

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

VARDHAMAN CAPITAL PRIVATE LIMITED

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.

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