



CENTRUM BROKING LIMITED

SEBI REGISTERED NSE, BSE AND MSEI MEMBER, DEPOSITORY PARTICIPANT AND PORTFOLIO MANAGER

Registered Office : Bombay Mutual Bldg., 2nd Floor, Dr. D. N. Road, Fort, Mumbai - 400 001.

CIN : U67120MH1994PLC078125

Application No.: _____

CLIENT REGISTRATION KIT **(ACCOUNT OPENING FORM)**

Client Name: _____

Client Code: _____

DP ID: _____ Client ID: _____

Branch Name:& Branch Code: _____

C-NTRUM

Non Individual

CENTRUM BROKING LIMITED

Registered office :
 Bombay Mutual Building, 2nd Floor,
 Dr D N Road, Fort, Mumbai – 400 001.
 Tel No : +91 22 22662434
 Fax No : +91 22 22611105
 Website : www.centrumbroking.com

Corporate Office & Correspondence Address :
 Centrum House, CST Road, Near Bandra Kurla Complex,
 Vidya Nagari Marg, Kalina, Santacruz (East),
 Mumbai – 400 098.
 Tel No : +91 22 42159000
 Fax No : +91 22 42159344
 Website : www.centrumbroking.com

Centrum Broking Limited is engaged in client based business and proprietary trading as well. This disclosure is made in pursuance of SEBI circular no. SEBI/MRD/SE/Cire-42/2003 dated 19th November 2003.

LIST OF REGISTRATION

Segment / Activity	Exchange / Regulator	Single – Registration No./Approval No.	Date of Registration
CAPITAL MARKET	BSE	INZ000205331	08/10/2018
	NSE		
DERIVATIVES	NSE		
CURRENCY DERIVATIVES	MSEI		
	NSE		
DP ID	CDSL	12200	12/07/2012
DP	CDSL - SEBI	IN-DP-CDSL-661-2012	12/07/2012
PMS	PMS - SEBI	INP 000004383	29/08/2012

Compliance Officer :
Shivshankar Kamath
 TEL NO : +91 22 42159106
 EMAIL ID : compliance@centrum.co.in

CEO :
SANDEEP NAYAK
 TEL NO : +91 22 42159413
 EMAIL ID : sandeep.nayak@centrum.co.in

Signature of client : Signatures AS 1 - 19 

GRIEVANCE REDRESSAL MECHANISM

For any grievance/dispute please contact Centrum Broking Limited at the correspondence address or email id- investor.grievances@centrum.co.in and Phone No. : 91-22 42159000.

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

NSE Investor Grievance cell / Arbitration:

Tel.: (022) 2659 8173 / 1800220058

Fax No.: (022) 2659 8191

Email : ignse@nse.co.in

Bombay Stock Exchange Limited:

Tel.: (022) 2272 8286

Fax No.: (022) 2272 8097

Email : is@bseindia.com

Email : yogesh.bambardekar@bseindia.com

Metropolitan Stock Exchange of India Ltd.

E-mail: investorcomplaints@msei.com Tel No: 022-61129000 Extension: 9028

In case of any grievance / complaint against Centrum Broking Limited as Depository Participant, if you are not satisfied with the response received, you may contact CDSL on:

Phone: 1800-200-5533

Website: www.cdslindia.com

E-mail: complaints@cdslindia.com

You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.

INSTRUCTIONS / CHECK LIST**1. Additional documents in case of trading in derivatives segments - Illustrative list:**

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

**In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. a. Form need to be initialized by all the authorized signatories.
b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

SEBI / KRA - INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM (Non - Individuals)**A. IMPORTANT POINTS:**

- Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/ Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
- 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:

- Unique Identification Number (UID) (Aadhaar)/ Pass port/ Voter ID card/ Driving license.
- PAN card with photograph.
- 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/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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)	<ul style="list-style-type: none"> Copy of SEBI registration certificate. Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead. Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> 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.

INDEX

S. No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/checklist.	8 - 9
		B. Document captures the additional information about the Constituent relevant to trading account.	10- 12
2	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	13
3	Rights and Obligations	Document stating the Rights & Obligations of stock broker /trading member and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Document uploaded on Centrum broking's Website
4	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Document uploaded on Centrum broking's Website
5	Guidance note	Document detailing do's and dont's for trading on exchange for education of investors	Document uploaded on Centrum broking's Website
6	Policies and Procedures	Document describing significant policies and procedures of Stock Broker.	Document uploaded on Centrum broking's Website
7	Demat Account Details	Additional Details required for Operating DP account.	14
8	Other Details	Other details Applicable to DP account	15 - 22
VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
9	Risk Profiler	Documents capturing risk appetite of client	23 - 25
10	Running Account Authorization	Running Account Authorization Letter for settlement of account periodically	26
11	ECN Mandate	For Receiving Contract Note and Other documents in Electronic Mode.	27
12	FATCA & CRS Forms	Forms capturing information regarding Tax Residency status /Nationality / Tax Identification Numbers and Such other details	28 - 31
13	Additional Terms and Conditions	Documents complements certain aspects of trading transactions which are not elaborated in other mandatory documents further it also seeks approval of the client to carry out certain transactions in mutual benefits of the member and the client.	32 - 35

A Clarification / Guidelines for filling Entity Details section

1 Entity Constitution Type

A - Sole Proprietorship	H - Trust	O - Artificial Jurisdical Person
B - Partnership Firm	I - Liquidator	P - International Organisation or Agency /Foreign Embassy or Consular Office etc.
C - HUF	J - Limited Liability Partnership	Q - Not Categorized
D - Private Limited Company	K - Artificial Liability Partnership	R - Others
E - Public Limited Company	L - Public Sector Banks	S - Foreign Portfolio Investors
F - Society	M - Central/State Government Department or Agency	
G - Association of Persons (AOP) / Body of Individuals (BOI)	N - Section 8 Companies (Companies Act, 2013)	

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available.

B Clarification / Guidelines for filling 'Proof of Identity[Pol]' section

- 1 Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- 2 Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- 3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- 4 'Equivalent e-document' means an electronic equivalent of a document, issued by the Issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines for filling 'Proof of Address [PoA]' section

- 1 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 2 Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines for filling 'Contact Details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

E Clarification / Guidelines for filling 'Related Person Details' section

- 1 Personal Details
 - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Proof of Address [PoA]
 - PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
 - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
 - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
 - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.
- 3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- 4 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F Provision for capturing signature of multiple authorised persons is to be made by the RE.

List of two digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State/U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chhattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GO	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Island	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Island	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Moyotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SI
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NZ	Taiwan province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hongkong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire ICote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion Reunion	RE	Virgin Island, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao ICuracao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy ISaint Barthelemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French Part)	MF		

Know Your Client (KYC) Application Form - for Non Individuals



Please fill this form in English and BLOCK Letters

(Please tick the box on the left margin of the appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding window)

For office use only		Application Type* <input type="checkbox"/> New <input type="checkbox"/> Update	
(To be filled by financial institution)		KYC Number	(Mandatory for KYC update request)
1. ENTITY DETAILS* (Please refer instruction A at the end)			
<input type="checkbox"/> Name*			
Entity Constitution Type* <input type="checkbox"/> Others (Specify) (Please refer Instructions A (1))			
Date of Incorporation / Formation*		Date of Commencement of Business	
Place of Incorporation / Formation*		Country of Incorporation / Formation* TIN or Equivalent Issuing Country	
PAN *		Form 60 furnished Registration no (eg. CIN)*	
TIN / GST Registration Number			
2. PROOF OF IDENTITY (PoI)* (Please refer instruction B at the end)			
<input type="checkbox"/> Officially valid document(s) in respect of person authorised to transact			
<input type="checkbox"/> Certificate of Incorporation / Formation		<input type="checkbox"/> Registration Certificate	
<input type="checkbox"/> Memorandum and Articles of Association		<input type="checkbox"/> Partnership Deed	
<input type="checkbox"/> Resolution of Board / Managing Committee		<input type="checkbox"/> Trust Deed	
<input type="checkbox"/> Activity Proof - 1 (For Sole Proprietorship Only)		<input type="checkbox"/> Activity Proof - 2 (For Sole Proprietorship Only)	
3. ADDRESS* (Please see instruction C at the end)			
3.1 Registered Office Address / Place of Business*			
Proof of Address* <input type="checkbox"/> Certificate of Incorporation / Formation <input type="checkbox"/> Registration Certificate <input type="checkbox"/> Other Document			
Line 1*			
Line 2			
Line 3			
City / Town / Village*			
District*			
PIN / Post Code*			
State / U.T Code*			
ISO 3166 Country Code*			
3.2 Local Address in India (If different from Above)*			
Line 1*			
Line 2			
Line 3			
City / Town / Village*			
District*			
PIN / Post Code*			
State / U.T Code*			
ISO 3166 Country Code*			
4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction D at the end)			
Tel. (Off)			
FAX			
Mobile			
Email ID			
5. NUMBER OF RELATED PERSONS			

6. REMARKS (If any)	
7. APPLICANT DECLARATION (Please refer instruction G at the end)	
<p>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.</p> <p>I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.</p>	
Date : <input type="text"/>	Place : <input type="text"/>
As 1 - [Signature / Thumb Impression]	
Signature / Thumb Impression of Authorised Person(s)	
8. ATTESTATION / FOR OFFICE USE ONLY	
Documents Received <input type="checkbox"/> Certified Copies <input type="checkbox"/> Equivalent e-document <input type="checkbox"/>	
KYC VERIFICATION CARRIED OUT BY	
Identity Verification <input type="checkbox"/> Done <input type="checkbox"/> Date <input type="text"/>	
Emp. Name <input type="text"/>	
Emp. Code <input type="text"/>	
Emp. Designation <input type="text"/>	
Emp. Branch <input type="text"/>	
[Employee Signature]	
INSTITUTION DETAILS	
Name <input type="text"/>	
Code <input type="text"/>	
[Institution Stamp]	

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

<p>Full Name*(Same as ID proof) _____</p> <p>Maiden Name _____ DOB* _____ (DD/MM/YYYY)</p> <p>Father/ Spouse name _____</p> <p>Mother Name _____ Gender* _____</p> <p>PAN* _____ Aadhaar no _____ Nationality* _____</p> <p>Address* _____</p> <p>_____</p> <p>City* _____ District* _____ State* _____</p> <p>Country* _____ Pin code* _____ DIN* _____ (Mandatory for Director)</p> <p>Related Person Type* <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Partner <input type="checkbox"/> Authorised Signatory</p> <p><input type="checkbox"/> Court appointment official <input type="checkbox"/> Proprietor <input type="checkbox"/> Beneficiary <input type="checkbox"/> Beneficial owner <input type="checkbox"/> POA holder <input type="checkbox"/> Other (specify)</p> <p>Proof of ID submitted _____ Proof of Address submitted _____</p> <p>Mobile no _____ Email id _____</p>	<p>PHOTOGRAPH</p> <p>Please affixed your recent passport size photograph</p>
<p>Full Name*(Same as ID proof) _____</p> <p>Maiden Name _____ DOB* _____ (DD/MM/YYYY)</p> <p>Father/ Spouse name _____</p> <p>Mother Name _____ Gender* _____</p> <p>PAN* _____ Aadhaar no _____ Nationality* _____</p> <p>Address* _____</p> <p>_____</p> <p>City* _____ District* _____ State* _____</p> <p>Country* _____ Pin code* _____ DIN* _____ (Mandatory for Director)</p> <p>Related Person Type* <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Partner <input type="checkbox"/> Authorised Signatory</p> <p><input type="checkbox"/> Court appointment official <input type="checkbox"/> Proprietor <input type="checkbox"/> Beneficiary <input type="checkbox"/> Beneficial owner <input type="checkbox"/> POA holder <input type="checkbox"/> Other (specify)</p> <p>Proof of ID submitted _____ Proof of Address submitted _____</p> <p>Mobile no _____ Email id _____</p>	<p>PHOTOGRAPH</p> <p>Please affixed your recent passport size photograph</p>
<p>Full Name*(Same as ID proof) _____</p> <p>Maiden Name _____ DOB* _____ (DD/MM/YYYY)</p> <p>Father/ Spouse name _____</p> <p>Mother Name _____ Gender* _____</p> <p>PAN* _____ Aadhaar no _____ Nationality* _____</p> <p>Address* _____</p> <p>_____</p> <p>City* _____ District* _____ State* _____</p> <p>Country* _____ Pin code* _____ DIN* _____ (Mandatory for Director)</p> <p>Related Person Type* <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Partner <input type="checkbox"/> Authorised Signatory</p> <p><input type="checkbox"/> Court appointment official <input type="checkbox"/> Proprietor <input type="checkbox"/> Beneficiary <input type="checkbox"/> Beneficial owner <input type="checkbox"/> POA holder <input type="checkbox"/> Other (specify)</p> <p>Proof of ID submitted _____ Proof of Address submitted _____</p> <p>Mobile no _____ Email id _____</p>	<p>PHOTOGRAPH</p> <p>Please affixed your recent passport size photograph</p>
<p>Full Name*(Same as ID proof) _____</p> <p>Maiden Name _____ DOB* _____ (DD/MM/YYYY)</p> <p>Father/ Spouse name _____</p> <p>Mother Name _____ Gender* _____</p> <p>PAN* _____ Aadhaar no _____ Nationality* _____</p> <p>Address* _____</p> <p>_____</p> <p>City* _____ District* _____ State* _____</p> <p>Country* _____ Pin code* _____ DIN* _____ (Mandatory for Director)</p> <p>Related Person Type* <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Partner <input type="checkbox"/> Authorised Signatory</p> <p><input type="checkbox"/> Court appointment official <input type="checkbox"/> Proprietor <input type="checkbox"/> Beneficiary <input type="checkbox"/> Beneficial owner <input type="checkbox"/> POA holder <input type="checkbox"/> Other (specify)</p> <p>Proof of ID submitted _____ Proof of Address submitted _____</p> <p>Mobile no _____ Email id _____</p>	<p>PHOTOGRAPH</p> <p>Please affixed your recent passport size photograph</p>

AS 2

Name and Signature of Authorised signatory
(With Entity Seal/ Stamp)

Date: _____

TRADING ACCOUNT RELATED DETAILS

Mode in which you wish to receive the RDD, Rights & Obligations, and Guidance Note: Physical ☐ Electronic ☐

A. Bank account details

Bank Code (9 digit MICR code)										IFS Code (11 character)										
Account number																				
Bank Name																				
Branch Name																				
Account type																				
Bank Branch Address																				
City											State									
Country											PIN code									

Note : Please provide the above details with care as the same shall be used for payment through NEFT / RTGS.

- (i) photocopy of the cancelled cheque having the name of account holder where the cheque book is issued, (or)
- (ii) photocopy of the bank Statement having name and address of the BO / Client and not more than 3 Months Old, (or)
- (iii) photocopy of the passbook having name and address of the BO / Client, (or)
- (iv) Letter from the Bank.

In case options (ii)(iii) and (iv) above, MICR Code of the branch should be present / mentioned on the document should be self certified by the BO / Client.

B. Other Details

1. Gross Annual Income Details Please tick (✓): ☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs
☐ 25 - 1 cr ☐ More than 1 cr

2. Net-worth in ₹. (*Net worth should not be older than 1 year) _____ as on (date) | d | d | / | m | m | / | y | y | y | y |

3. Is the entity involved/providing any of the following services

- Foreign Exchange / Money Changer Services ☐ YES ☐ NO
 Gaming/Gambling/Lottery Services (e.g. Casinos, betting syndicates) ☐ YES ☐ NO
 Money Lending/ Pawning ☐ YES ☐ NO

4. Any other information: _____

C. 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 _____

D. Depository account(s) details

Depository Name: NSDL ☐ CDSL ☐

Depository Participant Name																			
Beneficiary Name																			
Depository ID																			

E. Introducer details (optional)

Name of the Introducer																			
Status of the Introducer - Sub-broker/Remisier/Authorized																			
Person/Existing Client																			
Phone Number																			

TRADING PREFERENCE

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

EXCHANGE	SEGMENTS	SIGNATURE
National Stock Exchange of India Limited	Capital Market	AS 3
Bombay Stock Exchange Limited	Cash	AS 4
EXCHANGE	SEGMENTS	SIGNATURE
National Stock Exchange of India Limited	Futures & Options (Sign only after submitting the documents prescribed in clause 1 of the instruction/checklist)	AS 5
	Currency Derivative (Sign only after submitting the documents prescribed in clause 1 of the instruction/checklist)	AS 6

If in future the client wants to trade on any additional exchange / segment, a separate authorization letter clearly mentioning the name of the exchange and segment can be submitted by the client.

ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): _____
- Specify your Email id, if applicable: _____
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): _____
- Number of years of Investment/Trading Experience: _____
- Any other information: _____
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: _____

DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

If Client is dealing through the sub-broker, provide the following details:

Sub-broker's Name:

SEBI Registration number:

Registered office address

Phone Fax

Website

RBI Registration no. (If applicable) Date

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of stock broker

Name of Sub-Broker, if any:

Client Code: Exchange:

Details of disputes/dues pending from/to such stock broker / sub-broker:
(use extra sheet if required)

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 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 and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
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 i.e. Centrumbroking.com

Place : _____

Date : AS 7 

Signature of the Client

FOR OFFICE USE ONLY

UCC Code allotted to the Client

	Documents verified with Originals	Client Interviewed By
Name of the Employee		
Employee Code		
Designation of the employee		
Date		
Signature		

I / We undertake that we have made the Client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the Client aware of 'Rights and Obligations' document (s), RDD and 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 non-mandatory documents would be duly intimated to the clients.

I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website www.centrumbroking.com, if any, for the information of the clients.

Signature of the Authorised Signatory

Date : 

Seal/Stamp of the Centrum Broking Limited

SCHEDULE OF CHARGES (TRADING)

<input type="checkbox"/> Standard Rates	Brokerage Delivery: 0.50 % min. 0.05% Intraday 0.05% (each leg) min. 0.05% Furthers: 0.05%% min. 0.02% Option: 100/- per lot Currency Derivative: 100/- per lot Clearing Charges: 0.00025% of Futures and Currency Derivative Turnover 0.0750% Options Premium Turnover
<input type="checkbox"/> Special Rates for a limited period - These Special rates may be withdrawn at the option of broker and "Standard Rates" may be levied.	Brokerage Delivery: ____ % min. ____ % Intraday ____ % (each leg) min. ____ % Furthers: ____ % min. ____ % Option: ____/- per lot Currency Derivative: ____/- per lot Clearing Charges: 0.00025% of Futures and Currency Derivative Turnover 0.0750% Options Premium Turnover

Please mark any one scheme: (If not marked/filled Standard rates apply)

Other Charges:

Sr. No.	Particulars	Charges
1	Exchange pay in for customers from collateral account or Inter settlement security transfer.	Rs. 10/- per transaction*
2	Cheque bounce charges	Rs. 500/- per presentment*
3	Duplicate statement (printed statement to be couriers)	Rs. 100/- per request*
4	Contract Note Charges (Additional physical copy)	Rs. 50/- per request*
5	Handing Charges (Additional copy)	Rs. 50/- or as maybe changed from time to time
6	Physical delivery charges	Rs. 1500/- per crore

Notes:

1. Centrum Broking Ltd reserves the right to revise the fees / charges with prior intimation to Client electronically or otherwise and such charges shall be effective from the seventh day of such intimation.
2. All other statutory, regulatory and contractual charges including STT, Stamp duty, GST, SEBI fees, Exchange Turnover charges as applicable.

AS 8 

Signature of the Client

X

RM Signature

This Space Is Intentionally Kept Blank

ADDITIONAL DETAILS REQUIRED FOR TRADING AND DEMAT ACCOUNT

SUB-STATUS (Please select one)

<input type="checkbox"/> INDIVIDUAL	<input type="checkbox"/> Individual resident <input type="checkbox"/> Individual margin trading a/c (mantra) <input type="checkbox"/> Individual director Relative <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Individual promoter <input type="checkbox"/> Individual director <input type="checkbox"/> Minor <input type="checkbox"/> Other (specify) _____										
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> NRI depository receipt <input type="checkbox"/> Other (specify) _____										
<input type="checkbox"/> FOREIGN NATIONAL	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository receipt <input type="checkbox"/> Other (specify) _____										
<input type="checkbox"/> NON-INDIVIDUAL	<input type="checkbox"/> Pvt. Ltd. Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank Govt. <input type="checkbox"/> Body <input type="checkbox"/> Non-Govt. <input type="checkbox"/> Organisation <input type="checkbox"/> Defence Establishment <input type="checkbox"/> BOI <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> OCB <input type="checkbox"/> Mutual Fund <input type="checkbox"/> CM <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (specify) _____										
	SEBI Registration No. (If applicable)		SEBI Registration date	D	D	M	M	Y	Y	Y	Y
	RBI Registration No. (If applicable)		RBI Approval date	D	D	M	M	Y	Y	Y	Y
	Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other (specify) _____									

CATEGORIZATION OF THE CLIENT

<input type="checkbox"/> Retail	<input type="checkbox"/> HNI	<input type="checkbox"/> Police	<input type="checkbox"/> Govt. Official	<input type="checkbox"/> Civil Servant / IAS Officer	<input type="checkbox"/> Advocate	<input type="checkbox"/> Politician
<input type="checkbox"/> Film Star / Model	<input type="checkbox"/> Employee	<input type="checkbox"/> Research	<input type="checkbox"/> Associate Journalist	<input type="checkbox"/> Other (specify) _____		

I/We request you to open a demat account in my/ our name as per following details:-

HOLDER DETAILS

Holders Details

Sole / First Holder's Name		PAN														
		UTD														
		UCC														
Second Holder's Name		Exchange Name & ID														
		PAN														
		UTD														
Third Holder's Name		PAN														
		UTD														

FIRMS / AOP / TRUST ETC.

Name		PAN													
------	--	-----	--	--	--	--	--	--	--	--	--	--	--	--	--

* In case of Firms, Association of persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above

APPLICABLE TO DP ACCOUNTS

Depository Participant Name : **CENTRUM BROKING LIMITED**Address : **Bombay Mutual Bldg., 2nd Floor, Dr. D. N. Road, Fort, Mumbai - 400 001.**

(To be filled by the Depository Participant)

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.										
DP ID	1	2	0	1	2	2	0	0	Client ID	

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/ our name as per following details:-

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No

Do you wish to receive dividend / interest directly in to your bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
---	--

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. +91 <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"/> [[Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).
Easi	To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further instruction from my / our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the annual Report (Tick the applicable box. If not marked the default option would be Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic

Transactions Using Secured Texting Facility (TRUST),
Refer to Terms and Conditions Annexure-2.6

I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility, I have read and understood the Terms and Conditions prescribed by CDSL for the same.

☐ Yes ☐ No

I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST

Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

AS 9 

Signature of Client

Date _____

OPTION FORM FOR ISSUE OF DIS BOOKLET

To,
Centrum Broking Limited (CBL)
Registered Office : Bombay Mutual Bldg., 2nd Floor,
 Dr. D. N. Road, Fort, Mumbai - 400 001.

Date :
 DP Id : 12200

Dear Sir/Madam

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

☐ **OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with Centrum Broking Limited (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

OR

☐ **OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with Centrum Broking Limited (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

AS 10 

Signature of Client

Date _____

(Signatures should be preferably in black ink).

----- (Please Tear Here) -----

Acknowledgement Receipt

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from

DP ID	1	2	0	1	2	2	0	0	Client ID								
Name of the Sole / First Holder																	
Name of Second joint Holder																	
Name of Third joint Holder																	

Centrum Broking Limited



Seal and Signature

Combined Registration Form for availing SMS Alert and /or TRUST facility and for registering Clearing Members on whose behalf the securities can be transferred from the account of BO on the basis of SMS under TRUST facility

To,

Centrum Broking Limited

Centrum House, CST Road, Near Bandra Kurla Complex,
Vidya Nagari Marg Kalina, Santa Cruz (East),
Mumbai - 400 098.

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL

- a. SMART-SMS alert facility
b. TRUST- Transaction using Secured Texting facility
(please note that SMS alert facility is mandatory if TRUST facility is opted for)

BOID:

1	2	0	1	2	2	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

I/We wish to register the following clearing members / IDs under my/our above mentioned BO ID registered for TRUST

Sr. No.	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

Mobile no. on Which messages Are to be sent

+91															
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

(Existing users registered for SMS alerts:- Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)

The mobile number is registered in the name of:

(Name) _____


Email ID: _____

(Please write only ONE valid email ID on which communication; if any, is to be sent)

I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purpose of availing the said facility.

I/we acknowledge that transactions entered by the above clearing members will be executed on the basis of SMS sent through our registered mobile number under TRUST and I/we shall be wholly responsible for execution / non-execution of the said transactions based on receipt/non-receipt of such SMS.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

AS 11 

Signature of Client

Date _____

Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL

1. Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.

10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.

17. Indemnity:

In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

18. Disclaimer:

Depository shall be absolved of any liability in case:-


- a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
- b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
- c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

DEPOSITORY CHARGES (Please TICK ONLY ONE)				
Particulars/Scheme	Signature (Only for PMS)☐	Gold Scheme ☐	Special 1 ☐	Special 2 ☐
Deposit/ Account opening charges	Nil			
Agreement documentation charges (At the time of opening CDSL account)	Nil			
Annual Maintenance charges	Nil	Nil	₹ 999	₹ 1,999- Life Time One Time AMC
Custody charges/ Booklet Charges/ Account closing charges	Nil			
Demat charges	₹ 100/- per DRF	₹ 100/- per DRF and ₹ 10/- per certificate	₹ 50/- per DRF and ₹ 5/- per certificate	₹ 30/- per DRFand ₹ 3/- per certificate
Demat rejection charges	₹ 100/- per DRF			
Rematerialization charges	₹ 100/- per DRF	₹ 100/- per certificate +CDSLchargesonactuals	₹ 50/- percertificate + CDSL charges on actuals	₹ 30/- per certificate + CDSL charges on actuals
Transaction charges (Sell Through Centrum Broking Ltd) off - market/On - market	Credit and Debit transactions –Nil	0.02% of the value; subject to a min ₹ 25/- per transaction	Debit/ sell ₹25/- per transaction	Debit/ sell ₹ 15/- per transaction
Transaction charges (Outside Centrum Broking Ltd)	Credit- Nil; Debit transactions - 25/- per ISIN	0.02% of the value; subject to a min ₹ 25/- per transaction	Debit/ sell ₹25/- per transaction	Debit/ sell ₹ 15/- per transaction
Failed instruction charges	₹ 10/- per ISIN			
Pledge charges for creation/ closure/ invocation/ confirmation	₹ 100/- per ISIN	0.02% of the value; subject to a min ₹ 25/- per transaction	0.02% of the value; subject to a min ₹25/- per transaction; max cap of ₹2,500/-	0.02% ofthevalue; subject to a min ₹25/- per transaction; max cap of ₹1,500/-
Monthly/ quarterly/ transaction statement email	Nil			
Additional account statement (Physical)	₹100/-			
Additional account statement (Electronic)	25/-		Nil	
Other charges	Rs. 500/- for cheque bounce/ NDU charges Rs.0.02% Min Rs.50			
Account closure charges	Nil		Nil	
Late Transaction charges Margin Pledge / Un-Pledge	Nil ₹ 15/- Per ISIN		₹ 20/- per ISIN ₹ 15/- Per ISIN	

Notes

- Centrum Broking Ltd (CBL) reserves the right to revise its charges / billing structure at its discretion.
- Cheques / pay orders / DD should be drawn in favour of "Centrum Broking Limited".
- Payment of AMC for the first year to be made at the time of account opening.
- DP charges will be debited to the CBL broking account ledger when applicable
- Amounts are exclusive of taxes and statutory levies which will be charged as actuals
- Any services not covered above shall be charged separately
- For corporates / non-individual accounts AMC levied by CDSL will be recovered in addition to the above specified charges which is 500 per annum computed on a pro rata (FY) basis for corporate accounts
- 1, 999 plan account maintenance charges are refundable only on account closure after two years, if the DP account has been seeing one transaction at least once a month for two years

I/We AGREE TO PAY THE ABOVE CHARGES AS PER THE SCHEME CHOSEN

AS 12 

Signature of the Client (First Holder)

Place: _____

DECLARATION

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

I/We acknowledge the receipt of documents containing Rights and Obligations applicable for DP account and further confirm that I / We understood the contents of `Rights and Obligations`.

AS 13 

Signature of Client

Date _____

FINANCIAL RISK PROFILER - FOR NON-INDIVIDUALS

Group A

1. As an organization what do you normally associate with the word 'risk'?	
a. Gain	<input type="checkbox"/>
b. Opportunity - Let's try	<input type="checkbox"/>
c. Uncertainty - Need Advice	<input type="checkbox"/>
d. Danger	<input type="checkbox"/>
2. Your present business / financial situation is	
a. Is not dependable	<input type="checkbox"/>
b. Is relatively secure	<input type="checkbox"/>
c. Fully secure	<input type="checkbox"/>
d. Doesn't matter as you already have enough capital / wealth	<input type="checkbox"/>
e. Can easily find an equally an alternate business line / source of funds	<input type="checkbox"/>
3. What is your expectation of how your future earnings would be?	
a. It would far outpace inflation	<input type="checkbox"/>
b. It would be somewhat ahead of inflation	<input type="checkbox"/>
c. It would keep pace with inflation	<input type="checkbox"/>
d. It may not be able to keep pace with inflation	<input type="checkbox"/>
4. How good is your knowledge of finance?	
a. We are expert in the field of finance	<input type="checkbox"/>
b. We are proficient in finance	<input type="checkbox"/>
c. We don't know much about finance but we keep ourself updated about the developments through newspapers, journals, TV, etc.	<input type="checkbox"/>
d. Limited to knowing things like how the stock market or certain select script is / are moving	<input type="checkbox"/>
e. We are totally zero as far as knowledge of finance is concerned	<input type="checkbox"/>
5. Approximately what percentage of your assets (excluding own use property) is currently held in investment products where the value can fluctuate?	
a. Over 50%	<input type="checkbox"/>
b. Between >25% and 50%	<input type="checkbox"/>
c. Between >10% and 25%	<input type="checkbox"/>
e. Between >0% and 10%	<input type="checkbox"/>
f. 0%	<input type="checkbox"/>

FINANCIAL RISK PROFILER - FOR NON-INDIVIDUALS

Group B

6. How would you describe yourself as a risk - taker?	
a. Do not mind speculating	<input type="checkbox"/>
b. Willing to take risks for higher returns	<input type="checkbox"/>
c. Can take calculated risks	<input type="checkbox"/>
d. Low risk taking capability	<input type="checkbox"/>
e. Extremely averse to risk	<input type="checkbox"/>
7. If you had Rs. 25,00,000 to invest, which of the following choices would you make?	
a. Put the money in Bank Fixed Deposit and Bonds	<input type="checkbox"/>
b. Invest the money in Mutual Funds	<input type="checkbox"/>
c. Invest the money in Shares	<input type="checkbox"/>
d. Invest in a combination of the above with higher proportion of Bank FDs and Bonds	<input type="checkbox"/>
e. Invest in a combination of the above with higher proportion of Mutual Funds and shares	<input type="checkbox"/>
8. you have a market tip on the price appreciation of a certain scrip, you	
a. Immediately invest in the scrip	<input type="checkbox"/>
b. Invest if you feel that the source of the tip is an experienced / expert market player	<input type="checkbox"/>
c. Do some enquiry and analysis and then decide	<input type="checkbox"/>
d. Want to invest but are generally unable to take a decision in such cases	<input type="checkbox"/>
e. You don't rely on such tips or totally ignore it	<input type="checkbox"/>
9. The stock market has dropped 25% and a share that you own also dropped 25%, but the market expects the share to go up again. what would you do?	
a. Sell all the shares	<input type="checkbox"/>
b. Sell some of them	<input type="checkbox"/>
c. Buy more of them	<input type="checkbox"/>
d. Keep all of them as you expect the price to reach the earlier level	<input type="checkbox"/>
e. Keep all of them as you are afraid of booking a loss	<input type="checkbox"/>
10. you have a substantial sum of money spare for about 6 months after which you need this sum to repay a loan, this sum is currently not invested anywhere. you would	
a. Keep the money in your bank fixed deposit or money market funds	<input type="checkbox"/>
b. Invest the money in debt mutual funds	<input type="checkbox"/>
c. Invest the money in Equity Shares / Equity Funds	<input type="checkbox"/>
d. Loan the money at market rates to businessmen	<input type="checkbox"/>
e. Invest the money in a combination of above	<input type="checkbox"/>

FINANCIAL RISK PROFILER - FOR NON-INDIVIDUALS**ANALYSIS**

Your Risk taking capacity based on your life seems to be	
1. Low	<input type="checkbox"/>
2. Low-Medium	<input type="checkbox"/>
3. Medium	<input type="checkbox"/>
4. High	<input type="checkbox"/>
5. Very High	<input type="checkbox"/>
Your attitude to risk based on your inputs seems to be	
1. Low	<input type="checkbox"/>
2. Low-Medium	<input type="checkbox"/>
3. Medium	<input type="checkbox"/>
4. High	<input type="checkbox"/>
5. Very High	<input type="checkbox"/>
INVESTMENT PROFILE	
1. CONSERVATIVE	<input type="checkbox"/>
2. MODERATE	<input type="checkbox"/>
3. BALANCED	<input type="checkbox"/>
4. AGGRESSIVE	<input type="checkbox"/>
5. HIGHLY AGGRESSIVE	<input type="checkbox"/>

Name of the RM _____ Signature _____

I/We hereby acknowledge that my/our investment profile has been determined as _____ based on the information provided by me/us. However I/we declare that my/our risk profile to be charged to set up as _____

I/We would like to avail of leverage for trading in equities and Derivatives as may be offered by the member

I/We hereby further confirm/undertake that the investments/trading done in securities market are from my/our own/borrowed sources of funds and confirm that the funds utilized for trading activity is in compliance with the rules, regulations and guidelines stipulated under PMLA.

AS 14 

Signature of Client

Date _____

RUNNING ACCOUNT AUTHORIZATION

CENTRUM BROKING LTD.
Bombay Mutual Building, 2nd Floor,
Dr. D.N. Road , Fort, Mumbai-400001

Dear Sir/Madam,

Subject : Running Account Authorization

Name : _____

Due to operational convenience and to be in a position to settle my/our trades within the Exchange specified Settlement Schedule. I/We request you to offer the facility of maintaining the running account with you. I/We understand and agree the following:

- 1) You can retain the funds with you, received as payouts from the Exchange on my/our future transactions or outstanding positions, if any.
- 2) You can retain the securities with you, in your margin Account received as Payouts from the Exchanges on my/our behalf. The same can be used towards margin/collaterals for my/our future transactions or against outstanding positions.
- 3) In case of any sale transactions done by me/us, you can automatically deliver the shares to the Exchange towards Payin of my/our shares if any lying with you on my/our behalf.
- 4) In case of any purchase transactions done by me/us you can automatically make the funds pay-in to the Exchange out of the credits lying in my/our account on my behalf.
- 5) In case of any debit balance in my/our account you can square off my/our securities held by me/us to the extent of our debit balance without any notice to me/us.
- 6) You can transfer funds/securities from my/our account in one segment against my obligations / margin requirements in another segment in the same Exchange or different Exchange/s.
- 7) I/We confirm that the funds mean monies lying as credit in my/our account or payouts that are received from Exchanges arising out of sale of securities.
- 8) In case I/we require funds or securities, I/we will inform you of the same in writing, after which you can make the payment, transfer the securities to me/us on my/our request.
- 9) I/We understand and agree that no interest would be paid on my/our credit balance in the running account with CBL.
- 10) I/We will not hold CBL responsible for any loss/damage arising out of such transfers and or sale done by CBL on my/our behalf, pursuant to these instructions.
- 11) In case I/we wish to revoke this consent at any time, I/we shall inform CBL in writing and get it acknowledged by CBL.
- 12) In the event I/we have any dispute arising from the statement of account received from CBL, I/we will bring the same to the notice of CBL within 30 days from the date of receipt of funds/securities or the statement, as the case may be.

My/Our preference for actual settlement of funds and securities is at least (tick the appropriate choice):

- a) Once in a calendar Quarter ☐ b) Once in calendar month ☐

At the time of the settling the account as above, in case I/we are having any outstanding obligatio, CBL may retain the funds & securities required to meet 225% of total margin liability in all the segments across exchanges, calculated in the manner specified by the exchanges/ SEBI.

I/we shall bring any disputes arising from the statement of account or settlement so made to your notice within 30 working days from the date of receipt of funds or statement, as the case may be. In the case of non- receipt of any such communication the statement / settlement of running account shall be considered as final as agreed and accepted by me.

Thanking You,

Yours faithfully,

Name of Client : _____

AS 15 

Signature of Client

Date _____

MANDATE TO ISSUE CONTRACTS IN DIGITAL FORMAT

1. I/We hereby agree and consent to accept the contract notes/ or other documents i.e. trade confirmation Daily Margin statement, bills, statement of accounts and all other communication for transactions carried on by me/us in Digital form to my email id_____ (Please mention you email id otherwise your request will not be activated)
2. I/We undertake to check the contract notes and other documents and bring the discrepancies to your notice preferably within 24 hours of such issuance of contract notes.
3. My/our non-verification or not accessing the contract notes or other documents on regular basis shall not be a reason for disputing the contract note/other documents at any time I /We understand that availing of digital contract facility is subject to following conditions:
 - a. The Digital Contract notes and /or other documents will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
 - b. Digital Contract notes and other documents will be mailed to the E-mail address provided to us in the format as may be prescribed by the Exchanges from time to time.
 - c. The non-receipt of bounced mail notification by the CBL shall tantamount to deemed delivery of the contract note/other documents at my/our E-mail ID.
 - d. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client. In case of any errors found in case of other documents as described in Para 1, a revised document may be sent to the client's registered email id or may be issued in physical form if it is not feasible to sent email id due to any technical issues.
 - e. Discrepancies, if any, should be addressed to E-mail: investor.grievances@centrum.co.in preferably within 24 hours of issuance of digital contract notes.
4. Any changes in the terms and conditions shall be intimated from time to time in writing / e-mail.
5. Digital Contract notes will also be available at URL <https://www.centrumbroking.com>
6. I/We can view the Digital Contract notes on URL by using the username & password provided to me/us by the CBL.
7. All other communications shall be emailed to me/us at the email id given by me/us.
8. In case of Statement of Fund and Securities, I/we will have time to report the discrepancies within 30 Days of date of receipt of such statement.
9. In case of any changes in Email Id or wish to withdraw the mandate, I/we will intimate the same in writing by physical letter to CBL.

AS 16

Signature of Client

Date_____

FATCA & CRS Self-Certification (for Non-Individuals)**C+NTRUM**

Client ID _____

Trading Code _____

Date / / **PART I**

- A. Is the account holder a Government body / International Organization/listed company on recognized stock exchange *If "No", then proceed to point B. If "yes" please specify name of stock exchange, if you are listed company _____ and proceed to sign the declaration.* ☐ Yes ☐ No
- B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India *If "yes", then please fill of FATCA/CRS Self certification Form. If "No", proceed to point C.* ☐ Yes ☐ No
- C. Is the account holder an Indian Financial Institution *If "yes", please provide your GIIN, if any _____ If "No", proceed to point D.* ☐ Yes ☐ No
- D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen *If "yes", (then please fill FATCA/CRS self-certification form). If "No", proceed to sign the declaration.* ☐ Yes ☐ No

Customer Declaration

() Under penalty of perjury, I/we 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)
2. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
 - (i) I/We understand that you are relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS and are not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/We shall seek advice from professional tax advisor for any tax questions.
 - (ii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
 - (iii) I/We agree that, as may be required by domestic regulators/tax authorities, you may also be required to report, reportable details to CDBT or close or suspend our account.
 - (iv) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Name of the Entity	
Signature 1	Signature 2
Signature 3	
Date: _____	

FATCA & CRS Self-Certification (for Non-Individuals)**C+NTRUM**

Client ID _____

Trading Code _____

Date / / **PART II**

Self-Certification Form (Entity) for Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standards (CRS)

Section 1: Entity information

Name of Entity	
Customer id (if existing)	
Entity Constitution Type	
Entity Identification type	<input type="checkbox"/> T <input type="checkbox"/> G <input type="checkbox"/> C <input type="checkbox"/> E <input type="checkbox"/> O
Entity Identification No	
Entity Identification issuing country	
Country of Residence for tax purpose	

Section 2: Classification of Non-Financial entities

I/We (on behalf of the entity) certify that the entity is:

a) An entity incorporated and taxable in US (Specified US person)

☐ Yes ☐ No*If "Yes", please provide your U.S. Taxpayer*

TIN

Identification Number (TIN)

b) An entity incorporated and taxable outside of India (other than US)

☐ Yes ☐ No*If "Yes", please provide your TIN or its functional equivalent*

TIN

Provide your TIN issuing country _____

c) Please provide the following additional details if you are not a Specified US Person:

☐ **FATCA/ CRS classification for Non-financial entities (NFFE)**☐ ActiveNFFE☐ Passive NFFE without any controlling Person☐ Passive NFFE with Controlling Person(s): US ☐ Others ☐☐ Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus bank is not required to do the reporting) Please provide GIIN number: _____**Section 3: Classification of financial institutions (including Banks)**

I/We (on behalf of the entity) certify that the entity is:

a. An entity is a U.S. financial institution *If "Yes",*

(i) Please provide your Taxpayer Identification Number (TIN)

☐ Yes ☐ No

(ii) Please provide GIIN, if any _____

TIN

If "No", please tick one of the following boxes below:

FATCA & CRS Self-Certification (for Non - Individuals)

C+NTRUM

Client ID _____

Trading Code _____

Date / /

FATCA classification		Please provide the Global Intermediary Identification number (GIIN) or other information where applicable			
<input type="checkbox"/> Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement ("IGA") Jurisdiction					
<input type="checkbox"/> Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction					
<input type="checkbox"/> Participating FFI in a Non-IGA Jurisdiction					
<input type="checkbox"/> Non-reporting FI					
<input type="checkbox"/> Non-Participating FI					
<input type="checkbox"/> Owner-Documented FI with specified US owners					
Section 4: Controlling person declaration					
If you are classified as "Passive NFFE with Controlling Person(s)" or "Owner documented FFI" or "Specified US person", please provide the following details:					
Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing country	Controlling person type
Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification Type					
Identification Number					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

FATCA & CRS Self-Certification (for Non - Individuals)**CENTRUM**

Client ID _____

Trading Code _____

Date / / **Section 5: Declaration**

- (I) Under penalty of perjury, I/we certify that:
1. The number shown on this form is the correct taxpayer identification number of the applicant, and
 2. 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, or
 3. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
- (ii) I/We understand that you are relying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA and are not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/We shall seek advice from professional tax advisor for any tax questions.
- (iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.
- (iv) I/ We agree as may be required by Regulatory authorities, you shall be required to comply to report, reportable details to CDBT or close or suspend our account.
- (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

I/We hereby confirm that details provided are accurate, correct and complete

Authorized Signatories and Company Seal (if applicable)

Name _____

Date (DD/MM/YYYY)

ADDITIONAL TERMS AND CONDITIONS APPLICABLE TO THE CLIENT FOR AVAILING SECURITIES TRADING SERVICES FROM CENTRUM BROKING LIMITED (CBL)

1. Compliance with Laws

I am/We are fully aware that all transactions that are carried out by me/us and on behalf of me/us shall always be subject to Government notifications, rules, guidelines, regulation, circulars, by SEBI/RBI/ Exchanges and other regulatory authorities that may be in force from time to time.

In case if I/we register as a Non-Resident Indian or my/our status changes from Resident Indian to Non- Resident Indian, I/we agree to intimate the same to CBL or its depository participant and agree to abide by Foreign Exchange Management Act, 1999 and rules and regulations issued thereunder from time to time. I/We being NRI / PIO, hereby acknowledge that I/we are aware of the RBI guidelines in relation to my/our investments in the secondary market in India. I/We hereby agrees to keep my self/ourself abreast of the ceiling limits on investments as published by RBI from time to time and also agrees that I/We shall immediately reverse my/our transaction, if such transaction breaches the ceiling limits as imposed by RBI. In case I/we am/are unable to reverse such transaction immediately, I/we authorize CBL to do so under intimation to me/us. Unless otherwise agreed in writing by CBL, I/we agree and confirm that CBL and I/we shall in no circumstances be considered as persons acting in concert or as persons co-operating with each other (directly or indirectly) or as persons having a common objective or purpose of substantial acquisition of shares or voting rights or gaining control over any company, whose shares are purchased by the CBL for and on behalf of and on account of me/us. I/We understand, agree and confirm to provide copies of Annual Accounts, Returns or any other document that may be asked for by CBL to comply with Prevention of Money Laundering Act, 2002, as amended. If I/we fail to provide the documents, as may be required by CBL, CBL reserves the right to suspend/terminate my/our trading/demat account after giving the proper notice in writing.

2. Dematerialised securities

All orders made by me/us shall only be in securities compulsorily traded in the dematerialized form. All deliveries of securities made by me/us shall only be in the dematerialized form.

3. Authorised Representative

I/We hereby confirm, undertake and agree to inform to CBL in writing any change of authorized representative,

failing which I/we shall be responsible for the trade obligations arising out of the actions of such representatives.

4. Charges

CBL shall be entitled to debit the charges of the depository participant for the trades and the bank charges for the realization/return of cheques etc. to my/our account and all other charges as detailed below.

User Fees/ Other Charges: CBL may charge me/us fees / other charges for use of any other services (as per the applicable laws, rules and regulations), including but not restricted to Internet Trading-related / ancillary services, use of the website platform and the call and trade services, etc. at rates mentioned on the website and intimated to me/us in writing. Any modification in such rates / fees / charges will be notified to me / us by CBL in writing.

CBL shall have right to debit the following charges from my/our account

- (i) Account Set up Charges
- (ii) Documentation Charges
- (iii) All statutory levies such as STT, Stamp duty, exchange turnover tax, Goods & Services Tax, SEBI fee or any other levy of this nature.
- (iv) Bank Charges (will be levied as per actuals)
- (v) Charges for availing research reports
- (vi) Charges for availing special facility for mobile broking, SMS facility
- (vii) Inter settlement charges
- (viii) Auction charges
- (ix) Penalties levied by the exchange for client limit violations
- (x) Charges for dishonor of cheques given by the Client
- (xi) Arbitration and Legal expenses in case of dispute resolution, subject to rules and regulations of SEBI/ SEBI/ Exchanges
- (xii) PMS advisory fee in terms of my agreement with your PMS division provided appropriate invoice with applicable GST or other taxes is issued to me in this regard by the PMS division of CBL.
- (xiii) Any other charges for other services / facilities availed by the Client and communicated by CBL to the client from time to time.

5. DELAYED REPORTING OF TRANSACTIONS

I/We hereby confirm and agree that if trades or transactions are reported late to CBL on account of any problems at the exchange or whatever reasons, the client in turn will be subject to late reporting of such transactions.

In addition, any errors reported to the client for any reason whatsoever will stand subsequently corrected to reflect the transaction that was effected in the market.

6. RECORDING OF CONVERSATION

I/We are aware that CBL may record the conversations between my/our representative and CBL, either personally or over the telephone, and hereby specifically permits CBL to do so. Such recordings may be relied upon by CBL as and when required to resolve disputes in connection with the trading transactions.

7. PROPRIETARY TRADING:

I/We are aware that CBL undertakes proprietary trading in addition to CLIENT based trading.

8. INCORRECT CREDIT/DEBIT:

In the event of receiving an incorrect credit/debit by reason of a mistake to my/our account, CBL shall be entitled to reverse such incorrect credit/debit at any time whatsoever. I/We shall be liable and continue to remain liable to the CBL for any incorrect gain obtained as a result of the same and CBL reserves the right to take such remedial measures against me/us for recovery of the erroneous credit.

9. CBL CLIENT COMMUNICATION:

a. Electronic Communication of documents:

Whereas I/We separately authorize CBL to send the contract note/trade confirmations of the trades executed, bills and account statements or such other data relating to my/our trading account with CBL and also authorize Depository Participant to send all bills and/or transactions statements, communication and welcome letter and scan image of KYC form and other information through electronic mail to my/our email address registered through my/our account opening form (KYC) with Centrum Broking Limited and/ or such other designated email address as may be intimated by me/us to CBL. By means of such authorization, CBL fulfils its legal obligation to deliver to me/us any such document if sent via electronic delivery. I/We agree that the log report generated by the system at the time of sending of the contract notes or other documents shall be treated as the acknowledgement and confirmation of receipt of contract notes and such other documents by me/us, provided no bounced mail logs are received by CBL. I/We understand that it is my/our responsibility to review, upon first receipt, whether delivered to me/us by mail, by e-mail (including any auto replies from the system of CBL), or other electronic means, all

confirmations, statements, notices, contracts, bills and other communications. All information contained therein shall be binding upon me/us, if I/we do not object, either in writing or via electronic mail, preferably within twenty four hours after any such document is received by me/us. In all cases, CBL reserves the right to determine the validity of my/our objection to the transaction. CBL may, on request by me/us and at such additional cost to the me/us, send hard copies of the contract notes or such other documents. Further non-receipt of bounced mail notification by CBL shall amount to delivery of contract note at my/our email ID.

b. SMS facility authorization

I/We hereby authorize CBL to send investment information via SMS, and confirm voluntary acceptance of the SMS facility and will not hold either CBL or the SMS Service Provider acting on CBL's behalf, liable for the same. I/We confirm that the information so communicated will not be unsolicited or would not be any defamatory communication as it is transactional in nature and will not violate the Telecom Unsolicited Commercial Communications, Regulations, 2007 or any other person about the SMS received from CBL. I/We hereby consent and shall not have any objection in the event I/we receive any communication for sales promotion of the various products offered/to be offered by CBL or any of its group companies via SMS, mail, email, or any other form of communication and it will not amount to violation of any other provisions of law as may be applicable even if I/We is/are registered under DND under TRAI guidelines.

In case I/we do not wish to continue to receive any such communication, I/we shall intimate CBL in writing and CBL shall discontinue sending such communication within 7 working days.

C. Change of Address

Unless I/we inform CBL of the change of the address for communication, electronic or otherwise, in writing, all notices, circulars, communication or mail sent to the existing address shall be deemed to have been properly sent to or served upon me/us by CBL. I/We undertake and agree to inform CBL of the change in the designated email address.

d. Exposure to the client

The client understands that if he does not clear his debits before T+5 days he will not be allowed any further trading exposure by CBL. The stocks acquired by client during this period if remained unpaid will either liquidate or close out or may be kept with CBL in their client account which may be pledged or given as collateral to financiers in order to meet the settlement obligations of exchanges on behalf of the client. However such unpaid stocks shall be released to client's demat account on clearance of outstanding dues along with applicable DPC by the client.

10. NO RECOURSE TO STOCK EXCHANGES / SEBI

I / We understand that I / we shall not have recourse to dispute redressal mechanism / arbitration mechanism / investor protection schemes of the Stock Exchanges / SEBI. In case I/ we avail the services under any schemes / leagues/ competitions etc., offered by any third party/ group company / associate of the CBL

11. SHARING OF INFORMATION:

I/We agree and confirm that CBL may appoint agents / representatives, service providers etc. ("Authorized Parties"), subject to Rules, Regulations, Bye-laws or other Guidelines issued by Exchanges / SEBI, for carrying out the acts mentioned in or in relation to these Terms & Conditions. I/We understand that CBL may need to share my/our information with such agents / representatives, service providers, etc. I/We shall have no objection to CBL sharing my/our information / documents / data to such agents /representatives, service providers or to group companies of CBL for the purpose of carrying out or facilitating acts mentioned in or acts ancillary to or in relation to these Terms & Conditions.

12. ASSIGNMENT

I/We hereby confirm and agrees that I/we shall not assign or transfer all or any of its rights, obligations and or benefit without the full and final settlement of my/our account with CBL and without the prior consent of CBL. CBL shall be entitled to assign its rights, obligations and/or benefits to any successor entities, affiliate entities in its absolute discretion, with notice thereof to me/us in writing.

13. DISCLOSURE OF INFORMATION

I/We hereby expressly authorize and permit CBL and each of its authorized representatives (including but not limited to its officers, employees and agents) to divulge, reveal or disclose any or all of the particulars of my / our account and any personal information or sensitive personal information and information relating to any transaction or dealings between me/us and CBL:

- (a) to the auditors, legal advisors and other professional advisors of CBL and the Authorised Parties;
- (b) to any person or organisation participating in the provision of electronic or, without limitation, other services in connection with services utilised by me/us, for the purpose of the operation of the Account including but not limited to investigating discrepancies or claims;
- (c) to any third party printer; agent or storage or data warehouse-keeping or archival service provided (including but not limited to any provider of microfilm service or any electronic storage, archival or recording facility) for the purpose of making, printing, mailing, storing, microfilming and/or filing statements of accounts, labels, mailers or any other document or

Items on which my/our name and/or other particular appears, or any data or record of any document whatsoever;

- (d) to the police or any other public officer or any representative of any governmental or regulatory body conducting an investigation in connection with any offence;
- (e) to any Exchange, government or regulatory body or governmental (including quasi-governmental) authority or tribunal or courts of India or other jurisdictions, including the jurisdictions in which the Client has traded or where any of CBL's overseas business operations are situated;
- (f) to any of the Authorised Parties for purposes of centralisation of operations within CBL or the Centrum Group, for purposes in connection with business planning, restructuring and strategy and for the purpose of promoting, marketing or cross-selling of financial products and services to me/us;
- (g) to any credit bureau (including the members of such credit bureau of which CBL is a member), rating agency, insurer, or any other provider of credit protection to CBL and/or any of the Authorised Parties of the client.
- (h) to any assignee or transferee or prospective assignees or transferees of CBL's credit facilities, business and undertakings or such part thereof;
- (i) to any person or entity participating in merger/acquisition or proposed merger / acquisition of CBL or its holding company with/by another company.

I/We hereby authorise CBL to make such enquiries and carry out such credit checks on me/us and to obtain from any third party (including any credit bureau or credit agency) any and all of my/our information as CBL may in its discretion deem fit, and I / We undertake to execute and deliver such document, including appropriate letters of authorization, as CBL may require for the purposes of such enquires, credit checks and assessments.

14. CBL'S LIABILITY

I / We understand that under no circumstances shall CBL or anyone involved in creating, producing, delivering or managing CBL's services, pursuant to these mandatory and voluntary client registration documents and Terms & Conditions, be liable for any direct, indirect, incidental, special or consequential damages, loss caused to me / us, including loss of profits that result from the use of or inability to use the service, delay in transmission of any communication, in each case for any reason beyond CBL's reasonable control (including on account of breakdown in systems) or out of any breach of any warranty or due to any fraud committed by any third party or any act beyond reasonable control of CBL. CBL shall not be liable / responsible for any statement received from frauds or imposters or for any consequences thereof.

15. REPRESENTATIONS AND WARRANTIES

- (i) I/We hereby represent and warrant that these Terms & Conditions have been clearly understood and that the details provided by me/us in the Know Your Client documents and such other ancillary documents submitted to CBL is complete, accurate and truthful. I/We undertake to inform CBL of any change in the information or details furnished by me/us to CBL.
- (ii) I/We confirm that I/we am/are of legal age and have received, read and understood the Risk Disclosure Document, Rights & Obligations, Guidance Note and the Policies and Procedures of CBL;
- (iii) I/We confirm that I/we am / are aware of the Prevention of Money Laundering Act (PMLA), 2002 and Rules thereunder and that I/we have not violated any of the provisions and rules of the said act.

16. CONFLICT BETWEEN TERMS AND CONDITIONS AND GUIDELINES

These Terms and Conditions are subject to Government notifications, any rules, regulations, guidelines, circulars issued by the SEBI and Rules, Regulations, Bye-Laws, Guidelines and Circulars of the Exchange(s) that may be in force from time to time (hereinafter referred to as the Guidelines). In case of any conflict between any of the terms and conditions of this document and the Guidelines, the Guidelines shall prevail.

17. STAMP DUTY

I/We understand that any stamp duty or levy (including interest or penalty levied thereon) payable on any of the Client Registration Documents, Contract Notes, agreements, deeds or documents executed in pursuance of provision of services to me/us by CBL, shall be borne and paid by me/us.

18. DISCLAIMER:

All investments and disinvestment decisions are based on my/our own evaluation of financial circumstances and investment objectives. This extends to any decision made by the me/us on the basis of any information that may be made available by CBL/ Sub-Broker/Authorized person through its website www.centrumbroking.com or through any other media. I/We will neither hold, nor seek to hold CBL / Sub-Broker/Authorized person, as the case may be, or any of its officers, directors, employees, agents, subsidiaries a d/or associate companies (as per Companies Act and/or SEBI Regulations) and employees, directors and agents thereof liable for any trading losses, costs or damage incurred by me/us consequent upon relying on investment information, research opinion or advice or any other material/information provided by CBL/ Sub-Broker/Authorized person, as the case may be. I am/We are aware that any information provided by CBL through any medium based on the research of CBL or other external sources is subject to normal variations in the stock market and is merely an estimation of the

availability or otherwise of certain investments, and CBL shall not be responsible for nor deemed to have assumed responsibility for any such information. I/We should seek independent professional advice regarding the suitability of any investment decision before acting on such reports and CBL shall not be liable under any circumstances for any losses, costs, charges, expenses incurred/suffered by me/us based on such reports.

19. DECLARATION OF AGE OF MAJORITY (in case of Individuals only):

I/ We understand that a person is deemed to have attained the age of Majority when he attains 21 years of age in case of Minor whose Guardian is court-appointed or property is superintended / assumed by any Court or Officer of any Court. In all other cases, a Minor attains age of majority when he / she attains 18 years of age.

I / We hereby declare that:

- ☐ I / We and all joint holders in the associated DP account have all attained the age of Majority (are not minors);
- OR
- ☐ The holder of the DP account associated with the trading account is a Minor, who will attain age of majority on _____ (date).

20. CONTACT DETAILS IN APPLICATION FORM

The mobile number and / or e-mail id as provided by me / us in the Application Form are used by and /or are the contact details of _____

(name and relationship to applicant - contact details of only self, spouse, dependent children and dependent parents are allowed). I / We fully understand that any communications made to / alerts and messages sent at those contact details would be deemed to be sent to and received by me / us and the same shall be binding on me / us.

For verification of any of my details mentioned in the Application Form, I/we can be contacted at _____ (mobile number) and/or _____ (e-mail id).

AS 17 

Signature of Client

Date _____

CLIENT FINANCIAL INFORMATION

Client Name: _____

Date of Meeting: _____

Client's General & Financial Background (To be filled by RM): _____

Client's Source of Wealth (Please select from below options):

- ☐ Salary income ☐ Inheritance ☐ Rental income ☐ Investments ☐ Savings
- ☐ Business Revenue ☐ Sale of business or assets ☐ Other _____

Any Regulatory Action taken on the client: ☐ Yes ☐ No (if yes, please mention the details below)

RM Signature - _____

Date - _____

USAGE OF KYC FOR CENTRUM WEALTH LTD (CWL)

To

Centrum Broking Ltd

Level 3, Centrum House, Vidyanagari Marg,

Kalina, Santacruz East, Mumbai-400098.

Sub: Sharing of KYC Data

I/We(name) having client code/Bo
id..... have no objection to Centrum Broking Limited sharing my/our KYC data comprising of Name, Correspondence
address, permanent address, Panno, Aadhar no, email id, risk profile and mobile no. with their group Company including Centrum
Wealth Ltd (CWL) an AMFI Compliant distributor of Mutual Funds offering other services like equity, fixed income
and real estate or dealing in other business segments. I/we have read and agreed to the Terms & conditions printed on the reverse
of this document.

I understand that such authorisation would entail CWL to offer execution services to me/us in the aforesaid segments.

Yours faithfully,

AS 18

(Name and Signature of the Client)

A 19

**TERMS AND CONDITIONS FOR AVAILING WEALTH SERVICES FROM
CENTRUM WEALTH LTD. (CWL)**

1. CWL is a KYC complaint distributor of Mutual Funds. CWL also offers other services across asset classes like Equity, Fixed income and Real Estate. The client wishes to avail of services offered by CWL.
2. CWL offers executionary only services to the client and any observations or recommendations made incidental to execution services shall not tantamount to active solicitation or advice to the client and any action/execution shall be at sole discretion of the client. The client may choose to ignore to act upon one or more recommendations of CWL at his discretion.
3. CWL shall follow extant laws, statutes and regulations as maybe applicable for distribution of various products or services.
4. The client shall at all times abide by all applicable laws, rules, statutes, regulations etc. including regulations pertaining to Money Laundering. If the client is an NRI, he shall ensure that he complies with all applicable laws, rules, regulations, statutes etc. including but not limited to FEMA, RBI regulations and obtains all requisite permissions.
5. CWL obtains information from a wide variety of sources available free of cost or through paid subscriptions and does not have nor does it claim to have any sources of inside or private information. The recommendations made incidental to execution services by CWL is based upon such information, professional judgement/expertise and evaluation of such information and/or any other information provided by the Client. CWL shall assume that all Instructions/Information received from the client, explicit or implicit, are true and accurate and does not assume any responsibility for accuracy or completeness of such information or instructions received from the client.
6. The client acknowledges that Investment decisions are subject to market, currency, economic, political and business risks. The client acknowledges that the execution of investment decisions by CWL pursuant to client's instruction shall be at the sole risk to the client and CWL shall not be liable in any manner whatsoever for the outcome of such decision. CWL does not assure or guarantee or warrant returns from any investments made and it shall not be responsible for any loss, damage or diminution in value of the assets of the Client. The client also understands that past performance of any investment or incidental advice is not indicative of future performance/outcomes. CWL shall also not be liable to the Client for any loss arising from adherence to Client's instructions or any act based on information provided by the Client.
7. The client shall pay service charges as per the schedule of charges agreed upon. The charges/fees maybe revised after giving 30 (calendar) day notice to the Client through e-mail or any other similar means. All applicable taxes and levies shall be over and above the charges/fees.
8. In case of any default of payment of fees, charges, or taxes by the Client, CWL shall have the right to proceed against the client under the application laws.
9. Client shall make all disclosures to secure approvals from relevant authorities either directly or through relevant intermediaries to comply with extant Laws and Regulations on Insider Trading, Companies Act or any other Code of conduct as maybe applicable to the client and shall not hold CWL responsible in any manner whatsoever for performing such disclosures, filling or securing approvals. In case transactions are declared void by any regulatory or statutory authority or courts, the client shall hold CWL indemnified and compensate CWL for any and all costs incurred by CWL consequential to such events where such cost may include transaction services, compensation claims, legal costs or any other incidental costs.
10. CWL does not make any representation as to the suitability of its Services to any Client residing outside India. CWL shall not be responsible to evaluate if the Services conform to any local legal or regulatory framework of any country other than India. The client hereby acknowledges that the client alone shall be responsible for evaluating if availing of the services proposed by CWL is in conformance with extant local laws, regulations, rules and statutes as maybe applicable. Consequently, the client agrees to indemnify CWL against any claims or actions pursuant to the Same.
11. The client shall not deal directly with any party referred to by CWL without the consent to CWL.

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Centrum Broking Limited**(For Office Use)**

Acquisition RM: _____
(Name & Employee Code No.)

RM:(Broking/ Wealth) _____
(Name & Employee Code No.)

Broking RM: _____
(Name & Employee Code No.)

Dealer: _____
(Name & Employee Code No.)

AP Name / Code _____

SRM: _____



Investor Grievance Email ID: investor.grievances@centrum.co.in Website: www.centrumbroking.com

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