

**Asit C. Mehta**  
INVESTMENT INTERMEDIATES LTD.

Form No.:

Common Client Code:

BOLD:

Account Opening Date:

Inward No:

BA Code:

KRA Complaint: Yes/No

CKYC Number (if available): \_\_\_\_\_

# INVESTPLUS ACCOUNT NON-INDIVIDUAL REGISTRATION KIT

Cash Trading + Derivative + Currency Derivative + Depository Account + IPO + MF



**INVESTMENTZ**.COM

By Asit C. Mehta  
A Pantomath Group Company

## CHECKLIST

### A. Important Points on form Filling.

Please take care of below points at the time of filling form





1. Form to be filled legibly in **BLOCK LETTERS** and in **BLACK INK** only
2. Enclose valid set of documents such as ID proof , Address proof , bank proof , Financial Proof ( Mandatory for Derivative a/c only ) , Entity documents as per check list given under Point No B.
3. All documents / Photocopies of documents submitted along with form should be Self-attested by client(s) / Authorized Signatories / Directors of the entity under Entity seal.
4. All Photocopy of documents submitted along with the form should be properly signed and stamped by authorized person of ACMIL / Associates as per ACMIL internal Circular.
5. If any proof is in Non English language, then translation into English is required.
6. Please mentioned Complete address on the form, it should not be short address. Where ever possible, room no, building name, road name, nearest known landmark should be mentioned.
7. In case of Correspondence & Registered office address are different, then proof for both the address should be submitted.
8. Name, Address, Bank details mentioned on the KYC form should match with the corresponding documentary proof submitted.
9. Please strike-off the Blank details on the form, which are not applicable.
10. Please affix (Do not staple) photographs of all holders / Authorized signatories / Directors / Partners / promoters at appropriate place provided & sign across the photograph as Partly is on the form & partly on the photograph.
11. Please submit KYC documents on A4 size paper only.
12. Please mention Brokerage scheme no at appropriate box on the form.
13. Please mention RC No / RC name where client's a/c would be mapped correctly on the form.
14. In case Cash / MF / IPO segment is opted then DP is mandatory.
15. Common KYC form to be duly filled & attach a set of documents mentioned in checklist.


### B. List of Documents to be submitted along with Form for non-individuals Additionally.

Types of entity	Documentary requirements
<b>Corporate</b>	<ol style="list-style-type: none"> <li>1. PAN card of the corporate entity.</li> <li>2. PAN Proof of all authorized signatories to be submitted.</li> <li>3. Proof of address of Registered office and correspondence Address such ( Any 1 from listed below)               <ol style="list-style-type: none"> <li>a. Bank Statement</li> <li>b. Agreement for Sales or Lease and license agreement</li> <li>c. Acknowledgement copy of ITR</li> <li>d. Telephone bill or Electricity bill ( Not more then 3 months old at the time of a/c opening)</li> </ol> </li> <li>4. Memorandum and Articles of Association &amp; Certificate of Incorporation of the Corporate Investor</li> <li>5. Names of the authorized signatory (ies), designation, photograph and their signatures duly verified by Managing Director/Company Secretary – as per format given on the form.</li> <li>6. Documents to be given on letterhead of the company.               <ol style="list-style-type: none"> <li>a. Declaration as given on the form.</li> <li>b. Copy of the Board Resolution for investment in securities market and opening of Demat account, as per format given on the form.</li> <li>c. 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). – As per format given on the form.</li> </ol> </li> <li>7. Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>8. PAN, proof of Address of whole time directors / two directors in charge of day-to-day operations. (As applicable for individual)</li> </ol>

<b>Partnership firm</b>	<p>A. Copy of the balance sheets for the last 2 financial years (to be submitted every year).</p> <p>B. Certificate of registration (for registered partnership firms only).</p> <p>C. Copy of partnership deed.</p> <p>D. Authorised signatories list with specimen signatures.</p> <p>E. Photograph, POI, POA, PAN of Partners.</p> <p><b><u>For Limited Liability Partnership firm (Additional Documents to be collected apart from mentioned above)</u></b></p> <p>A. Account shall be opened as: &lt;"Company Name" Limited Liability Partnership&gt; or &lt;"Company Name" LLP&gt;.</p> <p>B. Registration Certificate granted by the Registrar to the LLP under the LLP Act 2008.</p> <p>C. Declaration, on the letterhead of the LLP signed by all the designated partner/s clearly stating that the within named persons, who are designated partners of the LLP, have been nominated as authorized signatories to open and operate the said demat account on behalf of the LLP.</p> <p>D. The declaration shall specify the manner in which the account will be operated, that is: jointly or severally and shall give details of the names, addresses and DPIN [Designated Partner Identification Number allotted by the Registrar for each designated partner], along with their signatures and photographs</p> <p>E. The bank details in the name of the LLP, as sole / first holder in the bank account</p> <p>F. PAN Card of the LLP &amp; Authorised Signatories.</p> <p>G. Proof of Address of the LLP ( Any 1 from listed below)</p> <p>a. Documents registered with the registering authority</p> <p>b. Bank statement</p> <p>c. Agreement for sale or leave and licence agreement</p> <p>Note: - No Demat a/c is opened in the name of Partnership firm as per CDSL regulations.</p>
<b>Trust</b>	<p>A. Copy of the balance sheets for the last 2 financial years (to be submitted every year).</p> <p>B. Certificate of registration (for registered trust only).</p> <p>C. Copy of Trust deed.</p> <p>D. List of trustees certified by managing trustees/CA.</p> <p>E. Photograph, POI, POA, PAN of Trustees.</p> <p>Note: Demat a/c are opened only for registered trusts.</p>
<b>Unincorporated association or a body of individuals</b>	<p>A. Proof of Existence/Constitution document.</p> <p>B. Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf</p> <p>C. Authorized signatories list with specimen signatures.</p>
<b>Banks/Institutional Investors</b>	<p>A. Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</p> <p>B. Authorized signatories list with specimen signatures.</p>
<b>Foreign Institutional Investors (FII)</b>	<p>A. Copy of SEBI registration certificate.</p> <p>B. Authorized signatories list with specimen signatures.</p>
<b>Army/ Government Bodies</b>	<p>A. Self-certification on letterhead.</p> <p>B. Authorized signatories list with specimen signatures.</p>
<b>Registered Society</b>	<p>A. Copy of Registration Certificate under Societies Registration Act.</p> <p>B. List of Managing Committee members.</p> <p>C. Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</p> <p>D. True copy of Society Rules and Bye Laws certified by the Chairman/Secretary. ]</p> <p>E. Names of Authorized Signatories, Designation, and their Specimen Signatures</p> <p>F. PAN Card of Society</p>

Signature guide

Signature of the First Authorised Person       Second Authorised Person  /       Signature of the Witness of the Client 

Signature of the Member / DP / authorized signatory 

# INDEX

Sr. No.	Name of Document	Brief Description of document	Page
1	Know Your Client (KYC) for (1st /sole Authorised person)	This document captures the basic information about investor, such as Name, Address, Contact number. These details are updated in the records.(For first/sole Authorised Person).	6-8
2	Additional KYC Form for Trading Demat Account	This document captures the details of demat account holders, DP Tariff plan, Option form for issue of DIS booklet. Declaration for common Email ID / Mobile Number.	9-12
3	FATCA declaration	FATCA-CRS Declaration & Supplementary KYC Information	13-16
4	Additional details for Investment and Demat account	This document captures additional information about Investor such as bank, depository account, trading segment preferred, dealing through sub-broker / authorized persons and other stock brokers, past actions. additional details and nomination details and declaration by the investor.	17-19
5	Running Account Authority Letter	This document is the document in which the client agrees to maintain a single financial account on running account basis in the books of ACMIIL for both exchanges and all segments <b>(Non-Mandatory document)</b>	20
6	Demat Debit And Pledge Instruction (DDPI)	A DDPI is a document that allows a broker to debit shares from the demat account and deliver them to the Custodian / exchange.	21-22
7	HUF Declaration	This document captures all details of the Karta & Coparceners in HUF account	23
8	UBO - Ultimate Beneficial Ownership	This document captures all details of Ultimate Beneficial Ownership in account	24-25
9	For Office use only	This document is a document specifying brokerage rates chargeable to the client and will be filled by ACMIIL representative	-
<b>(Other – Mandatory Documents).</b>			
	Rights & Obligation Document* Trading / Investment A/c	This document states the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (Including Additional rights & obligation in case of internet / wireless technology based trading).	-
	Rights & Obligation Document* Demat A/c	This document states the rights and obligations of beneficial owner and depository participant.	-
	Guidance Note*	This document specifies Do's & Don'ts for trading on exchange, for education of the investor.	-
	Risk Disclosure Document	This document describes the risk associated with the stock market.	-
	Policy & Procedures	This document describes the policies & procedures of ACMIIL with respect to Settlement, Risk Management etc.	-

Note: "Other Mandatory Client Documents" is a separate booklet, which is given to client.

\* Formats are as prescribed in SEBI circular CIR/MIRSD/16/2011 issued on August 22, 2011

## Important points on form filling

Please take care of below points at the time of filling form:

- Form to be filled legibly in BLOCK LETTERS and in BLACK INK only.
- Enclose valid documents of all proofs. ID, address and Bank proofs are mandatory for all clients, financial proof is mandatory only for derivatives accounts.
- All documents / photocopies of documents submitted along with form should be Self-Attested by client(s). In case of HUF a/c, the documents should be signed by Karta of HUF under seal of HUF.
- All photocopy of documents submitted should be verified by authorized person of ACMIIL at branch / Associates as per ACMIIL internal circular.
- If any proof is in Non-English language, the same should also be translated into English and duly attested and submitted
- Permanent Address is Mandatory; Care of (c/o) address is not accepted as permanent address.
- In case correspondence and permanent address are different, then proof for the both addresses should be submitted.
- Please mention complete address on the form, it should not be short address. Wherever possible, room no., building name, road name, nearest known landmark should be mentioned.
- Name, Address, Bank details mentioned on KYC form should match with the documentary proof submitted.
- In case any fields in the form are left blank (where not applicable ),Please strike off these fields.
- Please affix (Do not staple) photographs of all holders at appropriate place provided & sign Across the photograph partly on the form & partly on the photograph.
- In case of NRI account, FEMA Declaration given in the form to be duly signed by all holders & PIS approval letter from authorized dealer /Bank is mandatory.
- Please mention Brokerage scheme no. at appropriate box on the form.
- Please mention RC No./RC name where clients are to be mapped, correctly on the form.
- In case account is to be opened in cash segment, then demat account, either with ACMIIL/other Depository Participant (DP), is mandatory

## Asit C. Mehta

INVESTMENT INTERMEDIATES LTD.

Regd. Office : Pantomath Nucleus House, Saki Vihar Road, Andheri (E), Mumbai 400072. Maharashtra, INDIA.

Tel.: (022) 2858 4545 • www.investmentz.com • E-mail: customerservice@acm.co.in • CIN: U65990MH1993PLC075388

Compliance Officer: Ms. Surmeet Kaur Chandhok a Phone No. 022 2858 3022 Email: complianceofficer@acm.co.in

CEO: - Mrs. Deena Mehta Phone No. 022 2858 3333 Email: customerservice@acm.co.in

For any grievance / dispute please contact Asit C. Mehta Investment Intermediates Ltd.

At the above address or write to email id - customerservice@acm.co.in / investorgrievance@acm.co.in and phone no. 022 2858 4545.

In case not satisfied with the response, please contact the concerned exchange(s) / depository at ignse@nse.co.in and

phone no. 1800220058 (NSE) / is@bseindia.com and phone no. 022-22728097 (BSE)

complaints@cdslindia.com and phone no. 022-23023333 (CDSL)

Dear Investors,

We thank you for choosing Asit C. Mehta Investment Intermediates Limited for providing you services for your investment needs. We value your patronage and assure you that we will strive to assist you in the best possible manner for all your investment related needs.

We enclose herewith Know Your Client “KYC Form” and other Agreements for execution with the respective Stock Exchanges. Kindly note that these documents are prescribed by the Regulatory authorities and are in mutual interest. We also enclose the risk disclosure document for your understanding of risk when you invest in the Capital Markets and an Annexure describing your rights and obligations. We urge you to go through these documents to enhance your investment experience.

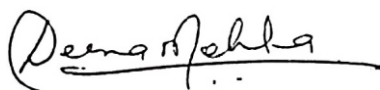
We request you to provide us with your email address so that your accounts and contract information can be sent to you electronically. We suggest that this booklet be returned with all necessary supporting documents together to ensure speedy processing. Requesting you to collect your Login ID and a Password from us to enable you to view / retrieve your records and investment information from our site [www.investmentz.com](http://www.investmentz.com).

We once again thank you.

With warm regards,

Yours faithfully

For **ASIT C. MEHTA INVESTMENT INTERMEDIATES LTD.**



**DEENA A. MEHTA**  
**DIRECTOR**

This page is intentionally left blank





**A. IMPORTANT POINTS:**

1. Self attested copy of PAN card is mandatory for all clients.
2. 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.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. 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.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor or photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. 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:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
3. 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.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

Residence/Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. 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.
6. 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.
7. For FI/sub account, Power of Attorney given by FI/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. 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.)

1. 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.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as 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:**

1. 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).
2. 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
<b>Corporate</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• 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)</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation</li> <li>• Copy of the Board Resolution for investment in securities market</li> <li>• Authorised signatories list with specimen signatures</li> </ul>
<b>Partnership firm</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Certificate of registration (for registered partnership firms only)</li> <li>• Copy of partnership deed</li> <li>• Authorised signatories list with specimen signatures</li> <li>• Photograph, POI, POA, PAN of Partners</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Certificate of registration (for registered trust only). Copy of Trust deed</li> <li>• List of trustees certified by managing trustees/CA</li> <li>• Photograph, POI, POA, PAN of Trustees</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF</li> <li>• Deed of declaration of HUF/List of coparceners</li> <li>• Bank pass-book/bank statement in the name of HUF</li> <li>• Photograph, POI, POA, PAN of Karta</li> </ul>
<b>Unincorporated Association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Army/Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act</li> <li>• List of Managing Committee members</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary</li> </ul>



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

Name of Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

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
						<div><input type="checkbox"/> PEP</div> <div><input type="checkbox"/> RPEP</div> <div><input type="checkbox"/> NO</div>	
						<div><input type="checkbox"/> PEP</div> <div><input type="checkbox"/> RPEP</div> <div><input type="checkbox"/> NO</div>	
						<div><input type="checkbox"/> PEP</div> <div><input type="checkbox"/> RPEP</div> <div><input type="checkbox"/> NO</div>	
						<div><input type="checkbox"/> PEP</div> <div><input type="checkbox"/> RPEP</div> <div><input type="checkbox"/> NO</div>	
						<div><input type="checkbox"/> PEP</div> <div><input type="checkbox"/> RPEP</div> <div><input type="checkbox"/> NO</div>	

## Annexure 3 - TRADING & DEMAT ACCOUNT RELATED DETAILS

### BANK ACCOUNT(S) DETAILS

Bank Name :

Branch :

Address :

City  Pin Code  State

STD Code  Telephone  A/c Type : SB/CA/OD/Others

Bank Phone No. :

Bank Account number :

Internet enables for transactions : Yes ☐ No ☐ Dividend / Interest through ECS : Yes ☐ No ☐ MICR number :  (To avail ECS Facility)

Note : In case of additional details, please attach separate sheets IFSC Code :

### OTHER DEPOSITORY PARTICULARS

Depository : CDSL ☐ NSDL ☐

DP Name :

DP I.D. :  DP A/c. Number :  (Beneficiary Owner A/c. Number)

Address :

City  Pin Code  State

Note : Attach separate sheets if you have more than one DP.

### TRADING PREFERENCES

Exchange	Segment	Signature of first holder	Exchange	Segment	Signature of first holder
NSE	Cash		BSE	Cash	
NSE	Derivative		BSE	Derivative	
NSE	Mutual Fund		BSE	Mutual Fund	
NSE	Currency Derivatives		IPO		

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

For derivative segment, provide ANY ONE from below mentioned documents:

- ☐ Copy of ITR Acknowledgment (Issued within last one year)
 ☐ Copy of form 16 (Issued within last one year).
 ☐ Networth certificate (Issued within last one year)
 ☐ Copy of annual accounts (Issued within last one year).
 ☐ Salary Slip (Issued within last 3 months)
 ☐ Bank a/c statement for last 6 months.
 ☐ Latest DP holding statement
 ☐ Self declaration along with supporting documents.
 ☐ Any other relevant document substantiating ownership of assets.

### DEALING THROUGH SUB –BROKER / AUTHORIZED PERSONS AND OTHER STOCK BROKERS:

In case you are dealing through any other sub-broker, authorized person and other stock broker, kindly provide a copy of the welcome letter/ latest contract notes issued by the stock broker.

## PAST ACTIONS

Details, of any action/proceedings initiated/pending/taken by SEBI/stock exchanges/any other regulatory 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: \_\_\_\_\_

## INVESTMENT/TRADING EXPERIENCE

No Prior Experience : ☐ Years in Stocks :  Years in Derivatives :  Years in Other investment related fields :

## ADDITIONAL DETAILS

Whether you wish to receive Physical contract note and /or Electronic Contract Note (ECN).

- a. ☐ I wish to receive Electronic Contract note, Funds and Securities Statement etc. my email is: \_\_\_\_\_
- b. ☐ I wish to receive (Physical) Contract note.

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

- a. YES ☐ I wish to avail the facility
- b. NO ☐ I don't wish to avail the facility

Whether you wish to receive Alert from CDSL / Exchange(s)\*

- a. YES ☐ I wish to receive Alerts through SMS ☐ Email ☐ Both ☐  
Alerts should be sent on Mobile number / E-mail ID given on KYC form first holder.  
Mobile number is registered in the name of \_\_\_\_\_  
Relationship with client Self ☐ Spouse ☐ Other family Member ☐
- b. NO ☐

## OCCUPATIONAL PROFILE

Nature of business / Profession :

Name of the Company/ Firm :

Address :

City  Pin Code

State  Country

## DP TARIFF PLAN (Mandatory)

I/We have read, understood and agree to the terms and conditions of the demat tariff plan.  
Demat tariff plan to be updated (tick ( ) as applicable)

Plan opted for	One Year Plan Base Rate (₹)	Five Year Plan Base Rate (₹)
Invest New	<input type="checkbox"/> 480	<input type="checkbox"/> 1950
Invest Wise	<input type="checkbox"/> 750	<input type="checkbox"/> 2950
Invest Lite	<input type="checkbox"/> 1000	<input type="checkbox"/> 3950
Invest Pro	<input type="checkbox"/> 1500	<input type="checkbox"/> 5950
Corporate & NRI Clients	<input type="checkbox"/> 1500	<input type="checkbox"/> 0

Note: Charges including statutory levy. In case no plan is selected, then default plan updated would be "Invest New."  
For details on demat tariff plan, please refer tariff sheet enclosed herewith..

## DECLARATION AND ACKNOWLEDGEMENT

- 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.
- I/We further confirm having received, 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, if any
- The rules and regulations of the Stock Exchange and AMFI pertaining to an account which are in force now have been read by me/us and I/we have understood the same and agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting or suppression of any material fact, it will render my/our liable for termination and further action.
- I/We further confirm having received a copy of KYC form.

## Depository Charges for the Calendar year 2025 (One year plan) & 2025-2029 (Five year plan)

For Active Clients: (All prices are excluding taxes as may be applicable)

Table 1

Plan	One Year Base Rate (Rs.)	Transaction Charges Beyond Free Transactions (Rs.)*	Free Transactions Per Annum	5 Years Base Rate (Rs.)	Transaction Charges Beyond Free Transactions (Rs.)**	Free Transactions Per Annum
Invest New	480	30	6	1950	20	6
Invest Wise	750	25	10	2950	20	10
Invest Lite	1000	20	15	3950	20	15
Invest Pro	1500	15	20	5950	20	20
Corporate & NRI Clients	1500	15	0	0	0	0

- Other charges are produced below for information.
- If Client holds only single demat account for iBasket than First Year No AMC, 2<sup>nd</sup> year & onwards Rs.250/-P.A. will be charged & BSDA rules will apply.
- In case client holds only Mutual Fund units than he will not be charged any AMC charges.
- Notes \* and \*\* : Please see Table 3 below and Entries against Transaction Charges (Buy Side) or (Sell Side) Refer to those Transactions resulting in delivery.

Table 2 BSDA Charges as per SEBI Circular

Value of Holdings in the Demat Account (Debt as well as other than debt securities combined)	Maximum Annual Maintenance Charges
Up to ₹ 4 lakhs	NIL
More than ₹ 4 lakhs but up to ₹ 10 lakhs	₹100
More than ₹ 10lakhs	Not a BSDA. Regular AMC may be levied

- BSDA Plan will be charged Rs.30 per Transaction and AMC NIL.

### Eligibility for BSDA:

- The individual has or proposes to have only one demat account where he/she is the sole or first holder.
- The individual shall have only one BSDA in his/her name across all depositories.
- Value of Securities held in the demat account shall not exceed Rs. 10 Lakhs for debt and other than debt securities combined at any point of time.

**Table 3**

Heading	One Year Plan Transaction Charges	5 Year Plan Transaction Charge Subject to review every year
Demat Processing	Rs. 50/- per certificate	NIL
Remat Processing	NIL	NIL
Pledge	Rs. 30/- per scrip	NIL
Unpledge	Rs. 30/- per scrip	NIL
Transaction charges (buy side delivery)	NIL	NIL
Transaction charges (sale side delivery)	As above*	As above*
Transaction charges-Off market and Inter DP transfers	Rs. 50/- Per Scrip	NIL
Transmission charges	NIL	NIL
Modification	Rs. 60/- Per request	NIL
Activation	NIL	NIL
Unfreezing of Account	Rs. 250/- Per request	NIL

### Important Points:

1. Customers who are Inactive and have NIL holding except BSDA will be charged RS. 250/- as depository charges. All the New demat accounts will be on default plan namely "Invest" with annual charge of Rs.250.00 + GST charges. Every transaction as described in Table 3 above, including buy and sale transactions, will be charged therein at Rs 50 plus GST or as in the Table 3, whichever is higher. Please be advised to complete the account closure process to stop further levy of DP charges
2. Please ensure to have your correct email address and mobile number updated in our system at all time to enable sharing vital communication
3. You may opt for the change of tariff plan (Active clients) by logging in to our website. This window is open to you upto 25th January, 2025. In event of non-selection of any plan by customer, we will continue with last year plan with new rates. If no plan was selected then minimum plan of RS. 480/- for non BSDA will be selected. In case, Client want to opt of BSDA facility for Demat. he/she has to send email through registered email.
4. Client may shift from annual plan to five year plan by paying full amount irrespective of the residual period till January 2025. No pro rata charges will be allowed.



5. The clients who were under AUM based plans will be shifted to annual plan Invest Pro with a yearly charge of Rs. 1500/-.
6. AUM plan is applicable to those customers who have Demat Holding exceeding Rs. 25 Lakhs and have been inactive since January 2023. Clients who have not done any transactions in any of the products like MF, Equity, Derivatives, Gold Bonds, Currencies or Govt. Securities during this calendar year since 2023 till December 31 and had DP balance of Rs 25 Lacs as of the cutoff date of December 31, 2023 will be covered under AUM plan.
7. All annual and five year plans are non-refundable.
8. Under each of the choices, the Annual Maintenance Charges are for 1 or 5 years as the case may be. All transaction charges in Table 3 are for one year only and subject to change based on the charging environment.
9. Taxes at actuals will be charges extra. Currently GST@18% will be charged.
10. In event of non-payment of DP Tariff Charges / other DP charges, ACMIIL will freeze / suspend the demat account and settlement / debit instructions will not be processed for demat account. The unfreezing of the account will invite a restoration fee of Rs. 250/- plus applicable taxes.
11. ACMIIL reserves the right to revise the DP tariff slabs and other charges by displaying the same on web site [www.investmentz.com](http://www.investmentz.com). In such an event, it will be done from prospective effect only.
12. As per CDSL communiqué reference number CDSL/OPS/DP/POLCY/2020/8 dated January 3, 2020, in case of off-market transfers, applicable stamp duty will be levied on the transferor before executing the same in the depository system.
13. We request clients to clear old dues also which are displayed on Tariff Plan Selection Link. We will be at liberty to share the information about the dues and non-paying clients with appropriate data reporting and sharing platforms as well as be free to issue public notices on media like newspapers and websites.

**Deena Mehta**  
Managing Director

**Regd. Office:** "Pantomath Nucleus House", Saki-Vihar Road, Andheri (E), Mumbai - 400 072.  
Maharashtra, India. Tel.: (022) 2858 4545 • E-mail: [customerservice@acm.co.in](mailto:customerservice@acm.co.in)

SEBI Regulatory Registration Nos.- BSE / NSE : INZ000186336 | DP Reg: IN-DP-685-2022 | DP ID -CDSL 12013200  
Research Analyst: INH000016940 | PMS: INP000005801 | PFRDA: POP 21092018  
MF Distributor-ARN 3086

# ANTI MONEY LAUNDERING POLICY & PROCEDURES

## 1. Introduction

Parliament of India enacted Prevention of Money Laundering Act, 2002 (PMLA) to prevent money-laundering and to provide for confiscation of property derived from, or involved in, money-laundering and for matters connected therewith or incidental thereto. The provisions of PMLA came into force on 01st July 2005. Section 12 of PMLA, inter-alia, requires all intermediaries associated with securities market and registered under section 12 of the Securities and Exchange Board of India Act, 1992 to maintain a record of all transactions, the nature and value of which has been prescribed under the rules notified under the PMLA. Pursuant to this, Securities and Exchange Board of India (SEBI) issued Guidelines on Anti Money Laundering Standards and various circulars from time to time to implement the provisions of PMLA in the securities market and to prevent and impede money-laundering and combat financing of terrorism. Asit C. Mehta Investment Intermediates Ltd (hereinafter referred to as 'ACMIL' or 'the Company'), hereby adopts and bring into effect **Anti Money Laundering Policy & Procedures** (ACMIL Policy & Procedures) in accordance with the provisions of PMLA and the rules made thereunder, SEBI Guidelines and Circulars issued from time to time on this subject. The policy applies not only to money laundering, but also to terrorist financing. All references to money-laundering in this policy, company policies and procedures and standards include terrorist financing as appropriate.

## 2. Policy

The Company shall endeavor at all times to comply, in letter and spirit, with the provisions of all relevant laws, rules, regulations, guidelines and circulars issued by regulatory authorities in relation to anti-money laundering and the Company's policies & procedures. To these ends the Company shall:

### Self Certification for Entities (non individuals who are not listed/ not an Indian Financial Institution)

To,

**Asit C. Mehta Investment Intermediates Ltd.**

Pantomath Nucleus House, Saki-Vihar road,  
Andheri (E), Mumbai- 400 072.

I/we hereby declare that

### Part I

A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange	Yes/ No
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	
B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India	Yes/No
If "yes", then please fill of FATCA/ CRS Self certification Form If "No", proceed to point C	
C. Is the account holder an Indian Financial Institution	Yes/ No
If "yes", please provide your GIIN, if any	
If "No", proceed to point D	
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	Yes/No
If "yes", (then please fill FATCA/ CRS self -certification form). If "No", proceed to sign the declaration	

### Customer Declaration

( ) Under penalty of perjury, I/we certify that:

#### 1. The applicant is:

- 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. (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.

(ii) I/We understand that the <Broker/DP> is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The <Broker/DP> is 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.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iv) I/We agree that as may be required by domestic regulators/tax authorities the <Broker/DP> may also be required to report, reportable details to CDDT or close or suspend my 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 taxpayer identification number of the applicant.

Signature (as per MOP)	
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder	

## 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 (Refer Appendix 2)	
Entity Identification type (Refer Appendix 2)	T G C E O
Entity Identification No (based on entity identification type)	
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 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	
Provide your TIN issuing country	
Please provide the following additional details if you are not a Specified US Person	
FATCA / CRS classification for Non financial entities (NFFE)	
Active NFFE	Yes/No
Passive NFFE without any controlling Person	Yes/No
Passive NFFE with Controlling Person(s)	US/ Others
Direct Reporting NFFE (Choose this if any entity	Yes/No
has registered itself for direct reporting for FATCA and thus <Broker/DP> is not required to do the reporting)	
Please provide GIIN number	

has registered itself for direct reporting for FATCA and thus <Broker/DP> 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	Yes/No
If “Yes”, (i) Please provide your Taxpayer Identification Number (TIN)	
Please provide GIIN, if	
If “No”, please tick one of the following boxes below:	
FATCA classification	Please provide the Global Intermediary Identification number (GIIN) or other information where
Reporting Foreign Financial Institution in a Model 1 applicable Inter -Governmental Agreement (“IGA”) Jurisdiction	
Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction	
Participating FFI in a Non-IGA Jurisdiction	
Non -reporting FI	
Non -Participating FI	
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 (Refer Appendix 2)					
Identification Number					
Occupation Type (Refer Appendix 2)					
Occupation					

Birth Date					
Nationality					
Country of Birth					

## 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 the <Broker/DP> is relying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. The <Broker/DP> is 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, <Broker/DP> shall be required to comply to report, reportable details to CBDT or close or suspend my 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

Signature (as per MOP)	
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder	

(Company Seal, if applicable, to be affixed)

Self-Certification for Entities (non-individuals who are not listed/ not an Indian Financial Institution)

To,

Asit C. Mehta Investment Intermediates Ltd.  
Pantomath Nucleus House, Saki-Vihar road,  
Andheri (E), Mumbai- 400 072.

I/we hereby declare that

- The account holder is not a Government body/International Organization/ listed company on recognized stock exchange
- The account holder is not tax resident of any country other than India
- The account holder is not an Indian Financial Institution as defined under Rule 114F(3) of the Income Tax Rules, 1962 as amended
- The substantial owners or controlling persons in the entity or chain of ownership is/are
  - o not resident for tax purpose in any country outside India
  - o are Indian citizen(s)

Under penalty of perjury, I/we further certify that:

- I/We understand that the <Broker/D>P is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The
- <Broker/DP> is 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.
- I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- I/We agree that as may be required by domestic regulators/tax authorities the <Broker/DP> may also be required to report, reportable details to CBDT or close or suspend my account.
- 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.

Signature (as per MOP)	
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder	



# Additional KYC Form for Opening a Demat Account

For Non-individuals

**Asit C. Mehta Investment Intermmediates Ltd.**

**Pantomath Nucleus House, Saki Vihar Road, Andheri (East), Mumbai 4000072.**

(To be filled by the Depository Participant)

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.										
DP ID		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 :-

## Holders Details

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

<b>Name *</b>	
<p>*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</p>	

Type of Account (Please tick whichever is applicable)													
Status										Sub – Status			
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____										<b>To be filled by the DP</b>			
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"/> Others (specify) _____												

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
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
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
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 <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be Physical)	

## Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member Id		Trading member ID	

I / We wish to receive dividend / interest directly in to my 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
--	--

**Bank Details [Dividend Bank Details]**

Bank Code (9 digit MICR code)																				
IFS Code (11 character)																				
Account number																				
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____																			
Bank Name																				
Branch Name																				
Bank Branch Address																				
City						State						Country	PIN code							

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)  
 (ii) Photocopy of the Bank Statement having name and address of the BO  
 (iii) Photocopy of the Passbook having name and address of the BO, (or)  
 (iv) Letter from the Bank.  
 ➤ In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

**Other Details**

Gross Annual Income Details	Income Range per annum: <input type="checkbox"/> Up to Rs 1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs.5,00,000 <input type="checkbox"/> Rs.5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs.25,00,000 to Rs. 1,00,00,000 <input type="checkbox"/> More than Rs.1,00,00,000																									
	Net worth as on (Date) <table border="1" style="display: inline-table;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> Rs																		D	D	M	M	Y	Y	Y	Y
	D	D	M	M	Y	Y	Y	Y																		
<i>[Net worth should not be older than 1 year]</i>																										
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) <input type="checkbox"/> . Please provide details as per Annexure 2 2 A																										
Any other information:																										

<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	MOBILE NO. +91 _____ [(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).												
Transactions Using Secured Texting Facility ( <b>TRUST</b> ). Refer to Terms and Conditions <b>Annexure – 2.6</b>	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. <table border="1" style="display: inline-table;"> <tr><td><input type="checkbox"/></td><td>Yes</td></tr> <tr><td><input type="checkbox"/></td><td>No</td></tr> </table>		<input type="checkbox"/>	Yes	<input type="checkbox"/>	No							
	<input type="checkbox"/>	Yes											
	<input type="checkbox"/>	No											
I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="width: 100%;"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>		Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)									
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)											
<b>Easi</b>	To register for <b>Easi</b> , please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . <b>Easi</b> allows a BO to view his ISIN balances, transactions and value of the portfolio online												

I/We have received and read the document of Most Important Terms and Conditions (MITC), 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions 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 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.

	<b>Sole / First Authorised Signatory</b>	<b>Second Authorised Signatory</b>	<b>Third Authorised Signatory</b>
<b>Name</b>			
<b>Designation</b>			
<b>Signature</b>			

**(In case of more authorised signatories, please add annexure)**

**(Signatures should be preferably in black ink).**

===== (Please Tear Here) =====

#### **Acknowledgement Receipt**

**Application No.:**

**Date:**

We hereby acknowledge the receipt of the Account Opening Application Form:

<b>Name of the Sole / First Holder</b>	
<b>Name of Second Holder</b>	
<b>Name of Third Holder</b>	

**Depository Participant Seal and Signature**

===== (Please Tear Here) =====

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

To,

Asit C. Mehta Investment Intermediates Limited,

"Pantomath Nucleus House", Saki Vihar Road, Andheri (E), Mumbai 400072. INDIA.

Dear Sir,

**Ref: Authorization to maintain running accounts for transactions and retention of securities and funds for my client code \_\_\_\_\_**


This has reference to the SEBI circular NIRSD/SE.Cir-19/2009 dated Dec 03, 2009, Exchange Circular NSE/INSP/13606 dated Dec 3, 2009, clarification circulars NSE/INSP/14048 dated February 3, 2010 and NSE/INSP/21651 dated Sep 07, 2012 as well as SEBI circular reference number CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20, 2019, regarding monthly/quarterly settlement of running accounts of clients.

I/We request you to settle my/our account on a monthly/quarterly basis **(strike off whichever is not applicable)**

I/We hereby authorize you to maintain running account (s) for my/our transactions execute through Asit C. Mehta Investment Intermediates Limited on any of the stock exchanges/segments for funds available in my ledger balance with you. I/We also request you to consider the balances in my our running fund account with you for the purpose of margins/all trade related liabilities due to you. I/We further authorize you to retain funds (net amount across segments and across Stock Exchanges) as permitted by the Stock Exchanges while settling my/our account. I/We also authorize Asit C. Mehta Investment Intermediates Limited to consider the funds so retained by Asit C. Mehta Investment Intermediates Limited towards margin and for allowing enhanced gross exposure to me/us. I/We agree that Asit C. Mehta Investment Intermediates Limited shall not be liable for any claim for loss or loss of profit, or for any consequential, incidental, special or exemplary damages , or otherwise, caused by retention of such funds.

Additionally the funds due to me/us may be released in the interim, on my/our specific request.

I/We understand and agree that no interest will be payable to me/us on the amount of funds as retained with you. The This authorisation may be revoked by me/us at any time by giving prior written intimation to Asit C. Mehta Investment Intermediates Limited

	Full Name	Signature
Sole/First Holder		
Date	<input type="text"/> d <input type="text"/> d / <input type="text"/> m <input type="text"/> m / <input type="text"/> y <input type="text"/> y <input type="text"/> y <input type="text"/> y	

**Option form for issue of dis booklet (Mandatory)**

To,

Asit C. Mehta Investment Intermediates Ltd.

Pantomath Nucleus House, Saki-Vihar Road, Andheri (E), Mumbai - 400072.

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 \_\_\_\_\_ (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

☐ 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 \_\_\_\_\_ (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



1st Authorised Person's Signature  
Name:



2nd Authorised Person's Signature  
Name:



3rd Authorised Person's Signature  
Name:

## DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI) - (VOLUNTARY)

Name of the First Holder								Trading Account No.							
Name of the Second Holder															
Name of the Third Holder															
DP ID CDSL								Client ID							

Dear Sir/Madam,

I/We as undersigned, executing the Demat Debit and Pledge instruction in favour of Asit C. Mehta Investment Intermediates Ltd., authorising them to operate aforesaid beneficiary account for the below mentioned specific purpose.

Sr. No.	Purpose	Signatures
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries/ settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	<div>First holder ( Individual ) / Partner ( 1 ) / Authorized signatory ( 1 ) - Non- Individual</div> <div>Second holder ( Individual ) / Partner ( 2 ) / Authorized signatory ( 2 ) - Non- Individual</div> <div>Third holder ( Individual ) / Partner ( 3 ) / Authorized signatory ( 3 ) - Non- Individual</div> <div>Authorized signatory ( 4 ) - Non- Individual</div> <div>Authorized signatory ( 5 ) - Non- Individual</div> <div>Authorized signatory ( 6 ) - Non- Individual</div>
2	Pledging/re-pledging of securities in favor of trading member (TM)/clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	<div>First holder ( Individual ) / Partner ( 1 ) / Authorized signatory ( 1 ) - Non- Individual</div> <div>Second holder ( Individual ) / Partner ( 2 ) / Authorized signatory ( 2 ) - Non- Individual</div> <div>Third holder ( Individual ) / Partner ( 3 ) / Authorized signatory ( 3 ) - Non- Individual</div> <div>Authorized signatory ( 4 ) - Non- Individual</div> <div>Authorized signatory ( 5 ) - Non- Individual</div> <div>Authorized signatory ( 6 ) - Non- Individual</div>
3	Mutual Fund transactions being executed on StockExchange order entry platforms	<div>First holder ( Individual ) / Partner ( 1 ) / Authorized signatory ( 1 ) - Non- Individual</div> <div>Second holder ( Individual ) / Partner ( 2 ) / Authorized signatory ( 2 ) - Non- Individual</div> <div>Third holder ( Individual ) / Partner ( 3 ) / Authorized signatory ( 3 ) - Non- Individual</div> <div>Authorized signatory ( 4 ) - Non- Individual</div> <div>Authorized signatory ( 5 ) - Non- Individual</div> <div>Authorized signatory ( 6 ) - Non- Individual</div>



4	Tendering shares in open offers through StockExchange platforms	First holder (Individual ) / Partner ( 1 ) / Authorized signatory (1) - Non- Individual
		Second holder (Individual ) / Partner ( 2 ) / Authorized signatory (2) - Non- Individual
		Third holder (Individual ) / Partner ( 3 ) / Authorized signatory (3) - Non- Individual
		Authorized signatory (4) - Non- Individual
		Authorized signatory (5) - Non- Individual
		Authorized signatory (6) - Non- Individual

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

Asit C. Mehta Investment Intermediates Ltd. (ACMIIL's) Designated Demat account nos :-

Sr No.	Exchange/Depository	Principal / Pool Account No
1	NSE	ACMIIL Pool A/C -1201320000003837
2	CDSL	ASIT C MEHTA INVESTMENT INTERMEDIATES LTD_CMPA_BSE (Margin Pledge) - 1201320001832582
3	NSDL	ASIT C MEHTA INVESTMENT INTERMEDIATES LTD - (Margin Pledge) - IN30134820154875
4	BSE	ACMIIL Pool A/C -1201320000000553
5	BSE	Pool Account- IN 30134820135296(CM BP ID IN658968)
6	NSE	Pool Account-IN 30134820135307 (CM BP ID IN568503)
7	BSE	Early Pay-in Account – 1100001000012832
8	NSE	Early Pay-in Account – 1100001100014441
9	NSE SLB	Early Pay-in Account - 1100002300000511
10	NSE SLB - CDSL	Pool Account – 1201320001810163
11	BSE	MTF Margin Pledge A/c - 1201320001918845
12	BSE	CUSPA Pledge A/c - 1201320001916421

**DECLARATION TO BE GIVEN BY HUF & COPARCENERS**

To,  
Asit C. Mehta Investment Interrmediates Ltd.  
Mumbai

Dear Sir,

We, all the coparceners (members) detailed below of the Hindu Undivided Family (HUF) having PAN No. \_\_\_\_\_ do here by authorize Karta of the family Mr. \_\_\_\_\_, to open /operate in the name of this HUF a dealing / trading account severally responsible for the dealings/ orders / trades / transactions that are executed by the karta Mr. \_\_\_\_\_ and all his orders /deals shall be binding on the HUF and all its members jointly as well as severally.

In the eventuality of change of Karta or change in the constitution of HUF we shall inform you in writing and understand that we are required to collect from you an acknowledgement of having taken the same on record.

The Specimen signature of the Karta Mr. \_\_\_\_\_ is given below:

Specimen Signature is full \_\_\_\_\_

Sr No.	Name of Coparcener / Member	Gender	Date of Birth	Relationship with Karta	Whether Coparcener / Member (please specify)	Signature of the Coparcener / Member

I \_\_\_\_\_ Karta of the HUF declare that the details of coparceners mentioned above are true to the best of my knowledge as on the date of making such application.

\_\_\_\_\_  
**Signature of Karta**

### DECLARATION FOR ULTIMATE BENEFICIAL OWNERSHIP

DATE :

Entity Name :

Entity UCC :

BO ID :

I/We hereby declare that following **natural person(s)** (listed in table below ) are Ultimate Beneficial Owners (UBOs)\*\* in the aforementioned entity.

Sr No	Name of Beneficial Owner(s)	Date of Birth	Designation of Beneficial Owner (i.e. Beneficiary / Trustee/ Settlers/ Director/Partners etc.)	Percentage holding/profits as per BO definition
1				
2				
3				

Does the above listed natural beneficial owners held through multiple layers of shareholding of intermediate shareholder / owner entities.

**NO**

Yes, (Attach the comprehensive Beneficial Ownership structure / tree)

**OR**

We hereby declare that there **are no natural person (s) beneficial owners** in terms of the definition of Beneficial Owner\*\* in the entity, therefore details of senior managing officials / key managerial persons are mentioned in below table .

Sr No	Name of Senior Managing Official	Date of Birth	Nationality	Designation of Senior Managing Official (i.e. MD, CEO etc)
	----- NA-----			

The Customer onboarding Form (For Authorised Signatories/Beneficial Owners/Controlling Persons) for each beneficial owner is accordingly filled and submitted.

**OR**

I/We hereby declare that Company is Listed on \_\_\_\_\_ (Name of Stock Exchange) OR is a majorly owned subsidiary of \_\_\_\_\_ (name of listed Company) listed on \_\_\_\_\_ (Name of Stock Exchange).

The Entity undertakes that the facts stated hereinabove are true and correct.

The Entity undertakes and agrees that it will notify Yes Bank without delay of any changes to the natural beneficial owners as declared in the table, in terms of the below mentioned definition of BO .

**Name of Director / Partner / Trustee/ Member/ Authorised Signatory**

\_\_\_\_\_  
(Signature & Seal of the any of the Directors/Partners/Trustee/Member/Authorised Signatory)

\*\* As per RBI KYC Master Direction, Beneficial Owner (BO) is defined as :

a. Where the customer is a company, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical persons, has/have a controlling ownership interest or who exercise control through other means.

Explanation- For the purpose of this sub-clause-

“Controlling ownership interest” means ownership of/entitlement to more than 25 per cent of the shares or capital or profits of the company.

“Control” shall include the right to appoint majority of the directors or to control the management or policy decisions including by virtue of their shareholding or management rights or shareholders agreements or voting agreements.

b. Where the customer is a partnership firm, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has/have ownership of/entitlement to more than 15 per cent of capital or profits of the partnership.

c. Where the customer is an unincorporated association or body of individuals, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has/have ownership of/entitlement to more than 15 per cent of the property or capital or profits of the unincorporated association or body of individuals.

Explanation: Term ‘body of individuals’ includes societies.

Where no natural person is identified under (a), (b) or (c) above, the beneficial owner is the relevant natural person who holds the position of senior managing official.

d. Where the customer is a trust, the identification of beneficial owner(s) shall include identification of the author of the trust, the trustee, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

\*\*\*\*\*

This page is intentionally left blank



**(ON LETTERHEAD OF PARTNERSHIP FIRM- TO BE SIGNED BY ALL PARTNERS)**

**CERTIFIED TRUE COPY OF THE MINUTES OF MEETING OF PARTNERS OF  
HAVING ITS REGISTERED OFFICE AT \_\_\_\_\_**

**HELD ON \_\_\_\_\_ AT \_\_\_\_\_**

**“RESOLVED THAT \_\_\_\_\_** (hereinafter referred to as “the firm”) does agree with Asit C.Mehta Investment Intermediates Limited (ACMIIL), SEBI registered member of the National Stock Exchange of India Limited (NSE), and BSE Limited (BSE) and SEBI registered Depository Participant with Central Depository Services (India) Limited for the purpose of dealing in Capital Market/Cash Segment, Derivatives/Futures & Options segment or any other segment that may be introduced by NSE and BSE in future and for the purpose of availing of depository operations facility of CDSL, to open trading and demat account in ACMIIL.

**RESOLVED FURTHER** since the demat account cannot be opened in the name of the partnership firm, the demat account be opened in the name of the following partners, who are hereby authorised to sign, execute, and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open and operate the aforesaid accounts and to give effect to this resolution

***Details of partners (for opening and operating of account)***

Sr.No.	Partner name	Partner designation (if applicable)	Specimen signature of partner	Photograph of partner
1				
2				
3				

**RESOLVED FURTHER THAT** Asit C. Mehta Investment Intermediates be and is hereby authorised to honour instructions whether oral and/or written and/or electronic given on behalf of the firm by the above authorised signatories as per the mode of operation mentioned below:

Mode of operation: Anyone/All jointly/Specify mode of operation (*select mode of operation applicable and strike out the rest*)

**RESOLVED FURTHER THAT** the aforesaid persons are authorised to sell, purchase, transfer, endorse, and negotiate documents and/or otherwise deal through Asit C. Mehta Investment Intermediates Limited on behalf of the firm.

**RESOLVED FURTHER THAT** a copy of these minutes of meeting duly certified to be a true copy by the partners of the firm be furnished to Asit C. Mehta Investment Intermediates Limited and that Asit C. Mehta Investment Intermediates Limited be and is hereby requested to act upon the same

**\\CERTIFIED TO BE TRUE\\**

**For (name of the firm)**

**Signatures:** \_\_\_\_\_

**Name :** \_\_\_\_\_

**Designation:** \_\_\_\_\_

**(ON LETTERHEAD OF TRUST- TO BE SIGNED BY TRUSTEES)**

**CERTIFIED TRUE COPY OF THE MINUTES OF MEETING OF TRUSTEES OF  
HAVING ITS REGISTERED OFFICE AT \_\_\_\_\_**

**HELD ON \_\_\_\_\_ AT \_\_\_\_\_**

**“RESOLVED THAT \_\_\_\_\_** (hereinafter referred to as “the TRUST”) does agree with Asit C.Mehta Investment Intermediates Limited (ACMIL), SEBI registered member of the National Stock Exchange of India Limited (NSE), and BSE Limited (BSE) and SEBI registered Depository Participant with Central Depository Services (India) Limited for the purpose of dealing in Capital Market/Cash Segment, Derivatives/Futures & Options segment or any other segment that may be introduced by NSE and BSE in future and for the purpose of availing of depository operations facility of CDSL, to open trading and demat account in ACMIL.

**RESOLVED FURTHER** since the demat account cannot be opened in the name of the trust, the demat account be opened in the name of the following trustee/s who are hereby authorised to sign, execute, and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open and operate the aforesaid accounts and to give effect to this resolution

***Details of trustees (for opening and operating of account)***

Sr.No.	Trustee name	Trustee designation (if applicable)	Specimen signature of trustee	Photograph of trustee
1				
2				
3				

**RESOLVED FURTHER THAT** Asit C. Mehta Investment Intermediates be and is hereby authorised to honour instructions whether oral and/or written and/or electronic given on behalf of the trust by the above authorised signatories as per the mode of operation mentioned below:

Mode of operation: Anyone/All jointly/Specify mode of operation (*select mode of operation applicable and strike out the rest*)

**RESOLVED FURTHER THAT** the aforesaid persons are authorised to sell, purchase, transfer, endorse, and negotiate documents and/or otherwise deal through Asit C. Mehta Investment Intermediates Limited on behalf of the trust.

**RESOLVED FURTHER THAT** a copy of these minutes of meeting duly certified to be a true copy by the Managing Trustee of the trust be furnished to Asit C. Mehta Investment Intermediates Limited and that Asit C. Mehta Investment Intermediates Limited be and is hereby requested to act upon the same

**\\CERTIFIED TO BE TRUE\\**

**For (name of the trust)**

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

**Name : \_\_\_\_\_**

**Designation: \_\_\_\_\_**

**(ON LETTERHEAD OF CORPORATE ENTITY)**

**CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF \_\_\_\_\_ HAVING ITS REGISTERED OFFICE AT \_\_\_\_\_ HELD ON \_\_\_\_\_ AT \_\_\_\_\_**

**“RESOLVED THAT** \_\_\_\_\_ (hereinafter referred to as “the company”) does agree with Asit C.Mehta Investment Intermmediates Limited (ACMIIL), SEBI registered member of the National Stock Exchange of India Limited (NSE), and BSE Limited (BSE) and SEBI registered Depository Participant with Central Depository Services (India) Limited for the purpose of dealing in Capital Market/Cash Segment, Derivatives/Futures & Options segment or any other segment that may be introduced by NSE and BSE in future and for the purpose of availing of depository operations facility of CDSL, to open trading and demat account in ACMIIL.

The following persons are hereby authorised to jointly/severally (*select as mode as applicable and strike out the other*) to sign, execute, and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open and operate the aforesaid accounts and to give effect to this resolution

***Details of Authorised signatories (for opening and operating of account)***

Sr.No.	Authorised Signatory name	Authorised Signatory designation	Specimen signature of authorised signatory	Photograph of authorised signatory
1				
2				
3				

**RESOLVED FURTHER THAT** Asit C. Mehta Investment Intermmediates be and is hereby authorised to honour instructions whether oral and/or written and/or electronic given on behalf of the Company by the above authorised signatories as per the mode of operation mentioned below:

Mode of operation: Anyone/All jointly/Specify mode of operation (*select mode of operation applicable and strike out the rest*)

**RESOLVED FURTHER THAT** the aforesaid persons are authorised to sell, purchase, transfer, endorse, and negotiate documents and/or otherwise deal through Asit C. Mehta Investment Intermmediates Limited on behalf of the Company.

**RESOLVED FURTHER THAT** a copy of this resolution duly certified to be a true copy by \_\_\_\_\_, Company Secretary and/or \_\_\_\_\_ Director, of the Company be furnished to Asit C. Mehta Investment Intermmediates Limited and that Asit C. Mehta Investment Intermmediates Limited be and is hereby requested to act upon the same

**\\CERTIFIED TO BE TRUE\\**

**For (name of the company)**

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

**Name :** \_\_\_\_\_

**Designation:** \_\_\_\_\_

(ON LETTERHEAD OF LLP- TO BE SIGNED BY DESIGNATED PARTNERS)

CERTIFIED TRUE COPY OF THE MINUTES OF MEETING OF DESIGNATED PARTNERS OF  
\_\_\_\_\_ HAVING ITS REGISTERED OFFICE AT \_\_\_\_\_

HELD ON \_\_\_\_\_ AT \_\_\_\_\_

“RESOLVED THAT \_\_\_\_\_ (hereinafter referred to as “the firm”) does agree with Asit C.Mehta Investment Intermediates Limited (ACMIIL), SEBI registered member of the National Stock Exchange of India Limited (NSE), and BSE Limited (BSE) and SEBI registered Depository Participant with Central Depository Services (India) Limited for the purpose of dealing in Capital Market/Cash Segment, Derivatives/Futures & Options segment or any other segment that may be introduced by NSE and BSE in future and for the purpose of availing of depository operations facility of CDSL, to open trading and demat account in ACMIIL.

**RESOLVED FURTHER** the following designated partners, are hereby authorised to sign, execute, and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open and operate the aforesaid accounts and to give effect to this resolution

*Details of partners (for opening and operating of account)*

Sr.No.	Partner name	Partner designation (if applicable)	Specimen signature of partner	Photograph of partner
1				
2				
3				

**RESOLVED FURTHER THAT** Asit C. Mehta Investment Intermediates be and is hereby authorised to honour instructions whether oral and/or written and/or electronic given on behalf of the firm by the above authorised signatories as per the mode of operation mentioned below:

Mode of operation: Anyone/All jointly/Specify mode of operation (*select mode of operation applicable and strike out the rest*)

**RESOLVED FURTHER THAT** the aforesaid persons are authorised to sell, purchase, transfer, endorse, and negotiate documents and/or otherwise deal through Asit C. Mehta Investment Intermediates Limited on behalf of the firm.

**RESOLVED FURTHER THAT** a copy of these minutes of meeting duly certified to be a true copy by the designated partners of the firm be furnished to Asit C. Mehta Investment Intermediates Limited and that Asit C. Mehta Investment Intermediates Limited be and is hereby requested to act upon the same

\\CERTIFIED TO BE TRUE\\

For (name of the firm)

Signatures: \_\_\_\_\_

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

Designation: \_\_\_\_\_

*This page is intentionally left blank*

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client: \_\_\_\_\_

	Document verified with Originals	Client Interviewed by	In-Person Verification done by
Name of the Employee/ Official			
Employee Code/ RC 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, if any, for the information of the clients.

\_\_\_\_\_  
Signature of the Authorised Signatory

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

\_\_\_\_\_  
Seal/Stamp of the stock broker**CLIENT ACCOUNT BRIEF**

Cheque Details: \_\_\_\_\_

Cheque No.: \_\_\_\_\_ Cheque Date: \_\_\_\_\_

Cheque Amount: \_\_\_\_\_ Bank Name: \_\_\_\_\_

Stamps

Stamp of  
Special Scheme No.RC No.  
where client to be mapped**Brokerage Slab**

Segment	Scheme No.	Segment	Scheme No.
Cash - Delivery		Future	
Cash - Intra Day		Options - Stock	
Currency		Option Index	
Mutual Fund			

Please mention Brokerage schemes details which are to be applied as per ACMIIL internal Circular.

**Most Important Terms and Conditions (MITC)  
(For non-custodial settled trading accounts)**

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

---

**Signature**



**Management:**

Designated Directors : Mrs. Deena A. Mehta & Mr. Arjun Prajapati

**SEBI / Regulatory Registration nos**

- BSE / NSE/ Single Regn No. : INZ000186336
- DP Reg: IN-DP-685-2022
- DP ID -CDSL12013200
- Research Analyst: INH000016940
- PMS: INP000005801
- PFRDA : POP21092018
- MF Distributor - ARN3086

**Membership:**

NSE: Cash, Derivatives, Debt & Currency Derivatives

BSE: Cash & Derivatives Currency

SEBI: Research Analyst/PMS

CDSL: Depository Participant

**Principal Banker:**

State Bank of India

**Call and Trade No.:**

022-2858 4444 / 022-6787 8987

**Customer Service No.:**

022-2858 4545 / 022-6787 8988

# Asit C. Mehta

INVESTMENT INTERMEDIATES LTD.

Pantomath Nucleus House, Saki Vihar Road, Andheri (E), Mumbai 400072, INDIA

Tel.:022- 28584545 Website: [www.investmentz.com](http://www.investmentz.com)

Email: [customerservice@acm.co.in](mailto:customerservice@acm.co.in); [investorgrievance@acm.co.in](mailto:investorgrievance@acm.co.in)

CIN: U65990MH1993PLC075388