



## **CLIENT REGISTRATION FORM FOR INDIVIDUALS**

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**CLIENT NAME:**

**CLIENT CODE:**

**NSDL CLIENT ID:**

**NSDL DP ID: IN301372**

**DATE OF ACCOUNT OPENING:**

**CHECKED BY:**

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**Regd. Office : 86, Canning Street, 3rd Floor, Kolkata-700001**

**Phone: 033-48098796**

**Email: daulatsec@gmail.com**

**CIN: L67120WB1992PLC056831**

**Member: The National Stock Exchange of India**

**SEBI Registration Number:**

NSE (Capital & Derivatives) : INZ000261035

NSDL: IN-DP-NSDL-120-2000

CIN: L67120WB1992PLC056831

**NSDL DP ID: IN301372****Registered Office:**

86 Canning Street, 3rd Floor, Kolkata- 700001

Mobile: 9330657919

Email: daulatsec@gmail.com

**Correspondence Office:**

14A Earle Street, PS Park Origins, 1st Floor , Kolkata- 700026

Mobile: 9330657919

Email: daulatsec@gmail.com

**Clearing Member Details for Future & Options Segment**

Name : Globe Capital Market Ltd.

SEBI Regn. No. : INZ000177137

609, 6th Floor, Ansal Bhawan, 16, K.G. Marg, New Delhi-110001

Phone No. : 011-30412345

Fax : 011-23720883

E-mail Id : mail@globecapital.com

For any grievance/dispute please contact Daulat Securities Ltd. at the above address or Email ID: daulatsec@gmail.com or call at phone: 9330520266.

In case of unsatisfactory response, please contact the concerned Exchange at:

SEBI : 022-264499500/40459950

NSE: 022-26598190

Disclosure of Proprietary Trading pursuant to SEBI Circular No. SEBI/MRD/CIR-41-2003 dated 19th Nov 2003, NSE Circular No. NSE/INVG/PRE/2003/16 dated 25th Nov 2003, and CSE Circulars and Guidelines:

We at Daulat Securities Limited are involved in both Proprietary and client-based trading activities.

# INSTRUCTIONS/CHECKLIST FOR FILLING KYC FORM

## 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 authorised 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.
- 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.
- In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorised for attesting the documents.
- If any proof of identity or address is in a foreign language, then translation in English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof that are submitted.
- If correspondence & permanent address are different, then proofs of 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 are mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- 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.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- 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) / Passport / 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 card / Debit card 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.)

- Unique Identification Number (UID) (Aadhaar) / 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 2 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.
- The proof of address in the name of the spouse will be accepted.

**D. List of people authorised to attest 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, authorised 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.

# KNOW YOUR CLIENT (KYC) APPLICATION FORM

Please Fill the form in English and in Block letters

## A. IDENTITY DETAILS

Affix Recent  
Photograph &  
sign across

Name of applicant : \_\_\_\_\_

Father's/Husband's Name : \_\_\_\_\_

Mother's Name \_\_\_\_\_

Gender  Male  Female

Marital Status  Single  Married

DoB (DD/MM/YYYY)

PAN

Aadhar

Nationality  Indian  Other (Please Specify) \_\_\_\_\_

Status  Resident Individual  Non-Resident Individual  Foreign National

Specify Identity Proof Submitted  PAN  Other (Please Specify) \_\_\_\_\_

## B. ADDRESS DETAILS

Address Type  Residence  Correspondence

Residence/Correspondence Address: \_\_\_\_\_

City/Town/Village : \_\_\_\_\_ State: \_\_\_\_\_ Country : INDIA

Pincode:       Specify Proof of Address: \_\_\_\_\_

Telephone (Office): \_\_\_\_\_ Telephone (Residential): \_\_\_\_\_ Fax: \_\_\_\_\_

Mobile : \_\_\_\_\_ Email Id: \_\_\_\_\_

Permanent Address: \_\_\_\_\_ Same as above \_\_\_\_\_

## B. DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above is found to be false or misrepresenting, I am aware that I will be held liable for it.

Signature: \_\_\_\_\_

Date (DD/MM/YYYY):

## FOR OFFICE USE ONLY

Original Verified and self attested Copies Received

### IPV DETAILS:

- Name of Person doing IPV:
- Designation : STAFF
- Name of Organisation : Daulat Securities Limited
- Signature :
- Date:

Name & Signature of Authorised Signatory:

Date:

Seal/Stamp of Intermediary:

## TRADING ACCOUNT RELATED DETAILS

BANK ACCOUNT DETAILS		
	FIRST BANK DETAILS	SECOND BANK DETAILS
BANK NAME		
BRANCH ADDRESS		
BANK A/C NO.		
A/C TYPE	<input type="checkbox"/> SAVINGS <input type="checkbox"/> CURRENT	<input type="checkbox"/> SAVINGS <input type="checkbox"/> CURRENT
MICR NO.		
IFSC CODE		
DEPOSITORY ACCOUNT DETAILS		
	FIRST DEMAT A/C DETAILS	SECOND DEMAT A/C DETAILS
DEPOSITORY PARTICIPANT NAME		
DEPOSITORY NAME	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL
BENEFICIARY NAME		
DP ID		
BENEFICIARY ID (BO ID)		

### TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by client. In future if the client wants to trade on any new segment/new exchange, separate authorisation/letter should be taken from the client by the stock broker.

EXCHANGE	SEGMENT	SIGNATURE
NATIONAL STOCK EXCHANGE OF INDIA	CASH	
	F&O	

## INCOME DETAILS

Income Range per annum (Gross Annual Income)  Below 1 Lac  1-5 Lac  5-10 Lac  10-25 Lac  25 Lac - 1 crore  >1 Crore

Net Worth (not older than 1 year): \_\_\_\_\_ Date (DD/MM/YYYY) \_\_\_\_\_

Occupation (Individuals)  Private Sector  Public Sector  Government Service  Business  Professional

Retired  Student  Agriculturist  Housewife  Others \_\_\_\_\_

Please tick, if applicable, for any of your authorised signatories/promoters/partners/karta/Trustees/Whole time Director  Politically Exposed Person  Related to a Politically Exposed Person

## PAST ACTIONS

Details of any action/proceedings initiated/pending/taken by SEBI/Stock Exchange/ any other authority against the applicant/constituents or its Partners/promoters/whole time directors/authorised persons in charge of dealing in securities during the last 3 years.

## DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-Broker Name : \_\_\_\_\_ SEBI Regn. Number: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Website \_\_\_\_\_

Whether dealing with any other stock broker/sub-broker (in case of dealing with multiple stock-brokers/sub-brokers provide details for all):

Name of Stock Broker: \_\_\_\_\_

Name of sub-broker: \_\_\_\_\_

Client Code: \_\_\_\_\_ Exchange \_\_\_\_\_

Details of any disputes/dues pending from/to such stock broker/sub-broker:

## NOMINATION DETAILS

I/We wish to nominate

I/We do not wish to nominate

Name of Nominee: \_\_\_\_\_

Relationship with Nominee: \_\_\_\_\_

PAN of Nominee:

Date of Birth of Nominee (DD/MM/YYYY)

Phone no. of Nominee: \_\_\_\_\_

Address of Nominee: \_\_\_\_\_

In case the Nominee is a minor, provide details of guardian:

Name of guardian: \_\_\_\_\_

Address of guardian: \_\_\_\_\_

Phone no. of guardian: \_\_\_\_\_ Signature of guardian: \_\_\_\_\_

**Witnesses (Only applicable if the account holder has made nomination):**

EXCHANGE	FIRST WITNESS DETAILS	SECOND WITNESS DETAILS
Name		
Address		
Signature		

**DECLARATION**

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief. I /we undertake to inform you of any changes therein immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we 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 tariff sheet.
3. I/we further confirm having read and understood the contents of the 'Rights and Obligations' documents 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 have been displayed for information on the stock brokers designated website.

Place:\_\_\_\_\_

Signature of Client:\_\_\_\_\_

Date:\_\_\_\_\_

**ADDITIONAL DOCUMENTS FOR OPENING DERIVATIVES ACCOUNT**

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 the risk management policy of the stock broker need to be provided by the client from time to time.

- 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.
- Demat master or recent holding statement issued by DP bearing name of the client.

# POLICIES & PROCEDURES

NOW, THEREFORE, IN CONSIDERATION OF THE MUTUAL UNDERSTANDING AS SET FORTH IN THIS AGREEMENT, THE PARTIES THERETO HAVE AGREED TO THE FOLLOWING TERMS AND CONDITIONS:

Clauses 1 to 10 are prescribed by SEBI and hence these are mandatory in nature,

1. The stockbroker declares that it has brought the contents of the risk disclosure document to the notice of client and made him/her/it aware of the significance of the said document. The client agrees that:

- He/she has read and understood the risks involved in trading on a stock exchange.
- He/she/it shall be wholly responsible for all his investment decisions and trades.
- The failure of the client to understand the risk involved shall not render a contract as void/violable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trade in segments into which the client chooses to trade.
- He/She/it has been disclosed/informed that the stock broker does trade in all segments of trading in the exchange as 'Proprietary Trade'.

## 2. Refusal of orders for penny stocks

"Penny Stocks" as generally understood are those scripts whose market price is less than its face value. As per company policy, the trades done in such stocks will be monitored. The client may be questioned about such trading by the stock broker. If found improper or manipulative or creating false or misleading appearance in the securities market, then the stock broker may refuse to allow the client from trading in such stocks.

Exchange also gives a list of illiquid securities on monthly basis, which are thinly traded shares of small companies and are infrequently traded. Such monthly lists are available with the dealers. If any client is found to be indulging in trading in such stocks in high volume (as a % to the total market volume), the stock broker may require the client to submit adequate clarification. As per its due diligence measures, if found necessary, the stock broker may disallow the client from trading in those scripts.

## 3. Setting up clients exposure limits

The client agrees to abide by the exposure limits, if any, set by the stock broker or by the exchange or clearing corporation or SEBI from time to time at the time of entering into the agreement or availability of funds, margins cash or shares provided by the client. The client exposure is set on the basis of the financial soundness and turnover of the client.

In Futures and Options segment, exposure limit of each client is set, based on Margin money given by the client, as per the exchange regulations and shall vary from time to time. Certain financial disclosures/information are additionally required from clients who opt for this segment.

## 4. Applicable Brokerage Rate

The brokerage rate applicable to the clients vary from client to client depending on the category of the client, like HNI, institutional, low, medium and high risk client. At the time of induction of a new client, the financial stability of the client is assessed/measured and the expected volume is also determined and the brokerage is fixed with the mutual consent of the client. However, the brokerage rate charged from the clients do not exceed the maximum brokerage specified by the Exchange. If any mismatch in brokerage rate is found with the agreed rate, the same can be brought to our notice.

The client agrees that the brokerage for penny stock is higher than the normal brokerage rates and is payable as per mutual understanding and may vary from client to client depending upon volumes and other parameters but would not exceed the maximum brokerage permissible.

## 5. Imposition of penalty/delayed payment charges

In case of delay of payment by the client to the stock broker on its due date, the stock broker may levy penalty in respect of such delayed payment though the same is not charged presently. The penalty charges on delayed payment on over due amount from the client would be @0.05% on daily basis and if we fail to make payment within one working day after the specific request of the client to make payment, penalty @0.03% would be charged on a daily basis.



## **6.The right to sell client's securities or close client position, without giving notice to the clients on account of non payment of client dues.**

Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. after giving telephonic reminder to the client and adjust the proceeds of such liquidation/closeout, if any, against the clients liabilities/obligations. Any and all the losses and financial charges on account of such liquidation/closing out shall be charged to and borne by the client.

Principally, company follows the practice of giving reasonable opportunity to the client to meet its obligations failing which the client position is squared off. However, the stock broker takes due consideration of long term association and the assurance of the client considering its ability to pay in due course.

## **7.Shortages in obligations arising out of internal netting of trades**

The client agrees that in case of shortage in obligations arising out of internal netting of trades, short shares are brought in the market and are transferred to the client who had not received the shares in pay out. The account of the client who has failed to deliver shares shall be debited for such market purchase and shall be payable by him/her/it.

## **8.Condition under which a client may not be allowed to take further position or the broker may close the existing position of the client:**

The client agrees that he/she may not be allowed to take further position under the following conditions:

- the client has a due/debit or a continuous debit balance- such a client is allowed to close his/her open position but is not allowed to take any new position
- the client has defaulted in meeting cash/securities obligation leading to compulsory close out of position by broker.
- the client may not be allowed to take position in a script where the broker's limit has come to an end or where the exchange is not allowing any further position in that script.

## **9.Temporarily suspending or closing a clients account at the clients request**

- The account of a client can be suspended on receiving a written request from the client and will be reactivated on receiving a written request.
- In case a client gives a written request for account closure, then the account of the client shall be settled and the trading code shall be closed in the front and back office of the broker. However, if the client is through a registered sub broker, the sub broker shall also be informed and he/she/it has to give his consent for closing the same. In future if the client seeks to reopen his account with the stock broker, he/she/it shall be required to submit a new KYC form and execute necessary documents as if a new account is being opened.
- The client further agrees that due to non payment of the dues of the stock broker, or any order of SEBI/NSE against the client, or non submission of information/documents as are mandatory /relevant, the account may be suspended temporarily.

## **10.Deregistering a client**

The client agrees that he/she/it will be deregistered if he/she/it is suspended from trading by any regulatory authority, or is unable to meet its dues to the stock broker, or if there is any breach in the terms and conditions of the agreement between the broker and the client. The trading account of the client will be closed after effecting full and final settlement of the accounts and securities of the client, if any.

## **11. Inactive Accounts**

The account of a client who does not trade or remain inactive for four consecutive calendar quarters reckoned from the end of the calendar quarters in which the client has traded shall be declared "inactive account" and will be temporarily suspended. The broker reserves right to ask for any documents in support of current address, bank account, demat account, financial status etc before reactivating such accounts.

**Client Acceptance: I/ We confirm having read and understood the same. Sign:\_\_\_\_\_**

# TARIFF SHEET

## BROKERAGE

EXCHANGE	%	Min. Paisa	Min. Per Lot
<b>Capital Market</b>			
Square Up Brokerage			Not applicable
Delivery Brokerage			Not applicable
<b>Derivatives Market</b>			
Brokerage in futures			
Brokerage in Options			

## TRANSACTION CHARGES

	Basis of calculation	NSE
Capital Market	% of turnover	
Futures	% of turnover	
Options	% of turnover	

## TRANSACTION CHARGES

	Basis of calculation	CAPITAL	DERIVATIVES
STT & Education Cess on brokerage	% of Brokerage		
STT & Education Cess on turnover	% of turnover		
Stamp	% of square up turnover		
	% of delivery turnover		
SEBI Turnover Charges	% of Turnover		

# AUTHORITY LETTER FOR RUNNING ACCOUNT OF FUNDS & SECURITIES

To,  
Daulat Securities Limited  
86,Canning Street  
3rd Floor. Kolkata - 700001

Date:

Dear Sir,

I am aware that as per the SEBI/Exchange requirements, the settlement of funds/securities shall be done within one working day of the payout. However, I request you to kindly keep my account as a running account, which will entail that securities and funds due to me on payout shall be withheld by yourself on ongoing basis to be utilised for meeting my settlement/margin obligations as and when required and given to me only on demand. I understand and agree that:

- No interest will be payable to me/us on the amounts or securities so retained with you.
- You shall transfer the funds/securities lying in my credit within one working day of the request if the same are lying with you and within 3 working days from the day of request if the same is lying with the clearing corporation/clearing member.
- I/we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard I/we hereby authorise Daulat Securities Ltd. to act at its discretion of adjusting any credit balance under my/our various accounts against the debit in any account across segments/Exchange, without taking any further instruction from me/us.
- I/we also confirm that the securities lying in my withhold A/c should be considered as margin deposit / collateral.
- I/we authorise you to set off a part or whole of the margin deposited by me/us. against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
- I/we hereby authorise you to pledge my / our securities deposited as margin or withheld by you as, permitted in the running account and to deposit my / our funds deposited as margin to Exchanges / Clearing Corporations towards margin.
- I/we may revoke the authorisation at any time by giving a written notice.
- I/we also agree that the actual settlement of fund and securities shall be done by us, at least once in a calendar quarter or month and the statement of account for the same will be provided to me by Daulat Securities Ltd.

PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT (FUNDS & SECURITIES):  Quarterly  Monthly

- I/We agree that for funds given towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR) periodic settlement may not be possible.
- I/we shall bring any dispute arising from the statement of account or settlement so made to the notice of Daulat Securities Limited within, 7 working days from the date of receipt of statement.
- I/we agree that there shall be no inter-client adjustment for the purpose of settlement of the 'running account'.
- I/we agree that (a) in respect of derivatives market transactions, the Trading Member may retain the requisite securities / funds on settlement date to take care of any margin obligation arising in next 5 days, calculated in the manner specified by the Exchange, (b) in respect of cash market transactions, the Trading Member may retain entire pay-in obligation of funds & securities due from me / us as on the date of settlement and for next day's business, the Trading Member may retain funds / securities / margin to the extent of value of transactions executed on the day of such settlement.

Thanking you,

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Signature of the Client

# ISSUE OF CONTRACT NOTES & OTHER DOCUMENTS IN ELECTRONIC FORM

To,  
Daulat Securities Limited  
86, Canning Street  
3rd Floor. Kolkata - 700001

Date:

Sub: Request to Daulat Securities Limited (hereinafter referred to as DSL) for sending the contract notes, bills, ledgers, transactions, statements, reports, letters, circulars, notices, statement of accounts for funds/securities, etc. electronically on Email id: \_\_\_\_\_

As you are aware, I had entered into a Stock Broker-Client Agreement with you and submitted to you Client registration form for commencing the dealings through your trading terminal. It has been informed to me/us that there is a facility for receiving the contract notes, bills, ledger, transactions statements, reports letters, circular, notices, statement of accounts for funds/securities etc, through the electronic mode i.e. e-mail, and since the facility for sending the same through electronic media is available, I/We hereby request you to send me/us the contract notes, bills, ledgers, transactions statements, reports, letters, circulars notice statements of accounts for funds/securities etc. electronically on above mentioned e-mail id. I/We hereby agree to the following terms and conditions and undertake to complete the necessary formalities as advised by you from time to time.

- I hereby agree to complete the necessary formalities required to comply with the provisions of the information technology Act, 2000 and the procedure prescribed for receiving the electronic contract notes, bills, ledgers, letters, notices, statement of accounts for funds/securities etc. in respect of trades/transactions done through the terminal of DSL.
- I agree that digitally signed contract notes (ECN), statements, documents, correspondence sent to my email id as above shall be binding upon me and shall be deemed to have been given in paper form.
- I agree that it is my responsibility that my email id is active and my mail box is not full.
- I agree that any non receipt of bounced mail notification sent by you in respect of any email sent to my id as above shall be considered as received by us.
- I undertake to check the ECN's and bring any discrepancy to your notice within 24 hours of such issuance. My verification or non assessing of such ECN's on a regular basis shall not be a reason for disputing the contract notes at any time.
- I understand that whenever the ECN' have not been delivered/rejected, that same shall be sent by you in physical form.
- I agree that you shall not be responsible for non receipt of any ECN's by me in case of any change in email id/address that has not been intimated to you.
- I confirm that this mandate has been given at our discretion and I have the right to terminate this mandate anytime by giving you a notice in writing.

Thanking you,

\_\_\_\_\_  
Signature of the Client

# CONSENT LETTER FOR EMAIL & MOBILE ALERT FACILITIES

To,  
Daulat Securities Limited  
86,Canning Street  
3rd Floor. Kolkata - 700001

Date:

Sir,

This is with reference to my trading account opened with you. I request you to arrange the facility of receiving email and mobile alert facility issued by exchange in compliance with the regulations and guidelines issued by the concern authorities from time to time.

	EMAIL	SMS
SERVICE REQUIRED	<input type="radio"/> YES <input type="radio"/> NO	<input type="radio"/> YES <input type="radio"/> NO
ID/MOBILE NUMBER		
NAME OF OWNER		
PAN OF OWNER		
RELATIONSHIP WITH CLIENT		
SIGNATURE OF CLIENT		

\*Please specify the name and PAN detail in case email id/mobile number is other than that of client.

In this regard, we state the following:

- This is to further confirm that it is my responsibility that the mobile number provided is active and that the inbox corresponding to the email provided is not full. Further, the trading member will not be liable for the mails/SMS alert not received.
- I undertake that any change in email/phone number will be communicated to you in writing through a physical letter.
- I agree that this authority is valid unless it is revoked by me at any time by giving a notice to Daulat Securities Ltd.

Thanking you,

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Signature of the Client

# VOLUNTARY INFORMATION PROVIDED BY CLIENT IN RELATION TO PREVENTION OF MONEY LAUNDERING ACT, 2002

Name of client: \_\_\_\_\_

If Business/Profession: Nature of Business : \_\_\_\_\_

Industry : \_\_\_\_\_

Details of my relatives having account with Daulat Securities:

NAME	RELATIONSHIP	UCC

Details of Corporate/Partnership Firm/Trust etc where we are affiliated:

NAME	ENTITY TYPE	NATURE OF BIZ.	RELATIONSHIP	UCC

I/We hereby submit and agree to submit every year following documents to Daulat Securities Ltd. before the due date as prescribed by Daulat Securities Ltd:

- Profit & Loss Account & Capital Account
- Balance Sheet
- Self attested copy of income tax return (if return not available, I/we will furnish Form 16)
- Copy of Form 16 in case of salary income
- Any other document providing financial detail of client

I confirm that I will immediately inform Daulat Securities in case I am convicted under any grounds or any action is taken against us by any authorities.

I intend to invest in stock market with :  Own funds  Borrowed funds

If borrowed funds, specify the following:

SOURCE OF BORROWED FUNDS	AMOUNT

I hereby declare that I am the beneficial owner of the trading account opened with Daulat Securities, and that I am investing my own funds with Daulat Securities.

\_\_\_\_\_  
Client Signature

## OFFICE USE

Risk Categorisation of PMLA, 2002:  High Risk  Medium Risk  Low Risk

Verified by: \_\_\_\_\_

Authorised & Approved by: \_\_\_\_\_

# FATCA/CRS DECLARATION FORM

Applicant Name: \_\_\_\_\_

**Part I:** Please fill in the country for each of the following:

1. Country of Birth: \_\_\_\_\_ Citizenship: \_\_\_\_\_ Residence for Tax Purpose: \_\_\_\_\_

2. US Person :  Yes  No

**Part II:** Please Note:

- If in all the fields above, the country mentioned by you is India and if you do not have a US person status, please proceed to part III for signature.
- If for any of the above field, the country mentioned by you is not India, and/or if your US person status is YES, please provide the taxpayer identification number (TIN) or functional equivalent as issued in the specific country in the table below:  
1. TIN: \_\_\_\_\_ Country of Issue : \_\_\_\_\_  
2. TIN: \_\_\_\_\_ Country of Issue : \_\_\_\_\_  
3. TIN: \_\_\_\_\_ Country of Issue : \_\_\_\_\_
- In case any of the parameters in Part I indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Number/functional equivalent, please complete and sign the self certification section given in part IV.
- In case you are declaring US person status as 'NO' but your country of birth is US, please provide document evidencing Relinquishment of Citizenship. If not available, please provide reasons for not having relinquishment certificate.

**Part III:** Customer Declaration (Applicable for all Customers):

- Under penalty or perjury, I certify that:
  - The applicant is : (applicable only if account holder is identified as a US person)
    - 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 .
    - an estate the income of which is subject to U.S federal income tax regardless of the source thereof.
  - The applicant is an applicant taxable as a tax resident under the laws of country outside India. (applicable only if account holder is tax resident outside India)
- I understand that Daulat Securities Ltd. is relying on this information for the purpose of determining the status of the applicant names above in compliance with FATCA/CRS. Daulat Securities is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I shall seek advice from professional tax advisor for any tax questions.
- I agree to submit a new form within 30 days if the information or certification on this form becomes incorrect.
- I agree that as may be required by domestic regulators/tax authorities Daulat Securities may also be required to report, reportable details to CBDT or close or suspend my account.
- I certify that I have provided information on this form to the best of my knowledge and belief and that the certification is true and correct, and complete including the taxpayer identification number of the applicant.

Signature: \_\_\_\_\_ Name: \_\_\_\_\_ Date(DD/MM/YYYY): \_\_\_\_\_

**Part IV:** Self Certification:

To be filled only if:

- Name of the country in Part I is other than India and TIN or functional equivalent is not available, or
- US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore I am providing the following document as proof of my citizenship and residency in India.

Document Proof submitted (Please Tick document being submitted):

- Passport
- Election ID Card
- PAN Card
- Driving License
- UIDAI Letter
- NREGA Job Card
- Govt. Issued ID Card

Signature: \_\_\_\_\_

**\*U.S person means,**

- an individual, being a citizen or resident of United States of America
- a partnership or corporation organised in the United States of America or under the laws of the United States of America or any state thereof;
- a trust, if:
  - a court within the United States of America would have authority under applicable law to render orders or judgements concerning substantially all issues regarding administration of the trust; and
  - one or more U.S persons have the authority to control all substantial decisions of the trust; or
- an estate of a decedent who was a citizen or resident of the United States of America;

**Functional Equivalent of TIN**

Many countries do not issue TIN to their taxpayers. However, such countries issue some other high integrity number with an equivalent level of identification (a functional equivalent). Example of such numbers are:

- Social Security Number
- National Insurance Number
- Citizen or Personal Identification Number/Code
- Resident Registration Number



# ACKNOWLEDGEMENT

To,  
Daulat Securities Limited  
86,Canning Street  
3rd Floor. Kolkata - 700001

Date:

## **Sub: Acknowledgement for receipt of documents**

Sir,

This is to acknowledge the receipt of a copy of the duly executed following documents:

- Copy of KYC Form
- Copy of rights and obligations of stock broker, sub broker and client
- Copy of risk disclosure document
- Copy of guidance note
- Copy of policies and procedures
- Copy of tariff/brokerage charge sheet
- Copy of any other document executed by me as a client

I hereby declare that I have the full intimation of the trading code and the unique client code allotted to me and the email id for the purpose of receiving electronic contract notes and other details by Daulat Securities Limited. The same as been confirmed through their KYC.

Thanking you,

-----  
Signature of the Client

## OFFICE USE

UCC Code allotted to client:-----

I/we undertake that we have made the client aware of 'Policy & Procedures', tariff sheet and all the non mandatory documents. I/We have also made the client aware of the 'Rights & Obligations document, RDD & guidance note. I/We have sent him a copy of all KYC documents. I/We undertake that any change in the 'Policy & Procedures', tariff sheet and the non mandatory documents would be duly intimated to the client. I/We also undertake that any change in the 'Rights & Obligations' & RDD would also be available on the website, if any, for the information of the clients.

Document Verified with Original & client interviewed by :

Name of employee:

Designation of employee:

Date:

Signature of employee:

Signature of authorised signatory :

Seal of Broker