

SANJAY AGARWAL BROKING LIMITED

CLIENT REGISTRATION FROM
(CAPITAL MARKET SEGMENT)
FOR NON-INDIVIDUALS

CLIENT CODE.....

CLIENT NME.....

- ❖ Member of National Stock Exchange of India Ltd.
- ❖ Capital Market Segment
- ❖ NSE Trading Member Code No. 90102
- ❖ SEBI Regn. No. INZ000097519

ACCOUNT OPENING KIT

Name of stock Broker / Trading Member/Clearing Member:

SANJAY AGARWAL BROKING LIMITED

SEBI Regn . No. and Date: INZ000097519 Dt. 13.01.2017

Registered & Correspondence Office address:

G-22, Fotune Chambers, 6 Lyons Range, Kolkata-700001

Phone: (033)2230-9950/3795,98311-37537

E-mail: sanjayagarwalbrokingltd@gmail.com

Compliance Officer Name, Phone No. &email ID:

Mr. Sanjay Kumar Somani, 98740-33746, sanjayagarwalbrokingltd@gmail.com

For any grievance/dispute, please contact SANJAY AGARWAL BROKING LIMITED at the above address on email id: sanjayagarwalbrokingltd@gmail.com and Phone No.:(033)2230-9950.In case not satisfied with the response, please contact the National Stock Exchange of India Ltd. At ignse @ nse.co.in and Phone No. (022)2659-8190.

Disclosure of Proprietary trading pursuance to SEBI Circular No. SEBI/MRD/SE/Cir-42/2003 dated 19th Nov.,2003and NSE Circular No. : NSE/INVG/PRE/2003/16 dated 25th Nov.,2003:

We, SANJAY AGARWAL BROKING LIMITED, are also engaged in proprietary trading apart from Client based Business.

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 employes		
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 'Right and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

.....

Signature of the Authorized Signatory

Date:

Seal/ Stamp of the broker

INDEX OF DOCUMENTS

SL.NO.	NAME OF THE DOCUMENT AND ITS BRIEF SIGNIFICANCE	PAGE NOS.
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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

1. Account Opening Form
 - a. KYC Form – Document capture the basic information about the constituent
And an instruction /check list.
 - b. Document capture the additional information about the constituent relevant
to trading account and an instruction /check list.
2. Rights and Obligations
Documents stating the Rights & Obligations of stock broker/trading member,
Sub-broker and client for trading on exchange (including additional rights & obligations
In case of internet/wireless technology based trading)
3. Risk Disclosure Document(RDD)
Document detailing risk associated with dealing in the securities market
4. Guidance note
Document detailing do's and don'ts for trading on exchange, for the education of the
Investors.
5. Policies and Procedures
Document describing significant policies and procedures of the stock broker.
6. Tariff sheet
Document detailing the rate/amount of brokerage and other charges levied on the
Client for trading on the stock exchange(s).

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

7. Write up on PMLA
Brief write up on the provision and prevention of money laundering Act 2002(PMLA)
Which clients' needs to know
8. Check List
Instruction for filling KYC form
9. Additional Clause
Additional voluntary clauses supplements of Accounting Opening form

10. Authority Letter for Running Account

The document deals with an option given to client to settle his obligation towards funds and securities on a running basis & settle at monthly / quarterly interval at his discretion.

11. Mandate to issue documents in electronic format

The documents deals with the clauses relating to issue of contracts Notes, daily margin statement , quarterly statement etc. in electronic format

12. Letter Of Authority

The document deals with some voluntary declaration given by the client & also authorizes the member for operational convenience.

13. Consent Letter for email and Mobile Alert Facility

As required under various circulars of SEBI and Exchange(s)

14. Declaration by client in relation to PMLA, 2002

The document deals with other additional voluntary information to be provided by the client in relation to prevention of Money Laundering Act, 2002.

15. ANTI MONEY LAUNDERING/ COMBATING FINANCING OF TERRORISM – LITERATURE

The document gives an overview of what is Money Laundering its objectives, its effects on economy and society, and local regulations to fight money laundering.

KYC Application Form for Depository Services

1	Charges for Depository	Information on Tariff structure for DP Services as per DP Regulations
2	Rights & Obligations Depository Participant	Rights and obligations of the Beneficial owner and Depository Participants
3	Power of Attorney	Power of Attorney needed to operate DP account with the Participant

Know your client (KYC) Application form for Non-Individuals

Sanjay Agarwal Broking Limited

Application form for individuals New Modification

Please fill the application in English and in BLOCK letters with black ink

Application No

A. Identity Details: (Please see the guide line over leaf)

1. Name of the Applicant (As appearing in the supporting identification document)

Name: _____

2. Date of Incorporation: _____ Place _____

3. Registration No. (Eg CIn) _____ Date of Commencement of Business _____

4. Status (Please tick) Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership

5. Trust/Charities/NGOs FI FII HUF AOP Bank Govt. Body Non-Govt.

6. Organization Defense Establishment LLP Society Body of Individuals

Others(Please Specify) _____

7. Permanent Account Number(PAN)(MANDATORY) _____

B. Address Details: (Please see the guide line over leaf)

1. Address for correspondence : _____

City/town/village: _____ Pin: _____

State: _____ Country: _____

2. Contact Details: _____

Tel with STD Code: _____ Mobile: _____

Email ID: _____

3. Proof of address to be provided by applicant. Please submit any one of the following valid documents and tick against the document attached

Registered Lease/Sale Agreement Latest Telephone Bill (only LL) Latest Electricity Bill*

Latest Bank Account Statement Any other proof of address document(as listed overleaf)
Please specify _____

- Note more than 3 months old. Validity/expiry date of proof of address submitted _____

4. Registered Address of Resident (if different from above)

City/town/village: _____ Pin: _____

State: _____ Country: _____

5. Proof of address to be provided by applicant. Please submit any one of the following valid documents and tick against the document attached

Registered Lease/Sale Agreement Latest Telephone Bill (only LL) Latest Electricity Bill*

Latest Bank Account Statement Any other proof of address document(as listed overleaf)
Please specify _____

- Note more than 3 months old. Validity/expiry date of proof of address submitted _____

Declaration

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I under take to inform you of any changes there in, immediately. In case any of the above Information if found to be false or untrue or misleading or miss representative. I am/we are aware that I/We may be held liable for it.

I hereby consent to receive information form CKYC registry through SMS/Email on the above mention Registered number/Email ID

Place: _____ Date: _____

Signature of Applicant

KYC verification/in person verification (IPV) carried out by: (for Office use only)

Name of official: _____

Designation: _____

Employee/AP Code: _____

(Originals Verified) Self Certified Documents (Attested) True copies of documents received

Signature of Applicant

In case of non-individual, additional document to be obtained from non-individuals, over & above the POI & POA, as mentioned

Type of entity	Documents Requirement
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 the 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 of POI, POA, PAN and DIN numbers of whole time directors in charge of day to day operations. • Photograph of POI, POA and 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 Resolutions for investment in Securities market • Authorized 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 Registration (for registered partnership firm only) • Copy of partnership deed. • Authorized signatories list with specimen signatures. • Photograph, POI, POA and 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 Registration (for registered trust firm only) • Copy of trust deed. • List of trustees certified by managing trustees /CA • Photograph of POI, POA and 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 and PAN of Karta
Unincorporated association or a body of	<ul style="list-style-type: none"> • Proof of Existence/Constitution document • Resolution of the managing body as: Power of Attorney granted to

individuals	<p>transact business on its behalf</p> <ul style="list-style-type: none"> Authorized signatories list with specimen signatures
Bank/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 Investor(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-Certified on letter head 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 resolutions for persons authorized to act as authorized signatories with specimen signature Trust copy Society Rules and Bye-Laws certified by the Chairman/Secretary.

Details of Promoters/Partners/Karta/Trustees and whole time director forming a part of Know your Client(KYC) application Form for Non-Individuals

Sr. No	PAN	Name	DIN (For Directors) UID(for Others)	Residential/Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

Name & Signature of the Authorized Signatory (ies)

Date: _____

ADDITIONAL DETAILS(PARTS - B)

Offline account Online EXE account(Fee Rs. 750/-) Online WEB Account DP Account

Income and Occupation Details

Gross Annual Income Details: Upto 1 Lac 1-5 Lac 10-25 Lac 25-1 Crore Above 1 Crore

Net worth(should not be older than one year): _____ Net worth Date: _____

RBI Approval Ref No.(For NRI/FN/FII/OCB/Others) _____ Date of Approval: _____

SEBI Registration No.(For FIIs): _____

Income Proof: IT Return Last 6 Month Bank Statement Salary Slip/Form 16 Latest DP Statement

Occupation: Private Sector Public Sector Govt. Service Business Professional

Agriculturist Retired House Wife Student Others: _____

Name of the Employer: _____

Address & Contact No: _____

Please tick if Applicable: Politically Exposed Person Related to Politically Exposed Person

Details of Dealing through Sub-Brokers & Other Stock Brokers

Name & Address of Broker: _____

Telephone & Web Site: _____

SEBI Registration No: _____

Client Codes: _____

Total Number of year Experience: Nil 1-3years 3-6 years More than 6 years

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

Past action: 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 Person in charge of dealing in securities during the last 3 years.

Whether you wish to receive Physical contract note or Electronics Contract Note (ECN)

Whether you wish to avail the facility of internet/wireless trading/mobile trading/technology

(Please specify) Yes No

Exchange & Segment Preferences

Please tick and sign on the relevant boxes where you wish to trade and segment not selected should be strike off by client

EXCHANGE	CASH
National Stock Exchange (NSE)	
Bombay Stock Exchange (BSE)	

Declarations

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I under take to inform you of any changes there in, immediately. In case any of the above information if found to be false or untrue or misleading or miss representative. I am/we are aware that I/We may be held liable for it.

I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and tariff sheet.

I/we further confirm having read and understood the contents of the ‘Right and Obligations’ document(s) and ‘Risk Disclosure’ document, additional voluntary risk disclosure clauses and policy and procedures. I/we do hereby agree to be bound by such provisions as out lined in these documents. I/we have also been informed that the standard set off document has been displayed for information on stock brokers designated web site, if any.

Client Name		Client Signature
Place		
Date		

Bank & Depository Account Details

Name & Address: _____

Bank Account No: _____ MICR No: _____

IFSC Code _____ A/C Type: Savings Current _____

Others _____

DEPOSITORY PARTICIPANT NAME	DPID	CLIENT ID	DEPOSITORY
			<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL

Declaration for Mobile Number and Email ID (DP & TRADING)

I hereby declare that email id and mobile number mentioned in the application form belongs to:

Me My Family Member Spouse Dependent Parent Dependent Children

I request you to update the same in your records for My DP/Trading account opened in Sanjay Agarwal Broking Limited.

Signature

First Holder	Second Holder	Third Holder

Brokerage Tariff for Trading

Segment	Standard Rate	
	Minimum Paise	%Terms
Cash Delivery		
Cash Jobbing		

1. The above rates are exclusive of service tax and education cess, SEBI/Exchange/Clearing Member Charges, Stamp Duty, Statutory Charges payable to exchange /SEBI/Govt. Authorities etc., which will be charged extra at the rate prevailing from time to time.
2. In addition to this DP Annual Maintenance Charges, DP Transaction charges/Pledged/Unpledge/Demat/Remat charges, DP inter settlement charges, Account Opening charges, Bank Charges towards Cheques received unpaid, charges towards customized/special service, which will be charged extra at the rate prevailing from time to time.
3. The general rates as mentioned here shall be applied unless the special rates as may be agreed by the sub-broker/Authorized person/Introducer and client and the same mentioned here.

4. I have read and understand the additional risk disclosure clauses given by brokers and agreed to a bend by the same

Client Signature

Introducer Details

Name: _____

Address: _____

Status of Introducer: Client Sub-Broker/AP Remissier Other _____

To
Sanjay Agarwal Broking Limited
ECO CENTER, Unit No-ECSL0710, 7th Floor, Plot No-4 Block-EM,
Sector-V, Salt Lake, Kolkata, West Bengal
Kolkata-700091
India

Dear Sirs,

Subject: Issuance of Electronic Contract notes, Statements and Communications

I/We understand that digital signed contract notes and other electronic communications is a specialized service offered by the member which is optional in nature and this document has been signed by me/us voluntarily without any coercion or force. I/We also understand that I/We have right to terminate this document. However in such an event this facility shall be liable to be terminated. I/We agree and permit the member to provide digitally signed contract notes through internet (web-based) at the registered email id mentioned in the KYC which belongs to me/us.

I/We shall access the contract notes/confirmation of the trades executed on my/our behalf on the trade date electronically. I/We understand that it is my/our responsibility to review all confirmations, contract notes statements, notice and other communications including but not limited to margin and maintenance all's, etc.

Should I/We experience any difficulty in opening a document electronically delivered by the member, the member may on receipt of intimation from the me/us in that behalf,, make the required delivery by any other electronic means (e-mail, fax, electronic mail attachment, or in the form of an available download from the back-office website) or in paper based format.

I/We agree not to receive the contract notes in paper form from the Member, Provided however that in case when the Member is not able to provide contract note to me/us through (web based) electronic medium due to any unforeseen problems, the member would ensure that the contract note reaches me/us in physical form as per the time schedule stipulated in the Bye-Laws, Rules and Regulations of the Exchanges.

I/We shall take all the necessary steps to ensure confidentiality and secrecy of the login name and password which secure my/our email-ID. Unless I/We lodge a complaint with the Member as to my/our inability to access the system, it would be presumed that contract notes and all have been properly delivery.

I/We agree that as an alternative to the e-mail communication and/or in case of non-receipt of the digital contract note through e-mail. I/We shall utilize the facility of accessing the website hosted by the Member to access the contract note.

I/We agree that in any change in the Email-ID specified above shall be communicated by me/us to the Member in writing.

I/We request you allocate a login and mail the password to me/us for accessing your website to download my contract notes and statement.

Client Name	
Client Signature	

To
Sanjay Agarwal Broking Limited
ECO CENTER, Unit No-ECSL0710, 7th Floor, Plot No-4 Block-EM,
Sector-V, Salt Lake, Kolkata, West Bengal
Kolkata-700091
India

Dear Sir,

Subject: Maintenance of Running Account (Optional)

I/We understand that maintenance of running account is a specialized service offered by the member which is optional in nature and this document has been signed by me/us voluntarily without any coercion or force, I/We also understand that I/We have a right revoke this authorization at any time and to terminate this document, subject to termination of his facility and review of Member-Client relation by the Member.

For the purpose of my/our comfort and operational convince, I/we authorize you to maintain a running account instead of settlement to settlement payout of funds or delivery of securities to me/us. All funds and Securities kept to my/ours credit by you, may be treated as up front margins and oblige or securities or interest free deposit, at your discretion, for allowing exposure to me/us. Under this arrangement made at my/our specific request, I/we shall not claim any interest on the funds and securities kept in running account with you.

I/we hereby authorized you to keep the payout/ margin money deposited by me/us with you in my/our account for meeting all my/our future obligation and for providing limits for trading purpose on the basis of this deposit. This funds can be released to me/us as and when requested by me/us in writing subject to availability of free and unutilized balance after taking into consideration all open positions and dues relating to my/ours delivery positions. I/We understand and agree that the member may at it's on discretion or on periodic basis pay off the balance lying to the credit of my/our trading account.

I/we understand that as per norms prescribed by SEBI, you required to settle/release the funds and securities and regular intervals as per preference. I authorize you to settle/release the funds and securities once in calendar month/quarter.

I/we hereby further direct and authorize you to retain net amount up to Rs. 10,000.00(Net amount across segment and stock exchanges) as prescribe by the exchange while setting the account on monthly/quarterly (as the case may be) basis in addition to funds being withheld as permitted by SEBI circular MIRSD/SE/Cir-19/2009 in case I/we have traded even once during the settlement period

Client Name	
Client Signature	

MEMBER – CLIENT AGREEMENT

This agreement is made at Kolkata this _____ day of _____ between Sanjay Agarwal Broking Limited (Member of National Stock Exchange India Ltd. with SEBI Registration Number INZ000097519 for capital market segment, member on the NSE for futures and options segment with SEBI Reg. No. _____, member on the NSE for currency derivatives segment with SEBI Reg. No. _____) herein after called Member and having it's Registered office at ECO CENTER, Unit No-ECSL0710, 7th Floor, Plot No-4 Block-EM, Sector-V, Salt Lake, Kolkata – 700091, and _____

A individual/company/trust/firm or any other body duly formed and registered under the relevant act, herein after called the Client, having its residence/registered office at _____

WITNESSTH

Whereas the Member is registered as Trading Member of National Stock Exchange of India Ltd. With SEBI Reg. No. _____. Whereas the Member is eligible for providing internet based trading and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use internet protocol (IP).Whereas the Client desirous of investing/trading in those securities admitted for dealing on the exchange as defined in the Bye-Laws of the Exchange. For these purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. Whereas the client has satisfied itself of the capacity of the member to deal in securities wises to execute his orders through him and the client shall continue satisfy itself of such capability of the member before executing order through him. Whereas the member has satisfied and shall continuously satisfy himself about the genuineness and financial soundness of the client and investment objective relevant to the services to be provided whereas the member as taken steps and shall take steps to make the client aware of the precise nature of the Member's liability for business to be conducted, including any limitations on that liability and capacity in which it's acts. In consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions:

1. The Member agrees that it has complied/shall comply with all requirements applicable to securities trading using wireless technology as may be specified by SEBI and the Exchange from time to time the provisions of this agreement shall always be subject to government notifications, any rules, regulation, and guideline issued by SEBI And Stock Exchange rules, regulations and Bye-Laws that may be in force from time to time.
2. The provision of this agreement shall always be subject to Government notifications, any rules, regulations and guidelines issued by SEBI and stock Exchange rules, regulations and Bye-Laws that may be in force from time to time.

3. In the event of death insolvency of the Client or his otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be brought or sold. MEMBER may close out the transactions of the client and the client or his legal representative shall be liable for any losses, cost and be entitled to any surplus which may result there form.
4. The agreement entered into between then Member and the Client shall stand terminated by mutual consent of the parties by giving at least one month written notice. Such cancellation or termination shall not have any effect on transaction executed before the date of such notice of termination and the parties shall enjoy the same rights and shall have same obligations in respect of such transactions. The Member has bought to the notice of client the possible risks, responsibilities and liabilities associated with securities trading using wireless technology.
5. The Member shall provide information with respect to the address of the internet web site/web page where detailed information would be available about securities trading through the use of wireless technology, The Client is aware that as it may not be possible to give detailed information to the investor on a hand held device e.g. mobile phones, minimum information may be given with address of the internet web site/ web page where detailed information would be available.
6. The instructions issued by an authorized representative of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the client.
7. The Client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the Client and/or his authorized representative are not revealed to any third party.
8. The Client agrees that the Member shall not be liable or responsible for non-execution of the orders of the Client due to any link/system failure at the Client/Members/Exchange end.
9. The Stock Exchange may cancel a trade suo-moto without giving any reason thereof. In the event of such cancellation, Member shall be entitled to cancel relative contract(s) with Client.
10. The Member shall also send the Order/Trade confirmation slip through E-mail to Client, within _____ (time period as specified by the Client) from the time of execution of order/trade on the NEAT system, as the case may be. Trade confirmation will be provided to the user along with history of trades for the day. The Client agrees that the information by Member by E-mail is deemed to be a valid delivery of such information by the Member. The aforesaid information regarding order and trade

confirmation shall be provided on the device of the Client in case of securities trading through to use of wireless technology.

11. The Client is aware that the Member has provided on the web site a facility for reconfirmation orders, which are larger than that specified by the Member's risk management, by the Member and is also aware that the Member has the discretion to reject the execution of such orders based on his risk perception.
12. The Member and the Client are aware of the provision of Bye-Laws, Rules and regulations of the Exchange relating to resolutions of disputes/differences through the mechanism of arbitration provided by the Exchange and agree to abide by said provisions.
13. All trades, transactions and contracts are subject to the Bye-Laws, Rules and Regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of Mumbai and the parties to such trade shall be deemed to have submitted to the jurisdiction of the Court in Mumbai for the purpose of giving effect to the provisions of the Rules and Regulations of the Exchange.

IN WITNESS THEREOF, the parties to agreement have caused these presents to be executed as of the day and year first above written.

Signed for and on behalf of Sanjay Agarwal Broking Limited	Client's Signature
By:	
Signature	Signature
Witness:	Witness:

HUF DECLARATION

To,
Sanjay Agarwal Broking Limited
ECO CENTER, Unit No-ECSL0710, 7th Floor, Plot No-4 Block-EM,
Sector-V, Salt Lake, Kolkata, West Bengal
Kolkata-700091
India

Dear Sir,

I, the undersigned _____ the present Karta and we the undersigned _____ the present adult member of the Hindu Undivided family of _____ (hereinafter referred to as "the said joint family") are desirous of opening a Depository Account and Trading Account with Sanjay Agarwal Broking Limited at its branch in the name of _____, Hindu Undivided Family.

In the event of the Brokers acceding to our desire and opening the said Account, I _____, Karta in my personal capacity and for and on behalf of not only the present members, but the future members of the said joint family with intent to bind our interest in the undivided family property and our several separate properties and also with intent to bind so far as possible of the minor members of the said joint family undertake and agree with the brokers.

- a. That Shri _____ as the Karta of the said joint family is entitled to deal in connection with the said family without any authority from the other members of the said joint family.
- b. To give written notice thereof to the brokers in the event of any partition or any separation of any members of the said joint family.
- c. Any amount due to the brokers from the said joint family under its account with the brokers shall be recoverable from all or any of us personally and also from the properties of the said joint including the share of the minors therein.
- d. Any member who shall have separated from the said joint family shall continue to be liable to the brokers for any amount due under the account of the said joint family pending notice in writing to the brokers of such separation.

Name and ages of the Minor Member of the Hindu Undivided family

Name		Age		Sex		Relation Ship	
Name		Age		Sex		Relation Ship	
Name		Age		Sex		Relation Ship	
Name		Age		Sex		Relation Ship	
Name		Age		Sex		Relation Ship	

Yours Faithfully.

Name		Age		Sex		Relation Ship		Sign	
Name		Age		Sex		Relation Ship			
Name		Age		Sex		Relation Ship			
Name		Age		Sex		Relation Ship			
Name		Age		Sex		Relation Ship			

Signature of Karta

Date: _____

Place: _____

To

Sanjay Agarwal Broking Limited
ECO CENTER, Unit No-ECSL0710, 7th Floor, Plot No-4 Block-EM,
Sector-V, Salt Lake, Kolkata, West Bengal
Kolkata-700091
India

Acknowledgement for receiving the client registration documents

Dear Sir,

This is to acknowledge the receipt of the following listed client registration documents

S No	Brief Significance of the document
1	Client Registration Form (KYC)
2	Rights and obligation
3	Risk Disclosure Documents(RDD)
4	Guidance Note
5	Policy and Procedure
6	Write up on PMLA (Check list)
7	Tariff Sheet
8	Contact Details
9	Rights and obligations of the Beneficial owner and depository participation
10	Additional voluntary clauses supplemental Accounting Opening Form

I further state and confirm that I have read and understood all the clauses of aforesaid documents. I also confirm that I have received the relevant clarifications, where ever required from the officials of Sanjay Agarwal Broking Limited to my complete understanding and satisfaction.

Yours Faithfully,

Name of the Applicant: _____

Signature of the Applicant