V MATHRAN & CO PRIVATE LIMITED

SEBI Registration No.
INZ000200831 *Dt.17-09-2018*
IN-DP-850-2026 *Dt. 03-06-2026*

NSE Member Code: **90163**
BSE Member Code: **6889**

NSDL DP ID: **IN305058**

www.vmathran.com

CIN
U67120WB1997PTC086082

Registered Office
204 Vaishno Chambers,
6 Brabourne Road, Kolkata-700001
(033) 4602-2696
info@vmathran.com

TRADING & DEMAT ACCOUNT OPENING KIT
INDIVIDUAL

CLIENT NAME ______________________________

CLIENT CODE ______________________________

A/c Opening Date: ____/____/______

⚠ **SCORES:** scores.sebi.gov.in | 1800 22 7575
⚠ **ODR Portal:** smartodr.in/login

Investments in securities market are subject to market risks.
Please read all documents carefully before signing.

ACCOUNT OPENING KIT

V Mathran & Co Private Limited is a SEBI-registered Stock Broker and Trading/Clearing Member of the National Stock Exchange of India Ltd. (NSE) and BSE Limited. The company is also a Depository Participant (DP) registered with NSDL, offering clients a seamless single-window for equity trading, derivatives trading, and depository services.

Management

Mr. Vishnu Kumar Mathran | +91 93397 03927 | vmathran@gmail.com

Mr. Pratik Mathran | +91 98308 69693 | pratik@vmathran.com

Mr. Akash Mathran | +91 98745 23451 | akash@vmathran.com

Regulatory & Grievance Contacts

Contact / Authority	Details
SEBI Registration	INZ000200831, IN-DP-850-2026
NSE Grievance	ignse@nse.co.in | (022) 2659-8190
BSE Grievance	isc.mumbai@bseindia.com | (022) 2272-8517
NSDL Grievance	relations@nsdl.com | (022) 4886-7000
SEBI SCORES Portal	https://scores.sebi.gov.in | 1800 22 7575
ODR Portal	https://smartodr.in/login
Investor Grievance (VMPL)	vmpl.investors@gmail.com | (033) 4602-2696 **Akash Mathran (Compliance Officer)**

Proprietary Trading Disclosure

Pursuant to SEBI Circular No. SEBI/MRD/SE/Cir-42/2003 dated 19th November 2003, NSE Circular NSE/INVG/PRE/2003/16 and BSE Notice No. 20031125-7 dated 25th November 2003:

V Mathran & Co Private Limited is also engaged in proprietary trading on the Stock Exchanges. Clients' transactions and proprietary transactions are kept completely segregated.

SCORES — Filing Complaints Online

How to file a complaint on SCORES:

1. Register at https://scores.sebi.gov.in or Toll Free Helpline at 1800 22 7575, 1800 266 7575
2. Provide: Name, PAN, Address, Mobile Number, Email ID
3. Your complaint will be tracked and resolved within SEBI's prescribed timelines

For unresolved grievances, initiate Online Dispute Resolution (ODR) at: https://smartodr.in/login

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the form in English and in BLOCK letters.
D) Please fill the date in DD-MM-YYYY format.
E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
F) Please read section wise detailed guidelines / instructions at the end.
G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
H) List of two character ISO 3166 country codes is available at the end.
I) KYC number of applicant is mandatory for update application.
J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode

For office use only

(To be filled by financial institution)

Application Type* ☐ New ☐ Update

KYC Number (Mandatory for KYC update request)

Account Type* ☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)

☐ 1. PERSONAL DETAILS* (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				

Date of Birth* D D — M M — Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

PAN* ☐ Form 60 furnished

☐ 2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number
☐ B-Voter ID Card
☐ C-Driving Licence
☐ D-NREGA Job Card
☐ E-National Population Register Letter
☐ F-Proof of Possession of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

☐ PHOTO*

Address

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin/Post Code* State/U.T Code* ISO 3166 Country Code*

☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number
☐ B-Voter ID Card
☐ C- Driving Licence
☐ D-NREGA Job Card
☐ E- National Population Register Letter
☐ F - Proof of Possession of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

IV ☐ Deemed Proof of Address - Document Type code

V ☐ Self Declaration

Address

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin / Post Code* State/U.T Code* ISO 3166 Country Code*

MANDATORY

4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction C at the end)

Tel. (Off) — Tel. (Res) — Mobile —

Email ID

5. REMARKS (If any)

6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. Incase any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D — M M — Y Y Y Y Place:

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process ☐ Equivalent e-document ☐ Video Based KYC

IPV & KYC VERIFICATION CARRIED OUT BY

Date D D — M M — Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **V MATHRAN & CO PRIVATE LIMITED**

Code **IN4218**

[Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

A Clarification / Guidelines on filling 'Personal Details' section

1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.

2 One the following is mandatory : Mother's name, Spouse's name, Father's name.

B Clarification / Guidelines on filling 'Current Address details' section

1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR

2 PoA to be submitted only if the submitted PoI does not have current address or address as per PoI is invalid or not in force.

3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.

4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.

5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.

6 List of documents for 'Deemed Proof of Address':

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.

9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.

10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository

C Clarification / Guidelines on filling 'Contact details' section

1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).

2 Do not add '0' in the beginning of Mobile number.

D Clarification / Guidelines on filling 'Related Person details' section

1 Provide KYC number of related person, if available.

E Clarification on Minor

1 Guardian details are optional for minors above 10 years of age for opening of bank account only

2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

MANDATORY

KNOW YOUR CLIENT (KYC) Application Form - For Individuals

☐ NEW ☐ CHANGE REQUEST (Please tick the appropriate) **Acknowledgement No.**

NSDL
Technology, Trust & Reach

Please fill this form in ***ENGLISH*** and in ***BLOCK LETTERS***
(Please tick ✓ the box on left margin of appropriate row where ***CHANGE/CORRECTION*** is required and provide the details in the corresponding row)

A IDENTITY DETAILS

1. Name of the Applicant

2. Father's/Spouse Name

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

3a. Gender ☐ Male ☐ Female **3b. Marital status** ☐ Single ☐ Married **3c. Date of Birth** D D / M M / Y Y Y Y

4a. Nationality ☐ Indian ☐ Other (Please specify) ______

4b. Status ☐ Resident Individual ☐ Non Resident ☐ Foreign National

5a. PAN

5b. Unique Identification Number (UID) / Aadhaar, if any:

6. Specify Proof of Identity submitted ☐ PAN card ☐ Other (Please specify) ______

B ADDRESS DETAILS

1. Residence / Correspondence Address

City / Town / Village | Pin Code

State | Country

2. Specify the Proof of Address submitted for Residence / Correspondence Address: ______

3. Contact Details

Tel. (Off.) | Fax

Tel. (Res.) | Mobile No

E-Mail Id

4. Permanent Address (If different from above or overseas address, mandatory for Non-Resident Applicant)

City / Town / Village | Pin Code

State | Country

C DECLARATION

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

Date: D D / M M / Y Y Y Y

☐

Signature of the Applicant

FOR OFFICE USE ONLY

In Person Verification (IPV) Details:

Name of the person who has done the IPV: ______

Designation: ______ Employee ID: ______

Name of the Organization: **V MATHRAN & CO PRIVATE LIMITED**

Date of IPV: D D / M M / Y Y Y Y

Signature of the person who has done the IPV

Seal/Stamp of the Intermediary

☐ Originals verified and Self Attested Document copies received

Date

Signature of the Authorised Signatory

MANDATORY

CLIENT INFORMATION & DOCUMENT CHECKLIST

Documents Required — Individual

Document	Photo ID	Address Proof	Bank Details	Name Verified	Notes
PAN Card	✓	–	–	✓	Mandatory for all applicants
Aadhaar Card	✓	✓	–	✓	Masked Aadhaar preferred
Passport	✓	✓	–	✓	Mandatory for NRIs
Voter ID	✓	✓	–	✓	Valid only if not expired
Driving Licence	✓	✓	–	✓	Valid on date of application
Cancelled Cheque	–	–	✓	✓	Name & account no. should be printed
Bank Statement (3 months)	–	–	✓	✓	Stamped original or digital bank statement
Passport Photo	2 copies	–	–	✓	Recent, colour, white background

Income Proof — Required for Derivatives (F&O) Trading

Accepted Documents (any one):

- Income Tax Return (ITR) — latest year
- Form 16 / Salary Certificate
- Net Worth Certificate from a CA
- 6-month bank statement (original, stamped)
- Demat holding statement
- Copy of Annual Accounts (for self-employed)

Key Conditions:

- Proof must reflect declared income / net worth
- All documents to be self-attested
- Originals may be required for IPV
- For NRIs: Overseas bank statement accepted

IPV (In-Person Verification):

- Can be done in-person at our office
- Or via video-IPV through our mobile app

Key Onboarding Notes

Nomination: Mandatory to opt-in or opt-out in writing. Both Trading and Demat accounts require separate nomination declarations.

DDPI: Demat Debit & Pledge Instruction replaces the old Power of Attorney (POA). Signing DDPI is optional but recommended for smooth settlement.

BSDA: Basic Services Demat Account — if your Demat holdings value is below ₹5,00,000, you may be eligible for BSDA with reduced AMC. Declare preference in the Demat form.

FATCA/CRS: All clients must declare tax residency status. NRIs and foreign nationals must complete the full FATCA/CRS annexure.

Self-Attestation: All document copies must be signed by the applicant with the words 'Self-Attested' and date. Originals must be produced for verification.

MANDATORY

TRADING ACCOUNT OPENING FORM - FOR INDIVIDUALS

BANK ACCOUNT(S) DETAILS		
	Primary Bank Details	**Secondary Bank Details**
Bank Name		
Branch Address		
Bank A/c No.		
A/c Type	☐ Saving ☐ Current ☐ Others-In case of NRI/NRE/NRO	☐ Saving ☐ Current ☐ Others-In case of NRI/NRE/NRO
MICR No.		
IFSC code		

DEPOSITORY ACCOUNT(S) DETAILS		
	Primary Demat A/c Details	**Secondary Demat A/c Details**
Depository Participant Name		
Depository Name	☐ NSDL ☐ CDSL	☐ NSDL ☐ CDSL
Beneficiary Name		
DP ID		
Beneficiary ID (BO ID)		

TRADING PREFERENCES - Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchange	Segment		Signature
NSE & BSE	- All Segments	√	
	- Cash	√	
	- F&O	√	
	- SLBS	√	
Mutual Funds		√	

If you do not wish to trade in any of segments / Mutual Fund, please mention here______________________________
____

MANDATORY

OTHER DETAILS			
Gross Annual Income Details (please specify)			
Income Range per annum (Rs.)	☐ Below ₹1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lacs-1 crore ☐> 1 crore		
Net-worth		**as on** (date)	
(Net worth should not be older than 1 year)		(dd/mm/yyyy)	
Occupation (Individuals) (Please tick any one and give brief details)	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business		
	☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student		
	☐ Others ______________________________		
Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / whole time directors	☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)		

PAST ACTIONS
Details of any action / proceedings initiated / pending / taken by SEBI / Stock exchange / any other authority against the applicant / constituent or its Partners / promoters / whole time directors / authorized persons in charge of dealing in securities during the last 3 years. **:** ☐ **YES** ☐ **NO**

DEALINGS THROUGH AUTHORISED PERSON OR OTHER STOCK BROKERS : YES / NO (If Yes, Please specify)			
Whether dealing with any other stock broker / AP (in case dealing with multiple stock brokers / APs, provide details of all)			
Name of stock broker			
Name of AP, if any		AP Regn. No.	
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker / AP			
Details of disputes/dues pending from/to such stock broker/authorized person: **YES/ NO**			

ADDITIONAL DETAILS	
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	
☐ Physical ☐ Electronic, Specify your Email id, if applicable :	
Whether you wish to receive the standard documents - Rights and Obligations, Risk Disclosure Document (RDD) and Guidance Note, (please specify)	☐ Physically ☐ Electronically
Please note that these documents are also available in certain vernacular languages on demand.	
Whether you wish to avail of the facility of internet trading / wireless technology (please specify)	
☐ YES ☐NO	
Number of years of Investment / Trading Experience	

Any other information	

MANDATORY

DEMAT ACCOUNT OPENING FORM (FOR INDIVIDUALS)

V MATHRAN & CO PRIVATE LIMITED **204 VAISHNO CHAMBERS, 6 BRABOURNE ROAD** **KOLKATA 700001** **DP ID IN305058**	**Client –ID** (To be filled by Participant)

I/We request you to open a depository account in my/our name as per the following details: (*Please fill all the details in CAPITAL LETTERS only*)	**Date**	D	D	M	M	Y	Y	Y	Y

A) Details of Account holder(s):

Account holder(s)	Sole/ First Holder		Second Holder		Third Holder	
Name						
PAN						
Occupation (*please tick any one and give brief details*)	☐ Private Sector	☐ Agriculturist	☐ Private Sector	☐ Agriculturist	☐ Private Sector	☐ Agriculturist
	☐ Public Sector	☐ Retired	☐ Public Sector	☐ Retired	☐ Public Sector	☐ Retired
	☐ Government Service	☐ Housewife	☐ Government Service	☐ Housewife	☐ Government Service	☐ Housewife
	☐ Business	☐ Student	☐ Business	☐ Student	☐ Business	☐ Student
	☐ Professional	☐ Others (Please specify; ______	☐ Professional	☐ Others (Please specify; ______	☐ Professional	☐ Others (Please specify; ______
Brief details:						

B) For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:

a) Name		b) PAN	

C) **Type of account**

☐ Ordinary Resident ☐ NRI-Repatriable ☐ NRI-Non Repatriable
☐ Qualified Foreign Investor ☐ Foreign National ☐ Promoter
☐ Margin ☐ Others (Please specify) ___________________

D) **Gross Annual Income Details**

Income Range per annum (please tick any one) (Rs.)

☐ Below 1 lac ☐ 1- 5 lac ☐ 5- 10 lac
☐ 10- 25 lac ☐ More than 25 lac

E) **In case of NRIs/ Foreign Nationals**

RBI Approval Reference Number								
RBI Approval date	D	D	M	M	Y	Y	Y	Y

F) **Bank details**

1	Bank account type	☐ Savings Account ☐ Current Account ☐ Others (Please specify)________________
2	Bank Account Number	
3	Bank Name	

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	4	Branch Address				
			City/town/village		PIN Code	
			State		Country	
	5	MICR Code				
	6	IFSC				

G)	Please tick, if applicable: ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

H)	**Standing Instructions**		
	1	I/We authorise you to receive credits automatically into my/our account.	☐ Yes ☐ No
	2a	Account to be operated through Demat Debit and Pledge Instruction (DDPI)	☐ Yes ☐ No
	2b	Standing Instruction indicator for Auto-Pledge confirmation	☐ **YES** ☐ **NO**
	3	**SMS Alert facility:** [*Mandatory if you are giving Power of Attorney (POA/DDPI). Ensure that the mobile number is provided in the KYC Application Form*]	

Sr. No.	Holder	Yes	No
1	Sole/First Holder	☐	☐
2	Second Holder	☐	☐
3	Third Holder	☐	☐

4	Mode of receiving Statement of Account [*Tick any one*]	☐ Physical Form ☐ Electronic Form [*Read Note 3 and ensure that email ID is provided in KYC Application Form*].
5	For Joint accounts, communication to be sent to (See Note 5)	☐ First holder ☐ All joint account holders

I)	**Guardian Details** (*where sole holder is a minor*): [For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (*to be signed by guardian*)]	
	Guardian Name	
	PAN	
	Relationship of guardian with minor	

J)	**Nomination Option**	
	☐ I/We wish to make a nomination. **[*Details are provided in Nomination Form as prescribed by SEBI*]**	☐ I/We wish to opt out of a nomination. **[*Declaration Form opting out of nomination as prescribed by SEBI*]**

K)	**Mode of Operations for Joint Accounts**	
	☐ Jointly	☐ Anyone of the holder or survivor(s)
	If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.	

MANDATORY

Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we 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, I am/ we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, “Rights and Obligations of the Beneficial Owner and Depository Participant”.

	Name(s) of holder(s)	Signature(s) of holder
Sole/ First Holder/ Guardian (in case sole holder is minor) (Mr./Ms.)		✓
Second Holder (Mr./Ms.)		✓
Third Holder (Mr./Ms.)		✓

Notes :

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions must be attested by witness or a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
4. The nomination and Declaration form may be signed using e-Sign facility.
5. For receiving Statement of Account in electronic form:
   I. Client must ensure the confidentiality of the password of the email account.
   II. Client must promptly inform the Participant if the email address has changed.
   III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
6. [245]In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents for deletion of name of the deceased account holder(s) in the demat account .
7. In case if ‘first holder’ is selected, the communication will be sent as per the preference mentioned at Sr. No. 4. In case ‘All joint account holders’ is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 4 and communication to other holders will be in electronic mode. The default option will be communication to ‘first holder’, if no option selected.
8. [246]In case of joint account, the option to select ‘Choice of Nomination’ i.e. I/We wish to make a nomination or I/We wish to opt out of a nomination is not mandatory.

= =

Acknowledgement

V MATHRAN & CO PRIVATE LIMITED

DP ID IN305058

Received the application from Mr/Ms________________________ as the sole/first holder alongwith ________________________and ________________________as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you in all your future correspondence.

Date:

MANDATORY

MANDATORY

Nomination Form

V Mathran & Co Private Limited **204 Vaishno Chambers, 6 Brabourne Road, Kolkata - 700 001**	**FORM FOR NOMINATION** (To be filled in by individual applying singly or jointly)

Date	D D M M Y Y Y Y	DP ID		Client ID	
UCC		I/We wish to make a nomination. [As per details given below]			

Nomination Details

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination can be made upto three nominees in the account	**Details of 1st Nominee**	**Details of 2nd Nominee**	**Details of 3rd Nominee**
1 Name of the Nominee(s) (Mr./Ms.)			
2 Share of each Nominee Equally [If not equally, please specify percentage]	%	%	%
	Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3 Relationship with the Applicant (if any)			
4 Address of Nominee(s) City / Place State & Country			
PIN Code			
5 Mobile / Telephone No. of Nominee(s) #			
6 Email ID of Nominee(s) #			
7 Nominee Identification Details *[Please tick any one of following and provide details of same]* ☐ Photograph & Signature ☐ PAN ☐Aadhaar ☐ Saving Bank, A/c No. ☐ Proof of Identity ☐ Demat Account ID	#		
Sr. Nos. 8-14 should be filled only if Nominee(s) is a minor			
8 Date of Birth {in case of minor nominee(s)}			
9 Name of Guardian *{in case of minor nominee(s)}*			

Signature of the Client: ✓ ________________ ✓________________ ✓______________________

First Holder **Second Holder** **Third Holder**

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10 Address of Guardian(s)			
City / Place /State,Country			
PIN Code			
11 Mobile / Telephone No. of Guardian #			
12 Email ID of Guardian #			
13 Relationship of Guardian with Nominee			
14 Guardian Identification Details *[Please tick any one of following and provide details of same]* ☐ Photograph & Signature ☐ PAN ☐ Aadhaar ☐ Saving Bank A/c No. ☐ Proof of Identity ☐ Demat Account ID			

	Name(s) of holder(s)	**Signature(s) of holder***
Sole / First Holder (Mr./Ms.)		√
Second Holder (Mr./Ms.)		√
Third Holder (Mr./Ms.)		√

Witness

Signature______________________________

Name______________________________

Address______________________________

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature. # Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory).
Notes: This nomination shall supersede any prior nomination made by the account holder(s), if any. The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s).

DECLARATION FORM FOR OPTING OUT OF NOMINATION

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

√______________________________

Signature of Client/ (all) Authorized Signatory (ies) **Witness:**

MANDATORY

INTRODUCER DETAILS (optional)	
Name of the Introducer	
Status of the Introducer	☐ Remisier ☐Authorized Person ☐Existing Client
	☐ Others, please specify
Address and Phone No.	
of the Introducer	
Signature of the Introducer	✓

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place: ________________________

✓____

Date: _____________________ **Signature of Client/ (all) Authorized Signatory (ies)**

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____________ **Demat Beneficiary ID**__________________

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

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

Signature of the Authorized Signatory

Date: **Seal/Stamp of the stock broker**

MANDATORY

DEMAT DEBIT PLEDGE INSTRUCTION (DDPI) AUTHORISATION

TOALLTOWHOMETHESEPRESENTSSHALLCOMEI/WE ____
residing at ____
inhabitant SEND GREETINGS.

Whereas I /we hold a Beneficiary Account No. __________________ (BO-ID) through **M/s V Mathran & Co Private Limited** with National Securities Depositories Ltd.[NSDL] (bearing DP ID IN305058).

And Whereas I am/we are an investor under UCC Code __________ engaged in buying and selling of securities through **V Mathran & Co Private Limited,** a Member of National Stock Exchange of India Ltd.(NSE) and BSE Limited, having **SEBI Regn. No. INZ000200831.**

NOW KNOW I/ WE ALL AND THESE PRESENTS WITNESSETH THAT I/WE THE ABOVE NAMED DO HEREBY INSTRUCT **M/s V Mathran & Co Private Limited** an Indian Company registered under the Companies Act, 1956, having its Regd. Office at 204 Vaishno Chambers, 6 Brabourne Road, Kolkata-700001, India to exercise and perform the following acts, deeds and things as mentioned below on my/our behalf:

Sl. No.	Purpose	Signature of Client
1	Transfer of securities held in my / our beneficial owner account towards Stock Exchange related to deliveries / settlement obligations arising out of trades executed by me / us on the Stock Exchange through M/s V MATHRAN & CO PRIVATE LIMITED.	1st Holder ✓
		2nd Holder ✓
		3rd Holder ✓
2	Pledging / re-pledging of securities in favour of Trading Member (TM) / Clearing Member (CM) for the purpose of meeting margin requirements in connection with the trades executed by me / us on the Stock Exchange.	1st Holder ✓
		2nd Holder ✓
		3rd Holder ✓
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	1st Holder ✓
		2nd Holder ✓
		3rd Holder ✓
4	Tendering shares in open offers through Stock Exchange platforms	1st Holder ✓
		2nd Holder ✓
		3rd Holder ✓

The Demat account details of Member where shares can be transferred for above purpose are mentioned below:

Account Name	Depository	NSDL DP ID	NSDL CMBP ID	NSDL CLIENT ID
NSE Pool A/c	NSDL	IN305058	IN595143	10000166
BSE Pool A/c	NSDL	IN305058	IN648906	10000174
TM/CM CSMPA A/c	NSDL	IN305058	-	10000107

Sole/1st Holder	2nd Holder Signature	3rd Holder Signature
✓	✓	✓

Date: __________ **M/s V Mathran & Co Private Limited**

Place: __________ **Authorised Signatory**

MANDATORY

CLIENT POLICIES & RISK MANAGEMENT SUMMARY

To ensure prudent risk management and regulatory compliance, V Mathran & Co Private Limited ("VMPL") follows the policies outlined below:

1. **Order Acceptance**
   VMPL may refuse, restrict, or seek additional confirmation for orders in securities that are illiquid, highly volatile, restricted by exchanges/regulators, or considered high risk under internal risk management policies.
2. **Exposure & Margin Requirements**
   Trading limits and exposure are provided based on available funds, approved collateral, applicable margins, market conditions, and the client's risk profile. VMPL reserves the right to revise exposure limits at any time.
3. **Brokerage & Charges**
   Brokerage shall be levied as agreed with the client and shall always remain within regulatory limits prescribed by the Exchanges and SEBI. Applicable taxes, statutory levies, exchange charges, and other regulatory fees shall be charged separately.
4. **Delayed Payment Charges**
   Delayed payment charges may be levied on overdue balances in accordance with the rates disclosed by VMPL and applicable regulatory guidelines.
5. **Square-Off & Liquidation Rights**
   In the event of margin shortfall, non-payment of obligations, or risk management concerns, VMPL may square off positions or liquidate securities/collateral to the extent necessary for recovery of dues and settlement obligations.
6. **Trading Restrictions**
   VMPL may restrict further trading or close open positions in circumstances including margin shortfall, prolonged debit balances, dishonoured payments, suspicious transactions, regulatory actions, or other risk-related concerns.
7. **Client Account Suspension**
   Client accounts may be temporarily suspended due to inactivity, unresolved compliance requirements, regulatory directives, client requests, pending investigations, or outstanding obligations.
8. **Account Closure & Deregistration**
   VMPL reserves the right to close or deregister client accounts in accordance with applicable laws, regulatory requirements, and internal policies. Clients may also request closure of their accounts subject to settlement of all obligations.
9. **Regulatory Compliance**
   All trading activities shall remain subject to the rules, regulations, circulars and guidelines issued by SEBI, Stock Exchanges, Depositories, Clearing Corporations and other regulatory authorities from time to time.
10. **Policy Amendments**
    VMPL reserves the right to modify its policies and procedures in accordance with regulatory changes, risk management requirements, or business considerations. Updated policies shall be made available through appropriate communication channels.

By opening and operating an account with VMPL, the client acknowledges and agrees to comply with the above policies and all applicable regulatory requirements.

✓____________________
Signature Of Client

MANDATORY

VOLUNTARY FREEZE / BLOCK ONLINE TRADING ACCESS

To enhance account security, V Mathran & Co Private Limited ("VMPL") provides clients with a facility to voluntarily freeze or block online access to their trading accounts in case of suspected unauthorized activity.

Important
• This facility blocks only the online trading access of the account.
• Open positions, margin obligations and risk management actions remain unaffected.
• Blocking of online access does not deactivate the client's trading account or Unique Client Code (UCC).

How to Request Account Blocking

1. By Registered Email ID
   Send an email from your registered email address to: stoptrade@vmathran.com

Please mention:
• Client Name
• UCC (Client Code)
• Request to BLOCK or UNBLOCK the account

2. By Registered Mobile Number
   Send an SMS from your registered mobile number to: 90880 88451

Format:
• BLOCK
Example: BLOCKA123

• UNBLOCK
Example: UNBLOCKA123

Processing Timelines

• Requests received during trading hours will generally be processed within 15 minutes.
• Requests received after trading hours will be processed before the commencement of the next trading session.
• An acknowledgement will be sent to the registered email ID or mobile number after processing.

Reactivation

Online trading access may be restored upon receipt and verification of a valid unblocking request from the registered contact details of the client.

For assistance, please contact the Compliance Team of V Mathran & Co Private Limited.

✓______________________
Signature Of Client

MOST IMPORTANT TERMS AND CONDITIONS (MITC)

As required by SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/180 dt.13.11.2023 (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 of Client

TARIFF SHEET

Trading Charges - Brokerage					
SEGMENT	**DELIVERY (%)**	**MINIMUM (paisa)**	**SQUARE OFF (%)**	**MINIMUM (paisa)**	**RISK CATEGORY**
NSE Cash					
NSE Equity Futures					
NSE Equity Options					
NSE SLBS					
BSE Cash					
BSE Equity Futures					
BSE Equity Options					
The above rates are exclusive STT, GST, Stamp Charges, Transaction Charges, Clearing Charges, SEBI Charges, etc. if any, which will be charged extra at the rates prevailing from time to time					

DP CHARGES - NSDL	
PARAMETER	**CHARGES**
Account Opening	Nil
Annual Maintenance Charges: For Individual For Corporate For BSDA Clients	 Rs. 500/- Rs. 1500/- For Holding Value Under 4Lakhs: Nil For Holding Value 4LAC to10 Lakhs ₹100/-
Transaction Charges: Market Delivery Off- Market / Inter Depository Delivery	 Rs. 25/- Rs. 35/- or 0.035% *(whichever is higher)*
Conversion of MF units represented by SOA in Demat	Rs. 100/- *per instruction*
Reconversion of MF units into SOA	Rs. 100/- *per instruction*
Redemption of MF units	Rs. 25/- *per instruction*
Margin Pledge Creation	Rs. 10/- *per instruction*
Margin Re- Pledge	Rs. 10/- *per instruction*
Margin Pledge Release	Rs. 10/- *per instruction*
Margin Pledge Invocation CM/TM	Rs. 10/- *per instruction*
Dematerialisation	Rs. 10/- per certificate [Min. Rs. 100/- per request] Plus courier charges Rs. 50/-
Rematerialisation	Rs. 15/- per 100 Quantity or a flat fee of Rs. 15/- per certificate *(whichever is higher)*
Pledge Creation	Rs. 50/-
Pledge Invocation	Rs. 50/-
Pledge Closure	Rs. 25/-
Client Master Modification	Rs. 50/- [Plus courier charges Rs. 50/-]
Clients Account Freeze/Unfreeze	Rs. 100/- [Plus courier charges Rs. 50/-]

Important Notes: • A Settlement Fee @ Rs. 4/- per Debit instruction in a Client Account shall be charged to the Participant of the Client

- For **BSDA clients**, transaction charges will be applicable same as regular clients category
- All DP charges above are inclusive of NSDL charges. They are indicative and subject to NSDL circulars and revisions.
- All charges subject to applicable GST @18% unless stated otherwise. Updated available at *www.vmathran.com*
- Brokerage rates are as agreed at the time of account opening. Any changes will be communicated 30 days in advance.
- **Penalty on non-maintenance of minimum 50% Cash:Collateral ratio – upto 18% p.a. on shortfall of Cash Component**

✓____________________

Signature Of Client

MANDATORY

RUNNING ACCOUNT AUTHORISATION (FUNDS & SECURITIES)

To,
V Mathran & Co Private Limited

I/We hereby authorize V Mathran & Co Private Limited ("VMPL") to maintain a Running Account for funds and securities pertaining to my/our trading account, subject to the applicable rules, regulations and circulars issued by SEBI, Stock Exchanges, Clearing Corporations and Depositories from time to time.

I/We understand and agree to the following:

1. VMPL may retain credit balances of funds and securities in my/our account and need not settle the account after every transaction.
2. Funds and securities shall be settled on a periodic basis as per the settlement preference selected by me/us below and in accordance with applicable regulatory requirements.
3. I/We may request payout of available funds and/or securities at any time, and such request shall be processed within the timelines prescribed by applicable regulations.
4. No interest shall be payable on funds retained under the Running Account facility.
5. VMPL may adjust credit balances, margins and collateral available in one segment/exchange against obligations arising in another segment/exchange, subject to applicable regulations.
6. Securities, margins, pledged securities, bank guarantees, fixed deposits or other approved collateral provided by me/us may be utilized towards margin requirements and settlement obligations in accordance with applicable rules and regulations.
7. VMPL may transfer margins and collateral to the relevant Exchange, Clearing Corporation or Depository Participant as required.
8. There shall be no inter-client adjustment of funds or securities.
9. Any discrepancy in the statement of accounts or settlements should be brought to the notice of VMPL within 30 days of receipt of the statement.
10. This authorization shall remain valid until revoked by me/us in writing, subject to settlement of all outstanding obligations.

Settlement Preference

☐ Monthly Settlement

☐ Quarterly Settlement

I/We have read, understood and voluntarily provided this authorization.

✓____________________
Signature Of Client

VOLUNTARY

COMMUNICATION & DIGITAL CONSENT FORM

Client Name: ________________________________
Client Code (UCC): ____________________________
Email ID: ___________________________________
Mobile Number: ______________________________

I/We hereby authorize V Mathran & Co Private Limited ("VMPL") to communicate with me/us through the contact details provided above. I/We consent to receive:

☐ Contract Notes and Trade Confirmations
☐ Ledger, Holding and Margin Statements
☐ Regulatory Alerts and Exchange Communications
☐ Research Reports and Market Updates
☐ Trading Ideas and Investment Insights
☐ Corporate Announcements and Product Information
☐ SMS Alerts
☐ WhatsApp Communications
☐ Email Communications

I/We confirm that:

1. Above email address and mobile number belong to me/us or have been validly authorized by me/us.
2. I/We shall promptly inform VMPL of any change in the above contact details.
3. Communications sent to the registered email address and/or mobile number shall be deemed delivered.
4. VMPL shall not be responsible for non-delivery arising from network issues, inactive accounts, mailbox limitations, service interruptions or circumstances beyond its control.
5. Any market views, research reports, alerts or trading ideas shared by VMPL are for informational purposes only and shall not be construed as guaranteed returns or investment assurance.
6. All investment and trading decisions shall be taken by me/us independently after considering my/our financial situation, risk profile and investment objectives.
7. This consent shall remain valid until revoked by me/us through written communication.

✓____________________
Signature Of Client

DECLARATION IN CASE OF SAME MOBILE NUMBER AND / OR EMAIL ID FOR DIFFERENT CLIENTS

Client ID		Date	
Name of account Holder			
☐ Mobile Number			
☐ Email ID			
I hereby declare that the aforesaid mobile number or E-mail ID belongs to ☐ Me or ☐ My family (spouse, dependent children and dependent parents).			
Signature of account holder	✓		
Name of account Holder			

VOLUNTARY

CONSENT LETTER FOR RECEIVING ALERTS/ TRADING CALLS ON MOBILE/ WHATSAPP / EMAIL

Dear Madam/Sir,

I/We hereby give my/our consent to VMPL to give me/us Alerts, Trading Calls, Research Reports, News, Live Updates or any other information on my Email ID given earlier for Electronic Communication and also on my mobile number.

This shall not be treated as violation of any DND or any other similar rules applicable from time to time. The number may be given to the exchange database also. Further, I/we undertake to VMPL and confirm to use my/our own judgment in taking a view and execute trade in the identified security(ies) according to my/our financial strength/capabilities and shall not hold VMPL responsible for any loss suffered by me/us on account of executing or omitting to execute any trades in pursuance of
such communication and/or investment advises sent by VMPL

I/We further declare that the above mentioned statement is true and correct.

✓____________________

Signature Of Client

CONSENT LETTER FOR EMAIL AND MOBILE ALERT FACILITIES

Dear Madam/Sir,
This is with reference to my/our trading account opened with you; I/we request you arrange facility of receiving email and/ or mobile alert facility issued by Exchange in compliance with regulation and guidelines issued by concern authorities from time to time.

Email Facility	**Service Required- ☐YES ☐NO**
Email ID	
Owned by- Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	✓
SMS Facility	**Service Required** -YES☐ NO☐
Mobile Number	
Owned by- Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	✓

* Please specify the Name and PAN detail in case email id and/or Mobile Number is other than that of the client. In this regards we state the following:

1. This is to further confirm that it will be my/our responsibility that my/our Email ID and/or Mobile Number are active and the relevant Inbox is not full. Further, the trading member will not be held liable for the mails and / or SMS alert not received.
2. I/we undertake that any change in my/our Email ID and/or Mobile Number shall be communicated to you in writing through a physical letter.
3. I/we agree that this authority shall be valid, until it is revoked by me/us at any time by giving a written notice to V Mathran & Co Private Limited.

✓____________________

Signature Of Client

DECLARATION & LETTER OF UNDERSTANDING

To,
V Mathran & Co Private Limited ("VMPL")

I/We hereby confirm and agree as follows:

1. VMPL may adjust credit balances, margins and collateral available in any of my/our accounts against obligations arising in any other account, segment or exchange maintained with VMPL, subject to applicable regulations.
2. I/We understand that trading instructions may be placed through approved communication channels, including telephone, recorded lines, online platforms and other modes permitted by VMPL. I/We shall be responsible for all instructions originating from me/us or my/our authorized representative.
3. I/We authorize VMPL to retain or withhold funds and/or securities towards margin requirements, settlement obligations, debit balances, penalties, statutory dues or other liabilities arising from my/our transactions.
4. I/We acknowledge that securities markets operate through electronic systems and communication networks. Delays, interruptions, connectivity issues, exchange outages, system failures or other circumstances beyond VMPL's control may affect order execution, modification or cancellation.
5. VMPL shall not be liable for losses arising from events beyond its reasonable control, including system failures, communication disruptions, regulatory actions, natural calamities, strikes, riots, war or other force majeure events.
6. Any penalties, charges, interest, auction obligations or regulatory levies arising from my/our transactions may be debited to my/our account.
7. Any discrepancy relating to contract notes, ledger statements, fund balances or securities balances should be brought to the notice of VMPL promptly upon receipt.
8. I/We undertake to provide all information and documentation required under Anti-Money Laundering (AML), Know Your Client (KYC) and regulatory requirements and understand that VMPL may report transactions to regulatory authorities wherever required under applicable laws.
9. This declaration shall remain valid until revoked by me/us in writing, subject to settlement of all outstanding obligations.

I/We confirm that I/we have read, understood and accepted the above terms.

✓____________________

Signature Of Client

Voluntary information provided by client in relation to the Prevention of Money Laundering Act, 2002

Name of the Client : ______________________________________

If Business / Profession: Nature of business: ____

Details of my/our Relatives, having account with **V Mathran & Co Private Limited**:

Name	Relationship	UCC (Client Code)
1.		
2.		

Details of the Corporate / Partnership Firm / Trust etc. where I/We am/are affiliated

Name	Entity Type	Nature of Business	Relationship	UCC (Client Code)
1.				
2.				

I/We hereby submit and agree to submit every year any one of the following documents to V Mathran & Co Private Limited, before the due date as prescribed by V Mathran & Co Private Limited:

1. Profit and Loss Account & Capital Account
2. Balance Sheet
3. Self-attested copy of Income Tax Return (If return not available, I/we will furnish Form 16)
4. Copy of Form 16 in case of Salary Income
5. Any other document providing financial details of the client

☐ I/We hereby declare that I/We do not fall under Clients of Special Category as defined in Prevention of Money Laundering Act 2002, OR

☐ I/We hereby declare that I/We fall under Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 (choose the relevant category as under)

☐ Non Resident Client, ☐High Net-worth Clients, ☐Trust, Charties, Non- Governmental Organisations (NGOs) and organizations receiving donations, ☐Companies having close family shareholdings or beneficial ownership,

☐ Politically Exposed Persons, ☐Companies Offering foreign exchange offerings, ☐Clients in high risk countries where existence/ effectiveness of money laundering controls is suspect, ☐Non face to face clients, ☐Clients with dubious reputation as per public information available etc.

I/We confirm that I/We will immediately inform V Mathran & Co Private Limited in case I/We am/are convicted under any grounds or any action is taken against me/us by any authority(ies).

I/We intend to invest in the stock market with: □ Own Funds □ Borrowed Funds
(If Borrowed Funds, then please specify below Sources of funds :)

Sources of Borrowed Funds (if any)	Amount (₹)

(Certificated / Opinion Report from the Banker / Financial Institution confirming that there has been no default in the client's account is to be attached, which I/We agree to attach herewith.)
I/We hereby declare that I/We am/are beneficial owner of the Trading / On-line account opened with V Mathran & Co Private Limited, and that I/We am/are investing my/our own funds with V Mathran & Co Private Limited.

✓ __________________________ __________________________

Client Signature **Client's Name**

FOR OFFICE USE ONLY

Risk categorization of client as per PMLA, 2002: ☐High Risk ☐Medium Risk ☐Low Risk

FATCA/CRS DECLARATION FORM - FOR INDIVIDUAL

Applicant Name____

PART I - Please fill in the country for each of the following:

1. Country of:

   a) Birth______________________________ b) Citizenship______________________________

   c) Residence for Tax Purposes_________________________________

2. US Person* : ☐Yes ☐No

PART II - Please note:

a. If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to Part III for signature.

b. If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent** as issued in the specific country in the table below :

   i) TIN______________________________ Country of Issue________________________________

   ii) TIN______________________________ Country of Issue________________________________

   iii) TIN______________________________ Country of Issue________________________________

a. In case any of the parameters in Part I indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in **Part IV**.

b. In case you are declaring US person status as **'No'** but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate

   ____

Please also fill **Part IV** Self-Certification.

PART III - Customer Declaration (Applicable for all customers)

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

   1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**

   2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. **(This clause is applicable only if the account holder Is a tax resident outside of India)**

(ii) I/We understand that V Mathran & Co Private Limited is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. V Mathran & Co Private Limited 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 becomes incorrect.

(iv) I/We agree that as may be required by domestic regulators/tax authorities V Mathran & Co Private Limited may also be required 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 taxpayer identification number of the applicant.

PART IV - Self-Certification:

To be filled only if-

(a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or

(b) US person is mentioned as Yes in Part I, and TIN is not available

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

✓

Signature

Document Proof submitted (Please tick document being submitted)

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

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* **U.S. Person** means,

(a) an individual, being a citizen or resident of the United States of America;

(b) a partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;

(c) a trust if, -

  (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and

  (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust; or

(d) an estate of a decedent who was a citizen or resident of the United States of America;

** **Functional Equivalent of TIN**

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

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

✓

Signature:____

Name:________________________________**Date (DD/MM/YYYY):**____________________

AUTHORITY TO DEBIT THE DEMAT CHARGES

To
V Mathran & Co Private Limited,

Beneficiary Client ID	
Trading Account Code	

Dear Sir,
This is to inform you that,

1. I/we have a beneficiary account with you with client ID as mentioned above.

2. I/we have a trading account with **V Mathran & Co Private Limited** with trading code mentioned above.

With respect to the above mentioned subject and consideration, I/we hereby authorize you to debit the trading account maintained with **V Mathran & Co Private Limited** for the debit charges payable to V Mathran & Co Private Limited, as Depository Participant for providing depository services. Any such amount debited to my/our Trading Account shall be binding on me/us.

Yours faithfully,

Signature of the Client: ✓ ________________ ✓________________ ✓ ______________________
First Holder **Second Holder** **Third Holder**

Option to receive Annual Reports, AGM notice and other communication from issuer in physical form

To
V Mathran & Co Private Limited,

Client Id									Date							
Sole/First Client Name																
Second Holder Name																
Third Holder Name																

(Please tick any one)

- I / We hereby inform you that I/we wish to receive financial statements (i.e. annual reports), AGM notice and other communications from Issuers in physical form.

- I / We hereby inform you that I/we had earlier opted to receive the financial statements (i.e. annual reports), AGM notice and other communications from Issuers in physical form and now intend to remove the said option so that I/we can receive the same in electronic form.

Signature of the Client: ✓ ________________ ✓ ________________ ✓ ______________________
First Holder **Second Holder** **Third Holder**

VOLUNTARY

EDIS / SPEED-E AUTHORIZATION ACKNOWLEDGEMENT

To
V Mathran & Co Private Limited,

I/We have been informed about the EDIS (Electronic Delivery Instruction System) and Speed-e facility offered by NSDL through V Mathran & Co Private Limited. I/We understand that:

- Each debit transaction through EDIS requires my/our TPIN authorisation.
- I/We should NOT share TPIN with anyone, including V Mathran staff.
- For details, refer to Section 5 (Demat Form) and www.nsdl.co.in

☐ I/We have read and understood the EDIS framework and agree to its terms.

✓___________________
Signature Of Client

OPTION FORM FOR ISSUE OF DIS BOOKLET

To
V Mathran & Co Private Limited
DP ID IN305058
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 NSDL account though I / we have issued a DDPI / registered for eDIS / executed PMS agreement in favour of / with ____(name of the DDPI holder / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such DDPI holder / Clearing Member / by PMS manager for executing delivery instructions through e-DIS.

OR

☐ **OPTION 2:**

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

Yours faithfully,

Signature of the Client: ✓__________________ ✓_________________ ✓________________________

First Holder	Second Holder	Third Holder

MUTUAL FUND SERVICES REGISTRATION FORM

To,
V Mathran & Co Private Limited

I/We am/are registered clients of V Mathran & Co Private Limited and request activation of the Mutual Fund Services Facility through the Exchange platforms, including BSE StAR MF and NSE MF Invest.

I/We authorize V Mathran & Co Private Limited to use the KYC and client information already submitted for my/our trading account for the purpose of registration under the Mutual Fund Services Facility.

I/We hereby declare and agree that:

1. I/We wish to invest in Mutual Fund schemes through BSE StAR MF and/or NSE MF Invest.
2. The KYC and other information submitted by me/us remains true, complete and unchanged as on the date of this declaration.
3. I/We shall read and understand the Scheme Information Document (SID), Key Information Memorandum (KIM), Scheme Related Documents and all applicable disclosures before investing in any Mutual Fund scheme.
4. I/We understand that Mutual Fund investments are subject to market risks and that all investment decisions shall be made solely by me/us.
5. I/We agree to comply with the rules, regulations, circulars and guidelines issued by SEBI, AMFI, BSE, NSE and other applicable regulatory authorities from time to time.
6. I/We shall promptly notify V Mathran & Co Private Limited of any change in my/our KYC information.
7. I/We understand that V Mathran & Co Private Limited acts only as a facilitator/distributor and shall not be responsible for the performance of any Mutual Fund scheme.

I/We therefore request V Mathran & Co Private Limited to enable Mutual Fund transaction facilities in my/our account.

✓__________________
Signature Of Client

ADDITION OF AADHAAR DETAILS

'I/We do hereby solemnly declare that the detail herein above submitted by me/us is/are true to my/our knowledge.
I/We voluntarily give my/our consent to 'V Mathran & Co Private Limited to use my/our Aadhaar Details to authenticate from UIDAI and link the Aadhaar Number to all my/our existing/new accounts with your DP.

	NAME	AADHAAR
Sole/First Holder		
Second Holder		
Third Holder		

Signature of the Client: ✓ __________________ ✓__________________ ✓______________________

First Holder **Second Holder** **Third Holder**

CLIENT ACKNOWLEDGEMENT OF DOCUMENTS RECEIVED

To
V Mathran & Co Private Limited
204 Vaishno Chambers
6 Brabourne Road
Kolkata – 700001

Subject: Acknowledgement of Receipt of Account Opening Documents

I/We hereby acknowledge and confirm that:

☐ I/We have received a copy of the duly completed and executed Account Opening Form, including my/our Trading Account Code (UCC) and Demat Account Client ID.

☐ I/We have received, read and understood the following documents, either in physical or electronic form:

- Rights & Obligations Document
- Risk Disclosure Document (RDD)
- Guidance Note
- Policies & Procedures
- Most Important Terms & Conditions (MITC)
- Policy on Voluntary Freezing / Blocking of Trading Account

☐ I/We confirm that the email address and mobile number registered with V Mathran & Co Private Limited are correct and shall be used for regulatory communications, contract notes, statements and alerts.

☐ I/We understand that the above documents are also available on the company's website and may be updated from time to time in accordance with applicable regulatory requirements.

☐ I/We agree to promptly inform V Mathran & Co Private Limited of any change in my/our contact details or other account information.

Client Details

Particulars	Details
Client Name	____________________________
Trading Account Code (UCC)	____________________________
Demat Client ID	____________________________

Client Signature

Signature: ✓________________________

Name: ___________________________

Date: ____________________________