

INDEX

S. No.	Name of the Document	Brief Significance of the Document	Page No
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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

1	Account Opening Form - Non Individual	KYC Form for Non Individual Client - Basic information about the client.	1-10
3	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading & depository services.	11 - 12
4	Uniform Risk Disclosure Document	Document detailing the risk associated with dealing in Securities & Commodities Market.	Provided Separately
5	Rights & Obligations - Trading	Document stating the rights & obligations of member, authorised person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	
6	Rights & Obligations - DP	Document stating the rights & obligations of member and client for depository services on depositories.	
7	Rights & Obligations - RP	Document stating the rights & obligations of member and client for electronic warehouse receipts services on repositories.	
8	Do's & Don'ts for Investors	Document detailing do's & don'ts for trading on exchanges, for the education of investors.	
9	Policies & Procedures	Document detailing significant policies & procedures of the member.	

VOLUNTARY DOCUMENTS AS PROVIDED BY MEMBER

1	Electronic Contract Notes / Statements Consent	Consent document for receiving electronic contract notes / statements by E-mail.	13
2	Running Account Authorisation	Consent document for maintaining client account on a running account basis for settlement of funds / securities, and for other authorisation.	14
4	Revocable Demat Debit and Pledge Instructions (DDPI)	Specific authorisation towards settlement of securities against margin / exchange obligation and for participating in offer for sale / open offers.	15-16
3	Mobile & E-mail Declaration	Declaration of mobile & E-mail whether belong to self / spouse / dependent parents / dependent children.	17

☒ = Affix full signature

☐ = Corporate Account

☐ = Second Holder signature

☐ = Third Holder signature

Know Your Client (KYC) Application Form (For Non-Individuals Only)



Please fill in ENGLISH and in BLOCK LETTERS

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

2. Date of Incorporation / / Place of Incorporation

3. Registration No. (e.g. CIN) Date of commencement of business / /

4. Status Please tick (✓) ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust / Charities / NGOs ☐ FI ☐ FII ☐ HUF
☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organisation ☐ Defence Establishment ☐ Body of Individuals ☐ Society ☐ LLP
 Others (Please specify)

5. Permanent Account Number (PAN) (MANDATORY) Please enclose a duly attested copy of your PAN Card

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City/Town/Village			Postal Code		
State			Country		

2. Contact Details

Tel.(Off)	Tel.(Res.)
Mobile	Email ID

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf). (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted / /

4. Registered Address (If different from above)

City/Town/Village			Postal Code		
State			Country		

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf). (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted / /

C. Other Details (please see guidelines overleaf)

1. Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors (Please use the Annexure to fill in the details)

2. Any other information:

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 am/we are aware that I/we may be held liable for it.

Place:

Date:

NAME & SIGNATURE(S)
OF AUTHORISED
PERSON(S)

NAME

☐ Y /

FOR OFFICE USE ONLY

Intermediary Name: Acumen Capital Market (India) Ltd

☐ (Originals Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

Seal/Stamp of the intermediary should contain
 Staff Name
 Designation
 Name of the Organization
 Signature
 Date

Name of the Firm : M/s.				
Permanent Account Number (PAN) of the Firm				
Details of Promoters/Partners/Karta/Trustees/Whole Time Directors/ Authorised Signatories				
	1	2	3	4
Name				
Relationship with Applicant (Eg. Promoter, Director, etc.)				
PAN				
Residential Address				
Photograph	<div style="border: 1px solid black; border-radius: 10px; padding: 10px; width: 100px; height: 100px; margin: 0 auto;"> Paste Recent Photograph and sign across <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">Y</div> </div>	<div style="border: 1px solid black; border-radius: 10px; padding: 10px; width: 100px; height: 100px; margin: 0 auto;"> Paste Recent Photograph and sign across <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">Y</div> </div>	<div style="border: 1px solid black; border-radius: 10px; padding: 10px; width: 100px; height: 100px; margin: 0 auto;"> Paste Recent Photograph and sign across <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">Y</div> </div>	<div style="border: 1px solid black; border-radius: 10px; padding: 10px; width: 100px; height: 100px; margin: 0 auto;"> Paste Recent Photograph and sign across <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">Y</div> </div>
DIN/UID				
Signatures	<div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">Y</div> 2	<div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">Y</div> 2	<div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">Y</div> 2	<div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">Y</div> 2
Whether Politically Exposed	<input type="checkbox"/> PEP <input type="checkbox"/> NO <input type="checkbox"/> RPEP	<input type="checkbox"/> PEP <input type="checkbox"/> NO <input type="checkbox"/> RPEP	<input type="checkbox"/> PEP <input type="checkbox"/> NO <input type="checkbox"/> RPEP	<input type="checkbox"/> PEP <input type="checkbox"/> NO <input type="checkbox"/> RPEP
	PEP: Politically Exposed Person		RPEP: Related to Politically Exposed Person	

Date: ____ / ____ / ____

Name of the Authorised Signatory(ies):
--

Signature of the Authorised Signatory(ies) <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">Y</div> 3
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INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI): List of documents admissible as Proof of Identity:

- PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

- Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/ Driving License/Flat Maintenance bill/Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/ Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/ Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/ling tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- In case of institutional clients, namely, FIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as denied under section 4A of the Companies Act, 1956 Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

F. In case of Non-Individuals, additional documents to be obtained from Non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	Copy of the balance sheets for the last 2 financial years (to be submitted every year) Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year) Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly Copies of the Memorandum and Articles of Association and certificate of incorporation Copy of the Board Resolution for investment in securities market Authorised signatories list with specimen signatures
Partnership firm	Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered partnership firms only) Copy of partnership deed Authorised signatories list with specimen signatures Photograph, POI, POA, PAN of Partners
Trust	Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered trust only). Copy of Trust deed List of trustees certified by managing trustees/CA Photograph, POI, POA, PAN of Trustees
HUF	PAN of HUF Deed of declaration of HUF/List of coparceners Bank pass-book/bank statement in the name of HUF Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	Proof of Existence/Constitution document Resolution of the managing body & Power of Attorney granted to transact business on its behalf Authorized signatories list with specimen signatures
Banks/Institutional Investors	Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years Authorized signatories list with specimen signatures
Foreign Institutional Investors (FII)	Copy of SEBI registration certificate Authorized signatories list with specimen signatures
Army/Government Bodies	Self-certification on letterhead Authorized signatories list with specimen signatures
Registered Society	Copy of Registration Certificate under Societies Registration Act List of Managing Committee members Committee resolution for persons authorised to act as authorised signatories with specimen signatures True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

Acumen Capital Market (India) Limited
Part IV - Trading Account Opening Form
Information related to opening of Trading Account
SEBI Registration No: INZ000170434

A. Income & Other Details of Account Holder

1. Gross Annual Income Details (Please Specify):

Income Range Per Annum: ☐ Below Rs.1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25-50 Lac
☐ 10-25 Lac ☐ 25-50 Lac ☐ 50-100 Lac ☐ Above 1Cr

2. Networth as on (date) _____ is _____ (Networth should not be older than 1 year)

B. Trading Preferences

Sl No	Name of Exchange & Segment	Date of Consent for Trading on Exchange	Signature of Applicant
1	BSE - Cash Segment		<input checked="" type="checkbox"/> ₄
2	BSE - Mutual Fund Segment		<input checked="" type="checkbox"/> ₄
3	NSE - Cash Segment		<input checked="" type="checkbox"/> ₄
4	NSE - Futures & Options Segment		<input checked="" type="checkbox"/> ₄
5	NSE - Currency Segment		<input checked="" type="checkbox"/> ₄
6	NSE - Commodity Segment		<input checked="" type="checkbox"/> ₄
7	NSE - Mutual Fund Segment		<input checked="" type="checkbox"/> ₄
8	MCX - Futures Segment		<input checked="" type="checkbox"/> ₄
9	MCX - Options Segment		<input checked="" type="checkbox"/> ₄
10	NCDEX - Futures Segment		<input checked="" type="checkbox"/> ₄
11	NCDEX - Options Segment		<input checked="" type="checkbox"/> ₄
12	BSE - Commodity Segment		<input checked="" type="checkbox"/> ₄

Note: In future, if client wants to trade on any new segment/exchange, then a separate authorization/letter should be obtained from the client.

C. Bank Account Details

	Bank 1 (Default Account)	Bank 2
Bank Name		
Bank Address with PIN Code		
Account No		
Account Type	<input type="checkbox"/> Current <input type="checkbox"/> OD <input type="checkbox"/> Other _____	<input type="checkbox"/> Current <input type="checkbox"/> OD <input type="checkbox"/> Other _____
IFSC Code		
MICR No		
Note: Provide copy of cancelled cheque leaf/passbook/bank statement specifying name of Client, IFSC and/or MICR of Bank.		

D. Depository Account Details (For Holding Securities in Demat Form)

	Demat 1 (Default Account)	Demat 2
Depository Name	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL
Depository Participant Name	Acumen Capital Market (India) Limited	
DP Id		
Client Id		
Client Name		

E. Repository Account Details (For Holding Commodities in Demat Form)

	Demat 1 (Default Account)	Demat 2
Repository Name	<input type="checkbox"/> CCRL <input type="checkbox"/> NERL	<input type="checkbox"/> CCRL <input type="checkbox"/> NERL
Repository Participant Name	Acumen Capital Market (India) Limited	
DP Id		
Client Id		
Client Name		

F. GST Details

	Registration No.	State
GST Registration Details		

G. Investment/Trading Experience

<input type="checkbox"/> No Prior Experience <input type="checkbox"/> __ Yrs in Securities <input type="checkbox"/> __ Yrs in Commodities <input type="checkbox"/> __ Yrs in other investment related fields
--

H. Introducer Details (Optional)

Name of Introducer	
Status of Introducer	<input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Employee <input type="checkbox"/> Others (Specify) _____
Signature of Introducer	

I. FATCA / CRS Self Declaration

Is Country of Incorporation / Formation / Tax Residency is in India?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Note: If above answer is "NO", then please download and attach FATCA/CRS self declaration in detail with this form from www.acumengroup.in	

J. Details of Key or Authorized Person / Managing Director / Managing Partner / Karta

	Details 1	Details 2
Name		
PAN		
UID/Aadhaar		
Date of Birth		
Sex	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender
Qualification		
Designation		
Experience in Yrs		
Residential Status	<input type="checkbox"/> Indian <input type="checkbox"/> NRI <input type="checkbox"/> Others _____	<input type="checkbox"/> Indian <input type="checkbox"/> NRI <input type="checkbox"/> Others _____
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others _____	<input type="checkbox"/> Indian <input type="checkbox"/> Others _____
% of Stake in Entity		
Address		
City & PIN		
Telephone		
Mobile		
Email		

K. Dealing Through Other Members

If client is dealing through any other member, provide the following details (in case dealing with multiple members, provide details of all in separate sheet containing all the information as mentioned below):

Members / Authorised Persons (AP) Name	
Exchange & Exchange Regn No.	
Members name with whom AP is registered	
Registered Office Address of Member / AP	
Email Id & Phone No. of Member / AP	
Website of Member / AP	
Client Code with above Member / AP	
Details of disputes / dues pending from / to such Member / AP, if any:	

L. Past Regulatory Actions

Details of any action / proceedings initiated / pending / taken by SEBI / FMC / Stock Exchange / Commodity Exchange / any other authority against the client during the last 3 years:

M. Additional Details

1. Whether you wish to receive communication from member in electronic form on your Email Id: ☐ Yes ☐ No
(If yes then please fill in Appendix A)
2. Whether you wish to avail of the facility of Internet Trading / Wireless Technology: ☐ Yes ☐ No
3. Wish to receive copy of standard documents like Rights & Obligations, Uniform Risk Disclosure Documents, Guidance Note detailing Do's & Don'ts and Policies & Procedures: ☐ Electronic ☐ Physical
4. Wish to receive welcome kit and other communications: ☐ Electronic ☐ Physical

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained & understood the contents of the tariff sheet and all voluntary / non-mandatory documents.
3. I/We further confirm having read & understood the contents of the Rights & Obligations documents (both equity & commodity); Risk Disclosure Document (both equity & commodity); Guidance Note, Additional Risk Disclosure Document for Option Trading. 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 member's designated website i.e www.acumengroup.in

Place:

Date:

Signature 5

For Office Use

UCC allotted to the Client:

I/we undertake that we have made the client aware of Policies and Procedures, Tariff Sheet and all the Voluntary/Non-Mandatory Documents. I/we have also made the client aware of Rights and Obligations Document(s), RDD and Do's & Don'ts, Guidance Note. I/we have given/sent him a copy of all the KYC documents. I/we undertake that any change in the 'Policy and Procedures', Tariff Sheet and all the Voluntary/Non-Mandatory Documents would be duly intimated to the clients. I/we also undertake that any change in the Rights & Obligations and RDD would be made available on my/our website www.acumengroup.in for the information of the clients.

Date:

Signature of the Authorised Signatory:

Seal of the Member

Acumen Capital Market (India) Limited
Part V - Demat Account Opening Form
Additional Information related to opening of Demat Account
SEBI Registration No: INZ000170434

I/We request you to open a Depository Account with ☐ CDSL ☐ NSDL and Repository Account with ☐ CCRL ☐ NERL as per the following details:

A. Details of Account Holders(s)

Name		PAN									
First Holder											
Second Holder											
Third Holder											
For HUF, 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 the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. should be mentioned below:											
Name		PAN									

B. Type of Account

Status	Sub Status (To be filled by DP)
<input type="checkbox"/> Body Corporate <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> Bank <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Trust <input type="checkbox"/> CM <input type="checkbox"/> Clearing House <input type="checkbox"/> Qualified Foreign Investor <input type="checkbox"/> Others Specify _____	

C. For OCBs / Others (as may be applicable)

Date of Incorporation		Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others Specify _____
SEBI Regn. No.		SEBI Regn. Date	
ROC Regn. No.		ROC Regn. Date	
RBI Regn. No.		RBI Regn. Date	
RBI Reference No.		RBI Approval Date	

D. Bank Account Details

Bank Name			
Bank Address with PIN Code			
Account No			
Account Type	<input type="checkbox"/> Current <input type="checkbox"/> OD <input type="checkbox"/> Other _____		
IFSC		MICR	

D. Standing Instructions / Other Details / Email - SMS Alert

1. I/we instruct DP to receive each and every credits automatically into my/our account: ☐ Yes ☐ No (Default Yes)
2. Account to be operated through Power of Attorney: ☐ Yes ☐ No (Default No)
3. Account Statement Requirement: ☐ Daily ☐ Fortnightly ☐ Weekly ☐ Monthly
4. Share Email Id with Registrar & Transfer Agent: ☐ Yes ☐ No (Default Yes)
5. CAS & Annual Reports receiving in: ☐ Electronic ☐ Physical (Default Electronic)
6. SMS Alert Facility: ☐ Yes ☐ No (Default Yes)
7. Do you wish to receive dividend/interest directly into bank account through ECS: ☐ Yes ☐ No (Default Yes)
8. Easi / Ideas: Yes/No. If yes, contact DP for details. [Facility through CDSL's website: www.cdslindia.com / NSDL's website: www.nsdl.co.in wherein BO can view ISIN balances, transactions and value of portfolio online]
9. I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end: ☐ Yes ☐ No (Default No)
10. I / We request you to send Electronic Transaction-cum-Holding Statement at the Email Id: ☐ Yes ☐ No (Default Yes)
11. Wish to receive copy of standard documents like Rights & Obligations, Terms & Conditions for receiving Email/SMS alerts Do's & Don'ts, Policies & Procedures and Welcome Letter: ☐ Electronic ☐ Physical (Default Electronic)
12. Account for holding and dealing electronic warehouse receipts. ☐ YES ☐ NO (Default No)

DECLARATION

We have read the Rights & Obligations of Beneficial Owner & Depository Participant and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. We declare that the particulars given by us above are true and to the best of our knowledge as on the date of making this application. We further agree that any false/misleading information given by us or suppression of any material information will render our account liable for termination and suitable action.

We agree and undertake to intimate the DP any change(s) in the details/particulars mentioned by us in this form, such as permanent/communication address, email id, mobile number, etc, to Central KYC Registry/KYC Registration Authority through the DP in the prescribed format.

We have understood the contents of Policies & Procedures, Tariff Sheet and Rights & Obligations document. We do hereby agree to be bound by such provisions as outlined in these documents. We have also been informed that the standard set of documents have been displayed for information on DP's designated website www.acumengroup.in

Place:

Date:

Signature **Y** 6

Option for Issue of Delivery Instruction Slip Booklet (DIS)

I / We hereby state that: [Select one of the options given below]

☐ **Option 1:** I/we require you to issue DIS to me/us immediately on opening my/our Demat Account though I/we have issued a Power of Attorney in favor of Acumen Capital Market (India) Ltd, Trading/Clearing Member for executing delivery instruction for setting stock exchanges trades (settlement related transactions) effected through such Trading/Clearing Member.

☐ **Option 2:** I/we do not require the DIS for the time being, since I/we have issued a Power of Attorney in favor of Acumen Capital Market (India) Ltd, Trading/Clearing Member for executing delivery instruction for setting stock exchanges trades (settlement related transactions) effected through such Trading/Clearing Member. However, the DIS booklet should be issued to me/us immediately on my/our request at any later date.

Signature **Y** 7

DECLARATION OF ULTIMATE BENEFICIAL OWNERSHIP (UBO)

A. For clients other than individuals or trusts:

I/ We hereby certify that below mentioned is the latest and updated list of natural persons, who whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest as follows:

- i. More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- ii. More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- iii. More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- iv. In case, if there exists doubt under the above points (i) to (iii), as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exercises control through ownership interests, the identity of the natural person exercising control over the juridical person through voting rights, agreement, arrangements or in any other manner.
- v. Where no natural person is identified under the above points (i) to (iv), the identity of the relevant natural person who holds the position of senior managing official.

Sr. No.	NAME	% of Holding	PAN	KRA Completed/applied

B. For client which is a trust:

I/ We hereby certify that following are the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership as follows:

Sr. No.	NAME	% of Holding	PAN	KRA Completed/applied

DECLARATION UBO

I/We acknowledge and confirm that the information provided above is/are true and correct to the best of my/our knowledge and belief. In the event any of the above information is/are found to be false/incorrect and/or the declaration is not provided, then the Investment Manager/Fund/Trustee shall reserve the right to reject the application and/or reverse the allotment of units and the Investment Manager/Fund/Trustee shall not be liable for the same. I/We hereby authorize sharing of the information furnished in this form with all SEBI Registered Intermediaries and they can rely on the same. In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit. I/We also undertake to keep you informed in writing about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

Signature **Y** g

Name:

Designation: ☐ Company Secretary ☐ Managing Director ☐ Whole Time Director

Date: / /

☐ Other _____

Place:

Note: The Listed Company and its subsidiaries are exempt from providing the UBO Declaration

Trading Tariff / Brokerage for MCX/NCDEX/ICEX/NSE/BSE

Segment	Offline Trade				Online Trade			
	On Turn Over (Maximum)	Client Preference	On Lot (Maximum)	Client Preference	On Turn Over (Maximum)	Client Preference	On Lot (Maximum)	Client Preference
Agri Commodities (Futures & Options)	2.5%		Rs. 250		2%		Rs. 200	
Non - Agri Commodities (Futures & Options)	2.5%		Rs. 250		2%		Rs. 200	
Other Charge: 0.004% on turnover is leviable extra; and for Futures & Options it will be 0.1% on premium								
Admin Charge of Rs.5 per order upto a maximum of Rs.100 per day is leviable extra								
Physical Contract Note / Statement of Account, Rs.5 per page (Minimum Rs.100) plus actual postage is leviable								
For Cheque Bounce/Dishonor/Cancellation, higher of Rs.500 or 1% per instance, plus actual bank charge is leviable								
Account Opening Charge is Rs.500 (One Time). Penalty on delayed payment will be charged @ 2% per month								
Request for Client Account Modification / Segment Modification / Addition will be charged Rs.200 per instance								
KRA/CKYC charge of Rs.100 (per instance) is leviable								
SMS/Email Alert charge of Rs.50 per month is leviable								
Stamp duty, GST, Exchange / Statutory charges will be charged extra as per applicable rules								

Y 9

RP Client Tariff for CCRL / NERL

Sl	Category	Tariff (Rs. Per MT or Part thereof)
1	Account Maintenance Charges (Per Quarter)	Rs.125
2	Pledge ^	Rs. 50
3	Depledge ^\$	Rs. 50
4	Invocation ^	Rs. 50
5	On market ^	Rs. 50
6	Off market ^	Rs. 100
7	Deposit ^	Rs. 100
8	Withdrawal ^	Rs. 100
9	Custody \$ ^	Rs. 100
10	Conversion ^	Rs. 100
11	Extension of validity ^	Rs. 100

Note:

- \$ - Rates are levied on the basis of Rupees per Metric Tonne (Rs/MT) or part thereof. Further the rates are levied every month for the duration for which the eNNWR/ eNWR is stored / present in the CCRL/NERL system.
- ^ - The rates are applicable on the basis of quintal or metric tonne or part thereof.
- Statutory Charges and Charges to Repository will be charged extra.

Authorization

I/We authorize you to transfer above repository services charges to my/our trading account with you after the transaction.

Signature
Y 10

Trading Tariff / Brokerage for NSE & BSE

Segment	Offline Trades	Client Preference	Online Trades	Client Preference
Equity Cash (Delivery)	Higher of 2.5% on turnover or 5 paise per share		Higher of 2% on turnover or 3 paise per share	
Equity Cash (Intra)	Higher of 2.5% on turnover or 5 paise per share		Higher of 2% on turnover or 3 paise per share	
Other Charge: 0.004% on turnover is leviable extra				
Admin Charge of Rs.5 per order upto a maximum of Rs.100 per day is leviable extra				
Physical Contract Note / Statement of Account, Rs.10 per page (Minimum Rs.250) plus postage is leviable				
For Cheque Bounce/Dishonor/Cancellation, higher of Rs.500 or 1% per instance, plus actual bank charge is leviable				
Settlement Charge of Rs.25 per instruction for debits from Client Margin Account to Member Pool Account				
Account Opening Charge is Rs.500 (One Time). Penalty on delayed payment will be charged @ 2% per month				
*Request for Client Account Modification / Segment Modification / Addition will be charged Rs.200 per instance				
*KRA/CKYC charge of Rs.100 (per instance) is leviable. SMS / Email Alert charge of Rs.50 per month is leviable				
Stamp duty, GST, Exchange / Statutory charges will be charged extra as per applicable rules				

Y
 11

DP Service Tariff for NSDL & CDSL Demat Accounts				
Sl	Description	Regular Account	BSDA > Rs 50000	BSDA =< Rs 50000
1	Power of Attorney Stamp Charges (One Time)	Rs.100	Rs.100	Rs.100
2	Account Maintenance Charges – Individual Account	Rs.399	Rs.100	NIL
3	Account Maintenance Charges – Non Individual Account	Rs.1000		
4	Dematerialisation Charges (Charged Upfront)	Rs.250 and Rs.150 Per Additional Certificate		
5	Rematerialisation Charges (Charged Upfront)	Rs.100 Per Certificate		
6	Mutual Fund Redemption (Charged Upfront)	Rs.50 Per Request		
7	On Market Debit Transfer within Acumen (for POA/DDPI/eDIS Transactions)	Rs.20 Per Instrn	Rs.35 Per Instrn	Rs.50 Per Instrn
8	On Market Debit Transfer within Acumen (for Non POA/DDPI/eDIS	Rs.50 Per Instrn	Rs.75 Per Instrn	Rs.100 Per Instrn
9	Off Market Debit Transactions within Acumen	Rs.150 per instruction or 0.03% whichever higher		
10	On Market & Off Market Debit Transactions Outside Acumen	Rs.250 per instruction or 0.05% whichever higher		
12	Margin Pledge - Creation / Invocation / Closure	Rs.15 per instruction		
13	MTF Pledge - Creation / Invocation / Closure	Rs.50 per instruction		
14	Normal Pledge - Creation / Invocation / Closure	Rs.50 per instruction		
15	Delivery Instruction Slip (DIS) Book	Rs.50 per book of 5 leaves		
16	Postage Charge for Demat/Remat/DIS Book etc (Every 100 grams)	Rs.100 (Rs.2000 outside India)		
Miscellaneous Charges				
1. Client Unpaid Securities Accounts (CUSA) Transaction Charges - Rs.20 (Per Instruction)				
2. For Physical Statements, Rs.10 per page plus postage charge is leviable				
3. Due Diligence / Document Verification Charges in connection with transmission of securities other than to nominee's account – Charges as Applicable				
4. KRA/CKYC Charge of Rs.100 per instance				
5. GST, Depository Charges, Exchange Charges and Other Statutory Charges will be charged extra as per applicable rules				

Authorization

I/We authorize you to transfer above depository services charges to my/our trading account with you after the transaction.

Signature
Y 12

APPENDIX A (VOLUNTARY)
Consent for Electronic Contract Notes & Demat Account Statements

To,
Acumen Capital Market (India) Limited

Dear Sir,

I/We, _____ a client with Acumen Capital Market (India) Limited, Member of NSE/BSE/MCX/NCDEX/ICEX/NSDL/CDSL/NERL/CCRL undertake as follows:

- ☐ I/We am aware that the Member has to provide physical contract note / statement of account in respect of all the trades / transactions placed by me unless I myself want the same in the electronic form.
- ☐ I/We am aware that the Member has to provide electronic contract note / statement of account for my convenience on my request only.
- ☐ Though the Member is required to deliver physical contract note / statement of account, I find that it is inconvenient for me to receive physical contract note / statement of account. Therefore, I am voluntarily requesting for delivery of electronic contract note / statement of account pertaining to all the trades / transactions carried out / ordered by me.
- ☐ I/We have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- ☐ My/our email id is* _____. This has been created by me and not by someone else. * (Email id must be written in own handwriting of client.)
- ☐ I/We am aware that this declaration form should be in English or in any other language known to me.
- ☐ I/We am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note / statement of account at the above Email Id.
- ☐ I/We reserve right to receive the physical contract notes / statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing to you.
- ☐ I/We undertake to intimate Acumen Capital Market (India) Limited in writing, whenever there is change in my/our email id.

The above consent have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same. Further I confirm that the dispatch of contract note/ statement of account to above email address shall constitute full and absolute discharge of your obligation with respect to my Trading & Demat Account with you.

Yours faithfully,

Signature Y 13

Verification of the client signature done by,
Name of the designated officer of the Member:
Signature:

Client name:

UCC Code:

Date:

Running Account Authorization (Voluntary)

To,
Acumen Capital Market (India) Limited

I/We are dealing through you as a client in securities/commodities segment in order to facilitate ease of operations, I/We hereby authorize you to maintain a running account instead of an account on 'settlement to settlement basis' for payout of funds/securities due to me/us unless specifically requested by me/us otherwise. All the funds and securities kept to my/our credit by you may be treated as upfront margins/ securities deposit, at per your discretion, for allowing exposure to me. Under this arrangement I/We shall not claim any interest on the funds and securities kept in the running account with you.

I/We have been duly informed, that I/We reserve the right to revoke the authorization by giving notice to you, and also understand that the revocation made by me/us shall not be applicable against the outstanding obligations across exchanges and that you shall retain such securities/funds expected to be required for meeting the obligations/margin obligations, as calculated in the manner specified by the member/exchanges.

I/We authorize you to hold my/our securities/commodities received as payout in your Pool/Beneficiary account as security margin for availing limits for trading purpose & further authorize you to utilize the same to meet my/our existing and future payin obligations with you. I/We further authorize you to charge cost of holding securities/commodities to my/our account with you including the charges for effecting the payin on my/our behalf.

I/We request you to settle my/our fund and securities/commodities account

- ☐ Once every 30 days
☐ Once every 90 days

In case I/We have an outstanding obligation on the settlement date, you may retain the requisite funds/ securities/commodities towards such obligations, and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. I/We further authorize, you to also retain an amount as may be permitted by SEBI/Exchange from time to time, while settling my/our account. I/We agree that you shall not be liable for any claim for loss or loss of profit or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such funds/securities/commodities.

I/We agree to bring to your notice in writing at your registered office, in case any discrepancy is observed in the statement of account/securities/commodities, within 7 working days from the date of receipt of such statement. I/We also agree that if discrepancy if any, is not addressed to you in writing within 7 working days by me/us, then the statement of account/securities/commodities sent by you to me/us by any permissible mode of communication shall be deemed to be correct and stand deemed to be confirmed by me.

I/We further agree and confirm that above agreed periodic settlement of running account may not be necessary, if availed margin trading facility as per SEBI guidelines or if provided funds received towards collaterals/margins in the form of Bank Guarantee (BG)/ Fixed Deposit Receipts (FDR).

Signature

☒ 14

Client name:

UCC Code:

Date:

Demat Debit and Pledge Instructions (DDPI)

KNOW ALL MEN BY THESE PRESENTS THAT,

I / We _____

S/o, D/o, _____ aged about _____ Yrs

I / We _____

S/o, D/o, _____ aged about _____ Yrs

I / We _____

S/o, D/o, _____ aged about _____ Yrs

residing/having our office/registered office at _____

 an individual / a sole proprietary concern / a partnership firm / a body corporate/ trust, registered / incorporated, under the provisions of the Indian Partnership Act, 1932 / the Companies Act 1956 or any relevant Act, (hereinafter referred to as "**Beneficial Owner**")

 Whereas I / We hold Beneficial Owner account number _____ with Central Depository Services (India) Limited (CDSL) / National Securities Depository Limited (NSDL), through **Acumen Capital Market (India) Limited** registered with Securities and Exchange Board of India (SEBI) bearing Id IN-DP-40-2015, having its registered office at **II Floor, ST Reddiar & Sons Building, Veekshanam Road, Kochi - 682035, Kerala**, hereinafter called "**ACMIL**", which expression shall, unless repugnant to the context or meaning there of, be deemed to mean and include its executors, administrators, successors and assigns by way of amalgamation and/or merger.

And Whereas

 I/We are desirous to buy and sell securities through ACMIL who is a Member of National Stock Exchange of India Limited (NSE), Bombay Stock Exchange limited (BSE), Multi Commodity Exchange of India Limited (MCX) & National Commodity & Derivatives Exchange Limited (NCDEX) (hereinafter referred to as "the Exchange") bearing SEBI registration No. **INZ000170434**

Whereas in the course of availing the services and for meeting the margin and settlement obligation thereof on the exchanges and in order to make the process more transparent and simpler, I/We explicitly agree to access my/our BO account by ACMIL for the limited purposes as mentioned herein.

SI	Purpose	Signature of the Client
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through ACMIL.	<input checked="" type="checkbox"/> 15
2	Pledging / Re-pledging of securities in favour of Trading Member (TM) / Clearing Member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange through ACMIL.	<input checked="" type="checkbox"/> 16

SI	Purpose	Signature of the Client
3	Mutual Fund Transactions being executed on Stock Exchange order entry platforms	<input type="checkbox"/> 17
4	Tendering securities in open offers through Stock Exchange platforms	<input type="checkbox"/> 18

I / We hereby authorize **Acumen Capital Market (India) Limited** to transfer the securities from my /our beneficiary account to the given demat accounts as mentioned herein below towards delivery settlement arising out of trades executed on the Stock Exchange and Pledging / Re-pledging of securities in favour of trading member (TM) / Clearing Member (CM) towards meeting margin requirements.

Beneficiary Id	CM BP Id	Purpose	Beneficiary Id	Purpose
12075800 00383996 IN300896 10000617	IN555279	NSE Payin	11000011 00020297	NSE Early Payin
12075800 00008015 IN300896 10076253	IN651774	BSE Payin	11000010 00019181	BSE Early Payin
12075800 00517455	BSE - CM Principal Account		1207580000517474	BSE - CM Pool Account
IN300896 10632832 / 12075800 00376883			Client Securities Margin Pledge Account	
IN300896 10632849 / 12075800 00385269 IN300896 10634762 / 12075800 00383787			Client Securities under Margin Funding Account	
IN300896 10630044 / 12075800 00206921			Client Unpaid Securities Account	

I / We hereby agree that all such acts done by my /our above mentioned accounts shall be deemed to be acts done by me / us.

This is a Revocable Demat Debit and Pledge Instructions (DDPI).

I/we agree that ACMIL would return to client(s), the securities or fund that may have been received by it erroneously or those securities or fund that it was not entitled to receive from client(s). I/we further agree and confirm that the powers and authorities conferred by this Demat Debit and Pledge Instructions (DDPI) shall continue until it is revoked as per a communication in writing issued to ACMIL by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by ACMIL in its office at **II Floor, ST Reddiar & Sons Building, Veekshanam Road, Kochi - 682035, Kerala.**

Signed and delivered by the within named Beneficial Owner/s.

Dated: _____

☐ 19

Consent for Mobile and EMail Registration



To,

Acumen Capital Market (India) Limited

I/We hereby request you to update my/our Email and Mobile in my/our Demat Account and Trading Account with you. Send all your communication pertaining to all my/our transactions in Demat Account and Trading Account, like Confirmations, Contract Notes, Intimation of Margin, any other communication from your compliance point of view, etc., to below mentioned Mobile Number/ Email Id, even if my/our Mobile Number is registered under do not call registry.

Mobile Number: _____

Email Id: _____

The said mobile number is registered in the name of _____

☐ Self ☐ Spouse ☐ Dependent Child ☐ Dependent Parent (Please attach valid document to support relationship)

The said email id is registered in the name of _____

☐ Self ☐ Spouse ☐ Dependent Child ☐ Dependent Parent (Please attach valid document to support relationship)

PAN of account holder (in case if mobile/email already exists): _____

Signature ☒ 20

ACKNOWLEDGEMENT OF COPY OF THE DOCUMENTS EXECUTED

I hereby acknowledge that I have received the copy of all the documents executed with regard to the Client Registration with M/s. Acumen Capital Market (India) Ltd.

I acknowledge the receipt of copy of the document, "Additional Rights and Obligations for Broking and Other Products and Services." I understand and acknowledge that this is a voluntary (non-mandatory) document for availing value added products and services as provided by Acumen Capital Market India Ltd. and unconditionally agree to abide by the terms and conditions mentioned therein. I agree that I will receive an electronic copy/ physical copy of the said document after I am enrolled as a client of Acumen Capital Market India Ltd.

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of **Acumen Capital Market (India) Ltd.**

Name of the Client :

Signature of the Client : ☒ 21