispute in the future.
- ^{2|21} All references to the specific quantity/rate/fee, if any, are subjected to change from time to time, as so agreed to in writing between the parties.
- ^{2|21} The Client has clearly read and understood all the points mentioned in this Letter of Understanding/Authority. All the instructions are given by the client's own free will. In case Client wishes to withdraw any of the above mentioned terms, he/she shall inform VCPL in writing and acknowledge the same at least one week in advance from the date of withdrawal.
- ^{2|21} The Client hereby confirms that he/She is not a Stock Broker or Sub-broker or Authorised Person or Remieser of any Stock Exchange(s). Further, in the event wishes to obtain any membership of any Stock Exchange(s) or wishes to become Sub-broker or Authorised Person or Remieser of any Trading member in any Stock Exchange then the Client undertakes to obtain No-objection certificate from VCPL prior to making an application to the Exchange(s).

 Signature of the Client

Client	Name of the Client	Place	Date
Signed for and on behalf of	Signature	Name & Designation	
Stock Broker	For Vardhaman Capital Private Limited ✓ Authorised Signatory		

VOLUNTARY DOCUMENT

**AUTHORISATION TO SEND CONTRACT
NOTE, STATEMENT OF FUND &
SECURITIES MARGIN ETC.
ELECTRONICALLY**

Date : _____

I/We authorise **Vardhaman Capital Pvt. Ltd.** ("VCPL") to issue the contract notes, statement of funds & securities, circulars amendments, client registration documents, DP bill, transaction statements, holding & financial statements and such other documents in electronic mode in lieu of physical mode on my/our updated E-mail ID, which is as follows:

E-mail Id: _____

Alternative E-mail Id: _____

Any changes in the E-mail ID shall be communicated by me/us in writing to the VCPL Further, to my/our authority to VCPL to issue Contract notes in digital format I/we authorise not to provide me/us Order Confirmation / Modification / Cancellation slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from the Contract Notes issued to me/us.

I/We authorise VCPL to send periodic statements of funds and securities & margin statement etc. In digital format at my/our Email address unless I/we request in writing to send them in paper form. I/We understand and agree that any request to provide paper for of documents shall be charged to me/us VCPL as per the prevailing rates. I/We do hereby confirm that I am aware of an extra levy (as per the prevailing rates) by VCPL for physical delivery of any of the aforementioned documents, in case the e-mail sent to me bounces back.

I/We hereby acknowledge that all the documents sent on the above E-mail ID by VCPL will be considered as having delivered to me/us once the email leaves the VCPL email server and no bounced mail notification is received by VCPL.

I/We agree that the log reports of VCPL'S dispatching software shall be conclusive proof of dispatch of all statements or bills to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever.

I/We further agree that in the absence of communication from my/our end regarding non-receipt of documents through e-mail, or notification of any discrepancy within 2 days from the date of issuance of digital contract note through e-mail, VCPL may construe that there is a deemed acknowledgement of the document(s) sent to client electronically.

In case I/we wish to withdraw this facility, I/we shall inform VCPL in writing at least one week in advance from the date of withdrawal, Thanking you.

Yours Faithfully,

 Signature of Client

VARDHAMAN CAPITAL PRIVATE LIMITED

INTER-SETTLEMENT OF SECURITIES

VOLUNTARY

Clients are advised not to sell shares unless lying in their Demat Account. However, Inter-Settlement of Securities will be provided to the client on request. VCPL will debit appropriate charges from the client account for this service. VCPL will be not responsible/liable for any profit/loss incurred/sustained by the Client for mistake/failure of whom so ever for Inter-Settlement of Securities.

I/We hereby request you to provide us facility for INTER-SETTLEMENT OF SECURITIES after having read and agreed to the above.

Date _____


 Signature of Client




FAMILY DECLARATION FORM

VOLUNTARY DOCUMENT


Format of Request for 1st Holder [Please tick (v) wherever applicable]

DP ID	IN303212	Client ID		Date	
Name of account holder					
<input type="checkbox"/> Mobile Number					
<input type="checkbox"/> Email ID					
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents). <u> Please Specify Relation </u>					
Signature of account holder					
Name of account holder					

Format of Request for 2nd Holder [Please tick (v) wherever applicable]

DP ID	IN303212	Client ID		Date	
Name of account holder					
<input type="checkbox"/> Mobile Number					
<input type="checkbox"/> Email ID					
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents). <u> Please Specify Relation </u>					
Signature of account holder					
Name of account holder					

Format of Request for 3rd Holder [Please tick (v) wherever applicable]

DP ID	IN303212	Client ID		Date	
Name of account holder					
<input type="checkbox"/> Mobile Number					
<input type="checkbox"/> Email ID					
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents). <u> Please Specify Relation </u>					
Signature of account holder					
Name of account holder					

VOLUNTARY DOCUMENT

ELECTRONIC PAYOUT REQUEST

VOLUNTARY

To,
VARDHAMAN CAPITAL PRIVATE LIMITED
 25 Swallow Lane, Wardley House, 2nd Floor, Kolkata - 700001

D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

I/We furnish below the details of my Bank Account to enable the transfer of funds payable to me/us against sale of securities / Credit Balances in my account.

Bank :	Branch :
Type of Account : <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> Others (Specify).....	MICR No. : <hr/> A/c. No. :
Copy of cheque must be enclosed.	IFSC CODE (RTGS/NEFT)

Name of Joint Account Holder (if any) : _____

I/We hereby declare that the particulars mentioned above are correct, complete and true and I/we request VCPL to transfer the funds against payments due to me into the above mentioned Bank Account until any other instruction is given by me/us. It is also agreed by me/us that the above facility is being provided to me/us by VCPL at my request and it can be discontinued/withdrawn by VCPL at its discretion at any point of time, as and when required without prior notice.

1. The transfer of funds to my/our bank account will continue to be governed by the terms and conditions as per my declaration to VCPL.
2. If the transaction is delayed or not effected at all for incomplete or incorrect information provided by me/us I/we would not hold VCPL responsible and hereby indemnify VCPL from any losses or damages there from.
3. All charges levied by Bank for the said facility shall be borne by me/us.

 Signature of the Client

Mandate For Authorized Representative

Non-Mandatory

I/We am/are having a trading account bearing client code _____ with VCPL do hereby authorize Mr./Ms _____ having mobile / Tel. No. _____, being our _____ R/o _____ hereinafter referred to as authorized representative whose signature is given below, to trade on my/our behalf and I/We further accept that all obligations arising out of trades executed by such person will be met by me. Further, I/We authorize you to accept all instruction, from such person pertaining to settlement of transactions in our account.

I/We also undertake to idemnify VCPL for all dues, penalties, and incidental expenses relating to and arising out of and in connection with transactions pertaining to trading account no. _____ with VCPL and operated by my/our authorized representative Mr. / Mrs. _____.

Place : Date :



 (Signature of Mandate Holder) Attested

 Authorised Signature of Authorised Representative

 Authorised No of the Authorised Representative

Note : In case the client does not sign this mandate, orders, instructions and payment / transfer advises shall not be accepted in the client account from the person(s) other than the client.

VARDHAMAN CAPITAL PRIVATE LIMITED

CONSENT LETTER FOR RECEIVING ALERTS, TRADING CALLS, RESEARCH REPORT ETC. ON MOBILE

VOLUNTARY

To,
VARDHAMAN CAPITAL PRIVATE LIMITED
 25 Swallow Lane, Wardley House, 2nd Floor, Kolkata - 700001

D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

I/We hereby give my/our consent to give me/us Alerts, Research Calls, Reports, News, Live Updates or any other information on my Email ID given earlier for Electronic Communication and also on my Mobile No. _____

This shall not be treated as violation of any DND or any other similar rules applicable from time to time. The number may be given to the exchange database also.

Further, I/we undertake to VCPL and confirm to use my/our own judgement in taking a view and execute trade in the identified security(ies) according to my/our financial strength/capabilities and shall not hold VCPL responsible for any loss suffered by me/us on account of executing or omitting to execute any trades in pursuance of such communication and/or investment advises sent by VCPL.

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

Thanking you,

Yours faithfully,

[] SMS Research calls, News and Live Updates,
 please tick to register for **MOBILE ALERT SMS**

 Signature of the Client

AUTHORITY LETTER TO DEBIT THE DEMAT ACCOUNT OPERATING CHARGES

VOLUNTARY

To,
VARDHAMAN CAPITAL PRIVATE LIMITED
 25 Swallow Lane, Wardley House, 2nd Floor, Kolkata - 700001

D	D	M	M	Y	Y	Y	Y

Ref. - DP ID _____ DP Client ID _____

Dear Sir / Madam,

Sub : Debiting my Trading Account towards depository chares.

I / We hereby authorise you to debit my / our Trading Client Code _____ For all the charges relating to the above mentioned Demat Account.

I / We understand that the said charges in the Demat Account, are incurred time to time and this authorisation of transferring the same to my trading account shall remain valid from time to time.

I/We also authorise you to retain my/our shares till the clearence of the dues in the trading as well as demat account.

In case I/We wish to withdraw this authorisation, I/We shall inform VCPL in writing and acknowledge the same at least one week in advance from the date of withdrawal.

Thanking you,

Yours faithfully,

 Signature of the Client

VARDHAMAN CAPITAL PRIVATE LIMITED

DECLARATION TO BE GIVEN BY HUF


To,
 Vardhaman Capital Pvt Ltd.
 25, Swallow Lane
 Wardley House, 2"d floor
 Kolkata-700001

Dear Sir,

We, all the coparceners / members detailed below of the Hindu Undivided Family carrying on business in the name and style of having PAN do hereby authorize Karta of the family Mr. t o open / operate in the name of this HUF a demat account with Vardhaman Capital Pvt.Ltd, a Depository Participant of NSDL, to issue notices and instructions relating to transfer, pledging , dematerialializing or rematerializing orders, execute deals through you for and on behalf of the above named HUF and we state that we are and shall always be jointly and severally responsible for the dealings / orders / transactions / instructions that are executed by the karta Mr and all his orders/instructions shall be binding on the HUF and all its members jointly as well as severally.







In the eventuality of change of Karta or change in the constitution of we shall inform you in writing and understand that We are required to collect from you an acknowledgement of having taken the same on record.

The Specimen signature of the Karta Mr. is given below :

Specimen Signature in full 

Thanking you,

Your's faithfully

Name of the Co-Parceners / Member	Sex	Date of Birth	Relationship with Karta	Signature of the Co-Parceners / Member	Whether Co-Parceners / member
					
					
					
					
					
					

► ACKNOWLEDGEMENT FOR THE RECEIPT OF DOCUMENTS

From,

Client Name : _____ Client Code : _____

To,
VARDHAMAN CAPITAL PRIVATE LIMITED

Dear Sir / Madam,

Ref. : Acknowledgement for the receipt of documents

This is to acknowledge the receipt of a copy of the following documents viz.,

- A copy of Client Registration Form (KYC), duly executed
- A copy of Account Opening Form - Part II
- Rights & Obligations of Stock Brokers, Authorized Persons & Clients (Separately - Part B)
- Risk Disclosure Document (Separately - Part B)
- Guidance Note (Separately - Part B)
- Policies & Procedures
- Tariff Sheets
- PMLA Declaration
- Literature on Anti-Money Laundering - Combating Financing of Terrorism (Separately - Part B)
- A copy of other Voluntary Documents executed & signed by me as a Client.
- A copy of Application for Demat Account
- Rights & Obligations of Beneficial Owner & Depository Participant (Separately - Part B)

Thanking You,
Yours Faithfully,

Date: _____

Signature of the Client (with Stamp)

► ACKNOWLEDGEMENT

VARDHAMAN CAPITAL PRIVATE LIMITED

Received the application from Mr./Ms./M/s. _____ as the sole/first holder along with _____ and _____ as the second and third holder respectively for opening of a depository account. Your Client ID will be intimated to you shortly. Please quote the DP ID & Client ID allotted to you in all your future correspondence.

Date: _____

✓ Participant Stamp & Signature

VARDHAMAN CAPITAL PRIVATE LIMITED

Received the application from Mr./Ms./M/s. _____ for opening of a trading account. Your Trading Code will be intimated to you shortly. Please quote the Trading code allotted to you in all your future correspondence.

Date: _____

✓ Broker's Stamp & Signature

FOR OFFICE USE ONLY			
	DATE	NAME & SIGNATURE OF THE EMPLOYEE	
KRA			
CKYC			
FATCA			
Back Office Data Entry			
NSE UCI CM Upload			
NSE UCI SLBM Upload			
NSE UCI FAO Upload			
BSE UCI CM Upload			
CTCL & Best Setting			

KYC DISPATCH ONBY.....

(Courier / Hand Delivery) POD No.

Name & Signature of Employee