



DP TradeKING[®]
Private Limited



Registered Entity
INZ000097030 | IN-DP-318-2017



Member TM Code : 90100
CM | FO | CD | CO | SLBM | MFSS



Member Clrg. Code : 6650
CM | MF



NSDL
Technology, Trust & Reach

Depository Participant
DP ID : IN304182



Member
ARN : 109938 | EUIN : E176309



Registered Agent
Life, Health & General Insurance

Client Registration Form

Client Registration form for DEMAT and Trading Account (Combined form for NSE, BSE & DP-NSDL)

1 st Holder / Client Name	<input type="text"/>		
2 nd Holder Name	<input type="text"/>		
3 rd Holder Name	<input type="text"/>		
Branch Code	<input type="text"/>	AP Code	<input type="text"/>
Introducer Code	<input type="text"/>	Dealer Code	<input type="text"/>
Form No.	<input type="text"/>	Category of A/c	<input type="radio"/> Individual <input type="radio"/> Non-Individual
Type of A/c	<input type="radio"/> Only DEMAT <input type="radio"/> Only Trading <input type="radio"/> Combined		
Trading A/c No.	<input type="text"/>	DEMAT A/c No.	<input type="text"/>

Investment Services | Wealth Management | E-Governance | Insurance

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ACKNOWLEDGMENT
Rights & Obligations Acknowledgement (Broker/DP)

Date : / /




FORM No. A

1. I/We do hereby confirm the receipt of copy of the duly completed KYC documents including RDD, Rights & Obligations Guidance Note, Policies & Procedures and all such other documents executed by me/us as your client.
2. I/We do hereby confirm the receipt of the Tariff- Sheet, Trading Code/Unique Client Code allotted to me/us including the E-mail ID furnished by me/us for the purpose of receiving electronic contract notes, statement of accounts and such other documents and as such have noted the User ID and Password given to me/us for the operations of the same through your website.
3. In case of non-receipt of the above or User ID & Password for tracking any transaction through your website: www.dptradeking.com or for any help assistance. I/We will promptly notify your compliance officer for Trading A/c : BHAVIK PATEL, on ID : bhavik@dptradeking.com or Mob.: +91 99091 47774 or Tel.: +91 2692 246500 / 246066 and for Demat A/c : BHAVIK PATEL, on ID : bhavik@dptradeking.com or Mob.: +91 99091 47774 or Tel.: +91 2692 246500 / 246066.
4. I/We will periodically visit www.dptradeking.com for updation on various Policies/Forms/Declarations etc.
5. I/We hereby declare that prior to transacting into the securities/commodities of Listed Stock Exchanges, I/we will ensure to meet Eligibility for acquiring or holding shares and fit and proper criteria as per SEBI circular No. CIR/MRD/DSA/01/2016 dated 1st January, 2016 under SECC Regulations, 2012 as may be amended from time to time.
6. I/We do hereby acknowledge receipt of following
Annexure 1/4/K - Rights & Obligations of Stock Brokers and Clients (NSE & BSE) / Depository Participant & BO Holder (NSDL)
Annexure 5 - Risk Disclosure Document for Capital Market & Derivatives Segments (NSE, BSE, MCX & NCDEX)
Annexure 6 - Guidance Note - Do's & Don'ts for Trading on the Exchange(s) for Investors (NSE & BSE) Documents describing significant Policies & Procedures of Stock Broker (NSE & BSE) Rights & Obligations of Beneficial & Depository Participant as prescribed by SEBI and Depositories Copy of Power of Attorney.

DP ID : IN304182

Client ID :

Trading Code :

Name(s) of Holder(s)	Name	Signature
Sole/First Holder		FH9 
Second Holder		SH9 
Third Holder		TH9 

DP TradeKING Private Limited

Regd. Office : 3rd Floor, Silver Oak, Opp. Panchal hall, Town Hall Road, Anand -388 001.(Guj.) INDIA.

Acknowledgment of receipt of Trading and Demat Account

TM CODE : 90100 (NSE) | CLEARING CODE : 6650 (BSE) | DP ID : IN304182 (NSDL)

We, DP TradeKING Private Limited acknowledge of the receipt of an application of Trading and Demat Account opening form

Following are the details of an account :

☐ Trading + Demat ☐ Only Trading ☐ Only Demat

First Holder Name : _____

Second Holder Name : _____

Third Holder Name : _____

Branch Code : Introducer Code : Date of Receipt :

For, DP TradeKING Private Limited

Authorised Signatory



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KYC CHECKLIST (PLEASE TICK WHEREVER APPROPRIATE)

Name of KYC Verifier : _____ Employee Code : _____

I. General <input type="checkbox"/> Passport size photo & Signed across <input type="checkbox"/> PAN Card (Mandatory) <input type="checkbox"/> In person verification in KYC <input type="checkbox"/> Original seen and verified stamp on all docs <input type="checkbox"/> Witness Signature & Address <input type="checkbox"/> All Copies Self Attested		<input type="checkbox"/> KRA document used* (*Email Id & Phone number to be provided on given KRA document)
II. Additional Proof of Identify (Any One) <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Valid Passport <input type="checkbox"/> Valid Driving License <input type="checkbox"/> Voter ID <input type="checkbox"/> Any other Supporting doc; _____		
III. Proof of Permanent / Correspondence address <input type="checkbox"/> Ration Card <input type="checkbox"/> Valid Passport <input type="checkbox"/> Valid Driving License <input type="checkbox"/> Voter ID <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Gas bill <input type="checkbox"/> Tel. Land line Bill <input type="checkbox"/> Bank Verification Letter <input type="checkbox"/> Electricity Bill <input type="checkbox"/> Bank Passbook <input type="checkbox"/> Registered Lease or Sale Agreement <input type="checkbox"/> Bank Statement *Utility Bills and Bank Proof should not more than 3 months old Any other Supporting doc; _____		<input type="checkbox"/> KRA document address used
IV. Bank Proof With MICR / IFSC Code (Needed for 1st Holder only) <input type="checkbox"/> Original Pre printed Cancelled cheque / Copy of preprinted margin cheque leaf <input type="checkbox"/> Bank Statement <input type="checkbox"/> Pass book		
V. Demat Proof (Needed for 1st Holder only) <input type="checkbox"/> Client Master <input type="checkbox"/> DP Statement <input type="checkbox"/> Transaction/Holding Statement <input type="checkbox"/> Welcome Letter		
VI. Financial Documentary Proof (Mandatory for F & O / Currency Segments) (Needed for 1st Holder only) <input type="checkbox"/> Copy of ITR Acknowledgement <input type="checkbox"/> Bank account statement for last 6 months <input type="checkbox"/> Net worth certificate <input type="checkbox"/> Copy of Form 16 in case of salary income <input type="checkbox"/> Salary Slip <input type="checkbox"/> Copy of demat account Holding statement.		

SIGNATURE GUIDELINES

IMPORTANT NOTE

1. Signature Types:



Signature of Client / First Holder



Signature of Second Holder



Signature of Third Holder



Signature of Trading A/c Holder



Signature of First Witness



Signature of Second Witness



Signature of SB / AP / Introducer



Signature of Nominee



Signature of Guardian

2. In case of any correction in the form - Sign next to the correction done & Sign has to match the original signature.



INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

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, 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 FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
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, FIIs, 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.



INDIVIDUAL ACCOUNT OPENING FORM (DEMAT + TRADING)

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGE

SNo.	DOCUMENT	SIGNIFICANCE	PAGE(s)
1.	Account Opening Form	KYC form - Document captures the basic information about the constituent and an instruction/check list for filling KYC form.	1-5
2.	Rights and Obligations	Provided to the client (consent declaration Form A)	
3.	Risk Disclosure Document (RDD)	Provided to the client (consent declaration on Form A)	
4.	Guidance Note	Provided to the client (consent declaration on Form A)	
5.	Policies and Procedures	As per SEBI Circular MIRSD/SE/Cir-19/2009 dated 03/12/2009	11-13
6.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) and charges related to demat account	15-16

MANDATORY DOCUMENTS FOR OPENING OF DEMAT ACCOUNT

SNo.	DOCUMENT	SIGNIFICANCE	PAGE(s)
7.	Application for Demat Account	Details are required for adhering to "Know Your Client" for opening a Demat Account	6-8
8.	Authorisation for debit charges	Authorisation to debit trading account for the demat account charges	24
9.	FATCA CRS Declaration	Client's self declaration on holding of overseas asset if any	17-18
10.	Declaration	Declaration related to Mobile/Email ID registration.	10

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

SNo.	DOCUMENT	SIGNIFICANCE	PAGE(s)
11.	DIS Issue	Option form for issue of Delivery Instruction Slip	14
12.	Letter of Authorization for Electronic Contract & Running Account Authorization	Client consent letter for receiving the contract notes by Email and Authorization for maintaining a Running Account with DP TradeKING.	22
13.	Voluntary Terms & Conditions	Voluntary Terms & Conditions define between client and broker	19-21
14.	Writeup on AML Measures	Basic information on Anti Money Laundering measures	23
15.	Demat Debit & Pledged Instruction (DDPI)	DDPI provided to Broker/DP to facilitate payin of securities and other authorizations	

REGISTERED OFFICE ADDEESS

DP TradeKING Private Limited
3rd Floor, Silver Oak, Opp. Panchal Hall,
Town Hall Road, Anand 388001.
Gujarat
Telephone : 02692 246500
Email ID : kyc@dptradeaking.com

CEO (NSE/BSE)

Mr.Dikul J. Patel
Telephone : 02692 247966
Cell : +91 98250 11966
Email ID :dikul@dptradeaking.com

COMPLIANCE OFFICER

Mr. Bhavik D. Patel
Telephone : 02692 247966
Cell : +91 99091 47774
Email ID :compliance@dptradeaking.com

INVESTORS GREIVANCE

Mr. Bhavik D. Patel
Telephone : 02692 247966
Cell : +91 99091 47774
Email ID :
grievance@dptradeaking.com

KYC PROCESSING DEPARTMENT

Mr.Alpesh H. Macwan
Telephone : 02692 246500
Cell : +91 99091 47774
Email ID :alpeshm@dptradeaking.com

CIN & SEBI REGISTRATION NUMBERS

DP TradeKING Private Limited
CIN : U67190GJ2016PTC085892
SEBI Regn. No. : INZ000097030
Registration Date : January 10, 2017
SEBI Regn. No. : IN-DP-318-2017
Registration Date : April 10, 2017

CLEARING MEMBER INFORMATION

Globe Capital Market Limited
INZ000177137
NSE (CM, FO, CD & CO)
BSE (CM, FO)



ACCOUNT OPENING LOG

FOR OFFICE USE ONLY (To be filled at KYC & DP Official, Head Office)

DESCRIPTION	DATE (DD/MM/YYYY)	TIME	NAME OF EMPLOYEE	SIGN
KYC Form Data Entry (LD AddON)				
KYC Form Data Entry (LD NSDL)				
Account Opening Form Received By (Reception Level Entry)				
Account Opening Form Verified By (KYC Department)				
KRA Process (KYC Department)				
Form Sent to DEMAT Department (KYC to DEMAT)				
DEMAT Account Activation (DEMAT Department)				
Form Sent to KYC Department (DEMAT to KYC)				
TRADING Account Activation (Back Office Activation)				
TRADING Account Activation (UCC - NSE & BSE)				
MAPPING to RMS (RMS Data Sheet Updating)				
Welcome Kit Email (KYC Department)				

REJECTION MEMO

Rejection 1	
Date of Rejection	
Query	
Informed To	
Date & Time to Inform	

Rejection 3	
Date of Rejection	
Query	
Informed To	
Date & Time to Inform	

Rejection 2	
Date of Rejection	
Query	
Informed To	
Date & Time to Inform	

Rejection 4	
Date of Rejection	
Query	
Informed To	
Date & Time to Inform	



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

Important Instructions:

- A) Fields marked with '**' are mandatory fields.
B) Please fill the form in English and in BLOCK letters.
C) Please fill the date in DD-MM-YYYY format.
D) Please read section wise detailed guidelines / instructions at the end.

- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
F) List of two character ISO 3166 country codes is available at the end.
G) KYC number of applicant is mandatory for update application.
H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



For office use only

Application Type*

☐ New ☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

Account Type*

☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender			
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others			
Citizenship*	<input type="checkbox"/> IN- Indian <input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)			
Residential Status*	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised			

PHOTO

C1 Signature / Thumb Impression

2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth*

3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

4. PROOF OF ADDRESS (PoA)*

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/>	
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

Address

Line 1*

Line 2

Line 3

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*



4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction **E** at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

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

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1*																				
Line 2																				
Line 3																				
State*						ZIP / Post Code*						ISO 3166 Country Code*								

5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **F** at the end)

Tel. (Off)						Tel. (Res)						Mobile									
FAX						Email ID															

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction **G** at the end)

<input type="checkbox"/> Addition of Related Person	<input type="checkbox"/> Deletion of Related Person	KYC Number of Related Person (if available*)														
Related Person Type*	<input type="checkbox"/> Guardian of Minor	<input type="checkbox"/> Assignee	<input type="checkbox"/> Authorized Representative													
Name*	Prefix	First Name					Middle Name					Last Name				

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction **H** at the end)

<input type="checkbox"/> A- Passport Number											Passport Expiry Date	DD - MM - YYYY				
<input type="checkbox"/> B- Voter ID Card																
<input type="checkbox"/> C- PAN Card																
<input type="checkbox"/> D- Driving Licence											Driving Licence Expiry Date	DD - MM - YYYY				
<input type="checkbox"/> E- UID (Aadhaar)																
<input type="checkbox"/> F- NREGA Job Card																
<input type="checkbox"/> Z- Others (any document notified by the central government)											Identification Number					
<input type="checkbox"/> S- Simplified Measures Account - Document Type code											Identification Number					

7. REMARKS (If any)

8. 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. 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.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : DD - MM - YYYY

Place :



Signature of Applicant :

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY										INSTITUTION DETAILS										
Date	DD - MM - YYYY										Name									
Emp. Name											Code									
Emp. Code																				
Emp. Designation																				
Emp. Branch																				
[Employee Signature]										[Institution Stamp]										



BANK ACCOUNT DETAILS OF APPLICANT

Bank Name _____ Branch _____
 Address _____
 City _____ Pincode _____ State _____ Country _____
 Bank A/c No. _____ Bank A/c Type ☐ Savings ☐ Current
 9 Digit MICR No. (As mentioned in cheque) _____ ☐ Overdraft ☐ CC / Overdraft
 IFSC Code _____ In case of NRI ☐ NRE ☐ NRO
 Authority to remit funds payout electronically into client's bank account (Optional) ☐ Yes ☐ No

I / We request you to deposit my / our payout in respect of my / our transactions directly to above mentioned bank account (provided such facility is available) or any other bank account which I / We may intimate from time to time.

IN CASE OF NRI

PIS Approval No. : _____

PIS Approval Date : _____

(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.

DEPOSITORY ACCOUNT(S) DETAILS
1st Preferred A/c Common for pay-in & pay-out

Depository Name ☐ NSDL ☐ CDSL DP Name _____

DP ID _____ Beneficiary A/c No. _____

In case of NRI ☐ NRE ☐ NRO

1st _____

2nd _____

3rd _____

2nd Preferred A/c Common for pay-in & pay-out

Depository Name ☐ NSDL ☐ CDSL DP Name _____

DP ID _____ Beneficiary A/c No. _____

In case of NRI ☐ NRE ☐ NRO

1st _____

2nd _____

3rd _____

PAST ACTION

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

OTHER DETAILS

Gross Annual Income Details (Please tick (✓)): ☐ Below 1 Lakh ☐ 1-5 Lakh ☐ 5-10 Lakh ☐ 10-25 Lakh ☐ > 25 Lakh OR
 Net-worth in Rs. _____ as on (date)

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Occupation (Please tick () any one and give brief details):

☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired

☐ Housewife ☐ Student ☐ Forex Dealer ☐ Landlord ☐ Other (Please Specify) _____

Please tick, if applicable : ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person







For definition of PEP, please refer instruction No. 11 of KRA

Any other information _____



TRADING PREFERENCE

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

Exchanges	NSE, BSE & MSEI				MCX NCDEX BSE & NSE
All Segments	Cash / Mutual Fund	F&O	Currency	Debt	Commodity Derivatives
					

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

DEALING THROUGH SUB-BROKER / AP AND OTHER STOCK BROKERS

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

Sub-broker's / AP Name _____

SEBI Registration No. _____

Registered office address _____

Contact Details : Tel. No. _____ Fax No. _____ Website _____

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

Name of stock broker _____

Name of sub-broker/AP if any _____

Client Code _____ Exchange _____

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

CONTRACT NOTE PREFERENCE/EMAIL-SMS ALERT/OTHER DETAILS

Whether you wish to receive ☐ Physical Contract Note OR ☒ Electronic Contract Note

Specify your Email ID, If Applicable _____

Whether you wish to receive Trade Confirmation/IPO Alerts/Market Alerts ☐ YES ☐ NO

Alert should be send on : Mobile No. +91

Investment/Trading Experience ☐ Yes ☐ No Prior Experience

If YES, Number of years of Investment/Trading Experience _____ YEARS

NRI DETAILS

Foreign Address _____

_____ Pin Code _____

City _____ State _____ Country _____

Telephone No. _____ Mobile No. _____ Fax No. _____

RBI Reference No. _____ RBI Approval Date _____



INTRODUCER DETAILS

Introduced by ☐ Sub Broker ☐ Remisier ☐ Authorised Person ☐ Existing Client
☐ Others (please specify) _____

Name of the Introducer _____

Address & Tel. No. _____

Mobile No. _____

AP1



Signature of Introducer

SUB-BROKER/AUTHORISED PERSON DECLARATION

In case introduced by Sub-broker/Authorised Person:

I/we here by confirm that I/we verified the identity & bonafides of the client. I/We undertake to ensure prompt settlement of the transaction carried out by the client and also extend full co-operation to DP TradeKING Private Limited to facilitate their smooth dealings with this client. I/We shall also ensure that all the dealings with the client are as per the Rules/Regulations/Bye-laws of Exchanges/SEBI. Further I/We undertake to abide by the operational policies and procedures of DP TradeKING Private Limited and also the terms of the agreement entered into by me/us with DPTKPL.

Signature of the Sub-broker/Authorised Person (with Stamp)

AP2

Date

D	D	M	M	Y	Y	Y	Y
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FOR OFFICE USE ONLY

UCC Code allotted to the Client _____

Employee Details	Documents verified with Original	Client Interviewed by	In-Person Verification done by
Name			
Code			
Designation			
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.

For, DP TradeKING Private Limited

Signature of Authorised Signatory

Date

D	D	M	M	Y	Y	Y	Y
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Seal/Stamp of intermediary



ADDITIONAL KYC FORM OR OPENING A DEMAT ACCOUNT

Mandatory

TO BE FILLED BY DEPOSITORY PARTICIPANT

DP TradeKING Private Limited								
DP Internal Reference No.	Client ID							
NSDL DP ID : IN304182	Date	D	D	M	M	Y	Y	Y

I/We request you to open demat account in my/our name as per following details. (To be filled by the applicant in **BLOCK LETTERS** in English)

HOLDER's DETAILS

Sole / First Holder's Name	Middle Name	Surname	PAN No. :								
Occupation <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others(Please Specify) Nature of Business											
Second Holder's Name	Middle Name	Surname	PAN No. :								
Occupation <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others(Please Specify) Nature of Business											
Third Holder's Name	Middle Name	Surname	PAN No. :								
Occupation <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others(Please Specify) Nature of Business											

TYPE OF ACCOUNT in DP (Please Tick whichever is applicable)

Individual	<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> Minor	<input type="checkbox"/> Others (Specify)
NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non Repatriable	
Foreign National	<input type="checkbox"/> FN	<input type="checkbox"/> FN Promoter	
Qualified Foreign Investor	<input type="checkbox"/> Individual	<input type="checkbox"/> Foreign Portfolio Investor (Individual)	

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) Name :								
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STANDING INSTRUCTIONS

1	I/We authorise you to receive credits automatically into my/our account.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2	Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3	SMS Alert facility : [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]		
	Sr. No	Holder	Yes No
	1	Sole / First Holder	<input type="checkbox"/> <input type="checkbox"/>
	2	Second Holder	<input type="checkbox"/> <input type="checkbox"/>
	3	Third Holder	<input type="checkbox"/> <input type="checkbox"/>
4	Mode of receiving Statement of Account [Tick any one]	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form	
5	For Joint accounts, communication to be sent to	<input type="checkbox"/> First Holder <input type="checkbox"/> All Joint Account Holders	

NOMINATION OPTION

<input type="checkbox"/> I/We wish to make a nomination. [Details are provided at Annexure A by SEBI]	<input type="checkbox"/> I/We do not wish to make a nomination. [Details are provided at Annexure B by SEBI]
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MODE OF OPERATIONS FOR JOINT ACCOUNTS

<input type="checkbox"/> Jointly	<input type="checkbox"/> 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.






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											
Address											
	Pin Code <input type="text"/>										
Date of Birth (of minor)	D	D	M	M	Y	Y	Y	Y			

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 :

- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions and 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.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - 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.
- 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 within one year of the date of demise.
- 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.
- Strike off whichever is not applicable.



FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

TM / DP : DP TradeKING Private Limited Regd. Office : 3rd Floor, Silver Oak, Opp. Panchal Hall, Town Hall Road, Anand - 388 001, Gujarat, INDIA.

Date

 UCC/ DP ID

 Client ID

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 <small>[If not equally, please specify percentage]</small>	%	%	%
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>				
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 <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> 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 (Mr./Ms.) {in case of minor nominee(s) }			
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 <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			



	Name(s) of holder(s)	Signature(s) of holder*
Sole / First Holder (Mr./Ms.)		FH2 
Second Holder (Mr./Ms.)		SH2 
Third Holder (Mr./Ms.)		TH2 




* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Note: 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)

Annexure B - Declaration Form for not opting out of nomination

UCC/DP ID	I	N						
Client ID (only for Demat account)								
Sole/First Holder Name								
Second Holder Name								
Third Holder Name								

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.

	Name(s) of holder(s)	Signature(s)
Sole/First Holder (Mr./Ms.) Guardian (in case of minor)		FH3 
Second Holder (Mr./Ms.)		SH3 
Third Holder (Mr./Ms.)		TH3 

Date

D	D	M	M	Y	Y	Y	Y
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Place _____

DECLARATION BY BANK

I hereby declare that Mr./Ms. _____ Has a Saving/Current A/c. _____ with Bank _____

Bank Address _____

He/She has signed across the photographs on the application form for opening Depository account with DPTKPL, in my presence.

Date :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Bank Seal

Signature & Designation of Bank Official



MOBILE & EMAIL ID DECLARATION

DP ID	BO Account No.	UCC Code
IN304182		

First Holder / Sole Holder / Trading Holder

Name		Relationship with the person whose Mobile Number/Email ID is provided (Tick wherever applicable)
Mobile No.		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> I do not have Mobile No.
Email ID		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> I do not have Mobile No.

Second Holder

Name		Relationship with the person whose Mobile Number/Email ID is provided (Tick wherever applicable)
Mobile No.		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> I do not have Mobile No.
Email ID		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> I do not have Mobile No.

Third Holder

Name		Relationship with the person whose Mobile Number/Email ID is provided (Tick wherever applicable)
Mobile No.		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> I do not have Mobile No.
Email ID		<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> I do not have Mobile No.

I/We hereby opt for receipt of my/our account related communications/information including but not limited to contract notes in electronic/digital format, account statement, holding statement, trade order confirmations, Holding & Transaction statement, Bills and Ledger in electronic/digital format as well as any other notices also in electronically on my/our email ID mentioned above and trade confirmation, pledged confirmation SMS on my/our Mobile No. mentioned above.

FH4



SH4



TH4



As per SEBI Circular MIRSD/SE/Cir-19/2009 dated December 3, 2009

This policy governs Member-Client relationship, i.e. relations between stock broker and client: This has reference to your trading account maintained with us and Know Your Customer (KYC) norms specified by Securities and Exchange Board of India (SEBI) vide their circular No. MIRSD/ SE /CIR-19/2009 dated December 03, 2009. Aforesaid circular warrants DP TradeKING Private Limited to bring into notice of all broking clients the Policies & Procedures adopted by DP TradeKING Private Limited. The client is requested to please take notice of our policies and procedures given herein below.

DP TradeKING Private Limited shall be at liberty to change the below given policies and procedures without giving any reason and the client shall be informed by the possible mode of communication including Website of DP TradeKING Private Limited: www.dptradeking.com. Updated Policy and Procedures is made available on Website of DP TradeKING Private Limited: www.dptradeking.com. The decision of DP TradeKING Private Limited will be binding to client. The client has to get himself updated from the policy and procedure which available on Website of DP TradeKING Private Limited

1. Refusal of orders for penny stocks:

For the safety of client, brokers and market as a whole, policy of DP TradeKING Private Limited policy to refuse orders for penny stocks is as under;

- a. DP TradeKING Private Limited will prepare list of penny stocks based on certain criteria and publish the list of penny stocks on Website of DP TradeKING Private Limited and will be updated from time to time. Such list will inter-alia includes but shall not be restricted to the list of illiquid securities declared by the stock exchange or any other Regulatory Authority or infrequently traded stocks/contracts etc. In general terms, a penny stock is a low-priced and/or a speculative security, may be of a very small company, regardless of its market capitalization. Decision of the DP TradeKING Private Limited will be final.
- b. DP TradeKING Private Limited may at its discretion refuse to execute any buy or sell order of the client in penny stock in-toto or by imposing higher margin percentage and/or demanding advance payment of expected settlement value/delivery of penny stock, if DP TradeKING Private Limited is of the view that such execution would adversely affect market integrity or give rise to regulatory /disciplinary actions/ concerns.

2. Setting Up Client's Exposure Limits:

The client will have to abide by the exposure limits, if any, set by DP TradeKING Private Limited or by the exchange or Clearing Corporation or SEBI from time to time. The client is aware and agrees that such exposure limit whether on the buy or the sell side, may operate specific to a security or contract and/or on an aggregate basis or based on need of DP TradeKING Private Limited need to vary or reduce or impose new limits urgently on the basis of assessment of the associated risks perception of DP TradeKING Private Limited, risk profile of the client and other factors considered relevant by DP TradeKING Private Limited including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/ market level limits in security specific/volume specific exposures etc.). DP TradeKING Private Limited may be unable to inform the client of such variation, reduction or imposition in advance. DP TradeKING Private Limited, from time to time, shall also be entitled to

squareoff/liquidate/sale/close the position(s) and/or stock as it may deem fit without any reference to the client, in case the client fails to maintain/deposit minimum margin as required by DP TradeKING Private Limited. The client agrees that DP TradeKING TradeKING Private Limited shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through trading system of DP TradeKING Private Limited on account of any such variation, reduction or imposition of limits. The policy will be at the discretion of DP TradeKING Private Limited based on margin availability, selection of the scrip, component of cash and securities, past track records of the client, volatility in the market and other factors considered relevant by DP TradeKING Private Limited. Exposure limit of the client will be set by Risk Management & Surveillance (RMS) Department of DP TradeKING Private Limited on the basis of above criteria and will vary from time to time due to conditions mentioned above. It will be duty of client to find out for the exposure limit set, from Risk Management & Surveillance (RMS) Department of DP TradeKING Private Limited, and the client will have to keep himself informed on regular basis.

3. Applicable Brokerage Rate

Brokerage may vary from client to client on the basis of client profile. Brokerage will be charged within the maximum limits prescribed by SEBI/Exchanges from time to time. The rate of brokerage will be charged as mutually agreed with the client and the client will be informed by suitable communication mode. The details of applicable brokerage and all statutory dues/levies will be made available on Website of DP TradeKING Private Limited and the client has to update himself/herself/itself about he applicable brokerage and all statutory due/levies from Website of DP TradeKING Private Limited.

- a. For Cash/Futures Segment:

The maximum brokerage chargeable in relation to trades executed in the securities admitted to dealings on the Capital Market segment of the Exchanges shall be 2.5 % of the contract price, exclusive of statutory levies/dues. It is hereby further clarified that where the sale / purchase value of a share is Rs. 10/- or less, the maximum brokerage of 25 paise per share may be collected.

- b. For Options contracts:

Brokerage for options contract would not exceed Rs.100/- per lot on single side or such other rates as provided by the exchanges. The maximum brokerage limit may vary as specified by Stock Exchange or SEBI or other Regulatory Authority. The brokerage shall however be exclusive of the following charges which the client shall also pay:

- i. Service Tax and Education Cess
- ii. Securities Transaction Tax
- iii. SEBI/Exchange/Clearing member charges
- iv. Stamp Duty
- v. All applicable tax/Government Levies/ Statutory Levies prevailing at present and may be imposed by Government or Statutory Authority from time to time
- vi. Statutory charges payable to SEBI/Exchange/ Clearing member, Authorities etc.
- vii. DP Annual Maintenance charges
- viii. Account opening charges
- ix. Other Charges/Fees as may be deemed fit by DP TradeKING



Private Limited after duly notifying to client, which is not in contradictory to the acts/rules/regulation/bye-laws of the Exchange/SEBI prevailing at present and changed from time to time

4. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period Client shall be liable to charges on non-payment of margin money, short selling of securities or units, failure on payment of auction, charges for dishonor of cheque(s) given by the client, non delivery of shares, auction charges, penalties levied by the Exchanges for client limit violation, increased open position or on any orders / trades / deals / actions of the client which are contrary to rights and obligations, policies and procedures and other voluntary documents, if executed / rules / regulations / bye laws of the exchange or any other law for the time being in force as per Rules, Regulations, Guidelines and Circulars issued by SEBI and stock exchange. The Client shall pay DP TradeKING Private Limited fees, account opening/ maintenance charges, charges for availing research reports, charges for availing special facility for mobile broking/SMS facility or any other charges for special services/facilities availed by the Client including but not limited to charges related to opening/ maintaining and/or carrying out demat related activities through a demat account maintained with DP TradeKING Private Limited, inter settlement charges etc. as applicable from time to time. Similarly in case of non receipt of any amount due either full payment of value of delivery purchased and margin imposed (initial + MTM + Exposure) towards trading or on account of any other reasons, to DP TradeKING Private Limited, delayed payment will be charged at 21% p.a. calculated on daily basis on shortfall amount till the date of actual realization of money/margin.

DP TradeKING Private Limited may, as per prevailing rules/regulation/bye-laws of the stock exchange/SEBI/ other Regulatory Authority, keep the unutilized margin deposits of the client in bank deposits and pay interest on the same at such rate as may be mutually agreed in writing between DP TradeKING Private Limited and the client, out of the interest accrued on the said deposits. The client cannot demand interest on unutilized margin deposits kept with DP TradeKING Private Limited. It will be at the sole discretion of DP TradeKING Private Limited to pay interest on unutilized margin deposits kept by client with DP TradeKING Private Limited and that also subject to expressly agreed upon with the client on case to case basis which is duly notified to client in writing.

List of the penalty, charges will be displayed on Website of DP TradeKING Private Limited and keep on changing from time to time and updated on Website of DP TradeKING Private Limited from time to time. It is the duty of the client to get himself aware of the list of charges and penalty from Website of DP TradeKING Private Limited. All fines/penalties and charges levied upon the Client due to its acts /deeds or transactions will be recovered by DP TradeKING Private Limited directly from the client's account. The Client hereby authorizes DP TradeKING Private Limited to directly debit the delayed payment charges to his account, at the end of month / such other interval as may be decided by DP TradeKING Private Limited. The Client also agrees that any amount overdue from him/her (including the interest on delayed payment) shall be offset against the dues owed by DP TradeKING Private Limited to the Client.

5. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's Dues As per rules/regulation and bye laws of the exchange, it is the duty of the client to pay margin and funds or securities obligation to DP TradeKING Private Limited. In case the client fails to deposit the fund, securities including but not limited to settlement and margin payment due to DP TradeKING Private Limited before pay-in date notified by the Exchange from time to time, DP TradeKING Private Limited reserves right to sell client securities or close

client position as per policy of DP TradeKING Private Limited without notice to client, after taking into account any amount lying to the credit of the Client. DP TradeKING Private Limited may, in its sole discretion, square off any outstanding position(s) of the client due to restrictions in relation to volume of trading/outstanding business or margins stipulated by the Exchange, Clearing Corporation, Clearing House and/or DP TradeKING Private Limited and/or any other extraordinary event warranting such square off, without prior intimation to Client. In the event, when the stock exchange demands for early pay-in of fund and/or securities, DP TradeKING Private Limited may demand the same from client and if client fails to meet early pay-in requirement of funds and/or securities, DP TradeKING Private Limited reserves right to sell clients securities or close client position without notice to client. The Client should be aware that it is the first and foremost duty of the client to pay margin and funds or securities obligation to DP TradeKING Private Limited before pay-in date. The client cannot take shelter that DP TradeKING Private Limited will liquidate his/her/its stock in margins if the client fails to pay margin and funds or securities obligation DP TradeKING Private Limited. So far as possible, DP TradeKING Private Limited may communicate to client before or after selling of securities or closing the open position, but it is the primary duty of the client to know his fund or margin or security obligation and to pay the same before pay-in date. The client has to know dues payable to DP TradeKING Private Limited from time to time arising out of his/her/its transactions in secondary market. The client understands that he/she/it has to get himself/herself/itself updated about the rules / regulation / bye-laws of the exchange and from various communications made by DP TradeKING Private Limited/Stock Exchanges/SEBI/ other Regulatory Authorities. The loss, if any, on account of liquidation, shall be debited to the account of the Client.

6. Shortages in obligations arising out of internal netting of trades

The Client hereby agrees that if he/she/it has short delivered any securities against his/her/its pay-in- obligation which resulted into internal shortage, i.e. buy position of another client of DP TradeKING Private Limited, Self Auction of Internal Short Scrip will be carried out by DP TradeKING Private Limited. Internal Shortage in BSE In case of internal shortage of securities in BSE, DP TradeKING Private Limited will request the exchange to conduct the auction on behalf of DP TradeKING Private Limited. The seller client will be debited at auction rate plus penalty charged by the exchange and the securities payout will be passed on to buyer or closeout as per Exchange rules. If the self auction file is rejected or failed on account of technical or any other reason, then close out price will be the Highest Weighted Average Price for any day recorded in the scrip from the trading day on which the transaction took place up to the day of auction or the closing price on the day of auction i.e. T+2 day + 2%(for NIFTY INDEX scrips) and 5% (for other scrips). The profit, arising on account of closeout price lower than the sell rate, the benefit, if any, will be passed on to buyer. The seller will be debited by the same amount plus 0.50% penalty on value. Internal Shortage in NSE Close out price will be the Highest Weighted Average Price for any day recorded in the scrip from the trading day on which the transaction took place up to the day of auction or the closing price on the day of auction i.e. T+2 day + 2%(for NIFTY INDEX scrips) and 5% (for other scrips). The profit, arising on account of closeout price lower than the sell rate, the benefit, if any, will be passed on to buyer. The seller will be debited by the same amount plus 0.50% penalty on value. The above procedure, charges may vary from time to time and such variation will be displayed on Website of DP TradeKING Private Limited Internal Shortage in MCX Stock Exchange.

7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of



a client DP TradeKING Private Limited may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by DP TradeKING Private Limited/exchange/SEBI and any other reasons which DP TradeKING Private Limited may deem appropriate in the circumstances.

- a. For non-payment or erosion of margins or other amounts, outstanding debts, etc. DP TradeKING Private Limited can adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/ obligations.
- b. Any order which is executed without the required Margin in the Client's account or the broker's exposure is more than 90% and above, no fresh trade will be allowed.
- c. The client hereby authorizes DP TradeKING Private Limited to square off all his/her/its outstanding positions at the discretion of DP TradeKING Private Limited. Further, it would be the duty of the client to monitor his/her/its position with DP TradeKING Private Limited from time to time. In case of any delay or failure by the client in meeting any obligations, margin requirements etc. DP TradeKING Private Limited may at its discretion, close the open position/contract without any further intimation to the client in this regards as per the Risk Management & Surveillance (RMS) policy.
- d. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or even no liquidation may take place at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock has hit circuit filters or for any other reason as prescribed or instructed by SEBI.

- e. DP TradeKING Private Limited is entitled to disable / freeze the account or trading facility / any other service if, in the opinion of DP TradeKING Private Limited, the client has committed a crime, fraud or has acted in contradiction of rights and obligations document including voluntary rights and obligations and documents or / evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if DP TradeKING Private Limited so apprehends. Any profit/loss arising out of these transactions shall be at the risk of and borne by the client.

8. Temporarily suspending or closing a client's account at the client's request Client may instruct the member to close the account or suspend the trading through client's account for the period as specified in the request in writing and duly signed by him. DP TradeKING Private Limited can withhold the payouts of client and suspend client's trading account due to surveillance action of DP TradeKING Private Limited or judicial or/and regulatory order/action requiring client suspension. DP TradeKING Private Limited shall maintain such suspension/disablement till such time the client makes a specific request and complies with required formalities in that regard.

C4



ENABLING INTERNET & WIRELESS TECHNOLOGY BASED TRADING NSE & BSE

Date :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Client Code : _____

To,

DP TradeKING Private Limited3rd Floor, Silver Oak,

Opp. Panchal Hall, Town Hall Road,

Anand - 388 001. Gujarat.

Subject : Request for enabling Internet & wireless technology based trading facility provided by stock brokers to client..

Respected Sir/Ma'am,

This is to inform you that I am having a Trading Account with you for the purpose of Trading in Cash Segment / Future & Option Segment / Currency Derivatives Segment (Strike out whichever is not applicable). I would like to avail the Internet & wireless technology based trading facility provided by stock brokers to client to trade, so please kindly enable the said facility provided for the trading. The details of the same are as below. I declare and agree to all the terms and conditions, clauses mentioned in the "Right and Obligations" of trading A/c opening form. Additionally the clauses mentioned herein shall be applicable as attached

Trading Account Number	
Name of the Client	

Thanking You,

C5



DP TradeKING Private Limited

Regd. Office : 3rd Floor, Silver Oak, Opp. Panchal hall, Town Hall Road, Anand -388 001.(Guj.) INDIA.
Ph.:02692-247502, Email: demat@dptradeking.com, Website : www.dptradeking.com

**DP ID: IN304182**

REQUISITION SLIP FOR INSTRUCTION BOOKLETS

Re: My/Our Client Id.**Date:** / /

1. Kindly issue a new booklets(s) for (please tick the instruction booklet(s) your want)

Type of Instruction Booklet	No. of Leaves	Sr. No. From	Sr. No. To
Delivery Instruction by Client (Annexure-LA)			

2. I/We authorized Mr./Mrs./Mr. _____ the bearer of this requisition slip to collect the above booklet(s) on my/our behalf at my/our risk and responsibility. The bearer's signature attested by me us.

3. DP TadeKING Private Limited to dispatch the booklet(s) through courier at my/our risk and responsibility.

Received the above mentioned Instruction Booklet(s)

_____ (Bearer/Receiver's Signature)

_____ (Date and Time of Receipt)

DP TradeKING Private Limited			
Range From		Range To	
Issue Date		Auth. Sign.	

FH7

SH7

TH7

(Signature of Account Holder/s)

DP TradeKING Private Limited

NSE TM Code : 90100 | BSE Clearing Code : 6650 | DP ID : IN 304182

Regd. Office : Opp. Panchal Hall, Town Hall Road, Anand 388 001.

T: +91 2692 247281 | Email: trading@dptradeking.com

T: +91 2692 247502 | Email : demat@dptradeking.com

Broker / DP Copy

W.E.F.: 11/09/2023

Schedule 'A'

Brokerage Charges : **For Dealer Assisted Plan**Demat Charges : **For Non-BSDA Beneficial Owner**

Guidance and support from our dedicated dealers

UCC Code : _____

Date : ____/____/____

Dealer Assistance Service

A dedicated dealer to plan, discuss and strategize your investments.

Brokerage Name	Standard Account	Power Investor	Ultra Trader
Tick Offered Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Account Opening Charge	ZERO	ZERO	ZERO
Statutory Charge			
Stamp Charges (To be Paid to Stamp Vendor - Govt.)	₹ 320	₹ 320	₹ 320
KRA Charges (To be paid to CVL CKRA)	₹ 60	₹ 60	₹ 60

Brokerage			
Stock Delivery	0.49 %	0.39 %	0.29 %
Stock Intraday	0.049 %	0.039 %	0.029 %
Stock & Index Futures	0.049 %	0.039 %	0.029 %
Stock & Index Options	₹ 59 per lot	₹ 49 per lot	₹ 39 per lot
Currency Futures & Options	₹ 25 per lot	₹ 25 per lot	₹ 25 per lot

Interest Charges			
Interest on outstanding debit balance	18.00% p.a.	18.00% p.a.	18.00% p.a.

Schedule of demat charges	
Dematerialisation	₹ 10/- Per Certificate (Subject to Minimum of Rs. 75/- Per ISIN)
Rematerialisation	+ ₹ 25/- Courier Charge
DEMAT Rejection	₹ 25/- Per Rejection Courier Charge

DP transaction charges - Market & off-market trades	
Buy Market Transfer	NIL
Off Market Transfer	0.03% of the value of securities (subject to minimum of ₹ 25)
Sell Market Transfer (Pay-In)	₹ 20/- + GST

Account Maintenance charges	
Introductory Offer*	<input type="checkbox"/> Lifetime ZERO
Life Long - Resident	<input type="checkbox"/> ₹ 1000 + GST (One Time)
Life Long - Non Resident Indians	<input type="checkbox"/> ₹ 2000 + GST (One Time)
Corporates	<input type="checkbox"/> ₹ 100 + GST (Per Month)

Speed-E Charge	Rs. 750 Per Quarter
Speed-E A/c Freeze Charge	Rs. 125 Per Freeze Instruction
Freezing & Defreezing Charge	Rs. 25/- Per ISIN



Pledge Charges for margin purpose- Trading in Equity, Derivatives, Currency & Commodities.	
Request	₹ 20/- Per Transaction
Release (Un-pledge)	₹ 20/- Per Transaction

Pledge Charges for non-margin purpose (for all other purposes. For example: loan against securities/CUSPA A/c etc.)	
Request	₹ 50/- Per Transaction
Invocation (Excluded CUSPA A/c)	₹ 50/- Per Transaction

Other Charges			
Statements and Reports			
Contract note (Digital)			FREE
Duplicate hard copy contract note on client request			₹ 25 + GST per trading day for which contract notes have been requested
Digital copy (email) contract note for current /previous financial year			FREE
Digital copy (email) contract note for years prior to previous financial year			₹ 199 per year request
Holding Statement Soft copy via email (any time period)			FREE
Holding Statement Hard copy			₹ 25 per statement per request
Digital copy for prior to previous financial year			₹ 199 per statement per year
Other Services			
Cheque Collection / Deposit charges			₹ 25 + GST (for every cheque deposit or withdrawal)
Cheque Bounce charges			₹ 500 + GST
Call & Trade and RMS auto-squareoff			ZERO
Other Charges (Payable Upfront)	Slip Book Issuance	Loss & Misplace of DIS Book	Modification Charge
	₹ 25/- from Second Issuance	₹ 70/-	₹ 20/- Per Request

Terms & Conditions :

1. Brokerage is also charged on expired, exercise and assigned future and option contracts
2. Change in Brokerage Slab/Category will be depends upon various factors like, Past Trading/Payment history, Margin Available, Beneficiary Holding and any other factors time to time. DP TradeKING reserves the rights to revise brokerage (Increase or Decrease) slabs/category.
3. Base Brokerage Charge for script traded below Rs. 50/- will be at the rate of Rs. 0.05 irrespective of any brokerage slab selected for Intraday Trades.
4. GST & other Govt. Taxes, levies, etc. applicable as per the prevailing rates will be charges in addition to these charges.
5. Interest @ 18% p.a. will be charged on the outstanding bill amount if not paid within the due date.
6. Under AMC Charge of Introductory Offer of Lifetime ZERO BO Holder need to carried out minimum 1 DEBIT Transaction from his/her BO Account on every six months. If not done than AMC charges will be applicable for last six months non transactional months as per the monthly Rs. 30/- + GST.
7. DP TradeKING reserves the rights to revise the tariff structure from time to time and same will be communicated to the Investors with a notice prior to 30 days.



FATCA

Foreign Account Tax Compliance Act-Individual

FATCA Declaration Form for Individual Applicants/Investors

Annexure to Common Application Form No. :

for :

☐ First/Sole Applicant ☐ Second Applicant ☐ Third Applicant ☐ Guardian ☐ Power of Attorney

HolderThe below information is required for all applicant(s), guardian(s), Power of Attorney. Please tick above box as Applicable and submit a separate form(s) for each category

FATCA-CRS Details For Individuals & HUF (Mandatory)Non Individual investors should mandetorily fill separate FATCA-CRS Annexure

The below information is required for all applicant(s)/guardian/PoA holder

Category	First Applicant/Guardian	Second Applicant	Third Applicant
1. Full Name of Applicant			
2. Demat & Trading ID			
3. Gender (Please tick whichever is applicable)	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Male <input type="checkbox"/> Female
4. PAN Number			
5. Are you a Tax Resident of country other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
6. Is your Country of Birth/ Citizenship other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
7. Is your Residence Address/ Mailing Address/ Telephone No. other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
8. Is the PoA Holder/person to whom signatory authority is given, covered under any of the Categories 1, 2 or 3 above?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

If you have answered YES to any of above, please provide the below details

Country of Tax Residence			
Tax Identification Number			
Residence Address for Tax purposes (include City, State, Country & Pin Code)			
Address Type	<input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	
City of Birth			
Country of Birth			

In case any of applicant being Resident/Tax Payer in more than one country, provide Tax Identification Number for each country separately






FATCA Foreign Account Tax Compliance Act-Individual

DECLARATION

I/We hereby declare that all the particulars given herein are true, correct and complete to the best of my knowledge & belief. I/We further agree not to hold DP TraeKING Private Limited, its Directors, their Employees, Authorised Persons & Sub-Brokers liable for any consequences/losses/costs/damages in case of any of the above particulars being false, incorrect or incomplete or in any case of my/our not intimating/delay in intimating any changes to the above particulars. I/We hereby authorize DP TraeKING Private Limited to disclose, share, remit in any form, mode or manner, all/any of the information provided by me/us, including all changes, updates to such information as and when provided by me/us, to any Indian or Foreign Governmental or Statutory or Judicial Authorities/Agencies. the Tax/revenue Authorities, other Investigation Agencies and SEBI registered intermediaries without any obligation of advising me/us of the same. I/We hereby agree to provide any additional information/documentation that may be required in connection with this application.

Certification : I/We have understood the information requirements of this Form (read along with the FATCA-CRS Instructions), stated in pages and hereby certify that the information provided by me/us on this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA-CRS Terms & Conditions and hereby accept the same.

I/We agree to indemnify DP TraeKING Private Limited in respect of any false, misleading, inaccurate and incomplete information regarding my/our "U.S. Person" status for U.S. Federal Income Tax purposes, or in respect Of any other information as may be required under applicable Tax Laws.

	Name(s) of holder(s)	Signature(s)
Sole/First Holder (Mr./Ms.) Guardian (in case of minor)		FH6 
Second Holder (Mr./Ms.)		SH6 
Third Holder (Mr./Ms.)		TH6 

Date

D	D	M	M	Y	Y	Y	Y
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Place _____

FATCA Instructions Details under FATCA-CRS/Foreign Tax Laws

Towards compliance with Tax Information Sharing Laws, such as FATCA and CRS, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e. within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

If you are a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010.

It is mandatory to supply a TIN or functional equivalent in the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this To the form.



VOLUNTARY TERMS AND CONDITIONS

Whereas the client intends to open securities trading account with **DP TradeKING Private Limited** (hereinafter referred as DPTKPL) for the purpose of trading in capital market segment, future and option and currency derivative segments of the National Stock Exchange of India Ltd, the Bombay Stock Exchange Ltd, and Mutual Funds Transactions facilities offered by SEBI recognized Stock exchange and whereas for the purpose of more fully and conveniently availing of the service agreed to be provide by DPTKPL and also the additional services that may be made available by DPTKPL from time to time, the client on its own free will and volition, agrees to accept and bound by the following terms and conditions. The client understands that this terms and conditions are voluntary i.e non-mandatory in nature but on their acceptance, they shall constitute the contract between the parties and bind them fully and be enforceable by each party against the other.

1. Authorisation to debit additional charges with regard to trading and Demat account: without prejudice to the other rights and obligations of the parties, client understands and agrees that DPTKPL will levy additional charges including annual maintenance charges and all transaction charges with respect to client's Demat account for any service rendered by DPTKPL and as may be required by the client, and recovered from the client or reasonable cost as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients ledger account with DPTKPL.
2. Payment by cheque: Where payment by the client toward margin money is made through cheque/pay order demand draft issued in favor of trades may be executed at the discretion of DPTKPL only upon realization of the fund of the said cheque/pay-order/demand draft.
3. Lien: All securities, funds and/or properties of the client as may be permitted by the exchange from time to time to be placed with DPTKPL shall be subject to a lien for the payments or fulfillment of all un discharged liabilities and obligations of the client in relation to its transactions or owing to any of the group of companies of DPTKPL. DPTKPL shall be entitled to withhold such securities, funds and/or property of client as security towards any such un-discharged liabilities to itself all such securities, funds or properties at its sole discretion and at any point of time.
4. Authorisation for entered segment fund balance transfer and stock transfers: The client hereby authorises DPTKPL to transfer his debit/credit balances in the ledger account arising during the course of trade in any segment to its ledger Account in any other segment or to transfer a ny stock purchase/lying in its account in any segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of DPTKPL.
5. Disclaimer: The client understands and agrees that neither DPTKPL nor any other party dis-maintaining any market data, message or information through the website of DPTKPL or in any other media shall be liable for:
 - (a) Any inaccuracy, error, omission, or delay in the transmission delivery of any such data, information or message, or
 - (b) Any loss or damage arising from or occasioned by
 - (i) any such inaccuracy, error, delay or omission
 - (ii) Nonperformance
- (iii) Interruption in making available any such data, information or message due to either any act or omission by DPTKPL or any dis-maintaining party or to any "force majeure" (e.g. Flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riots, labour dispute/unrest, accident, action of government, communication or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of DPTKPL any disseminating party.
6. Manner and mode of placing orders/ instructions: the client may communicate orders other instructions to DPTKPL or the sub-broker/ authorised person as the case may be over phone at the designated contact telephone number or in writing, or through designated e-mail, or by personally visiting the designated office. Client may use any one or more of these means as may be permitted by the SEBI/Exchanges from time to time placing orders.
7. Non-execution/delays cancellation of orders: The client hereby agrees that DPTKPL or the exchanges shall not be liable for non-execution or partial execution of any orders caused due to suspension, interruption, or malfunction of the online as well as offline trading service, disruption or congestion of communication networks, hardware or software problem, or failure of the electronic trading system Generally in any manner due to one or the other reasons beyond the control of DPTKPL the exchange
8. Client not to act on representations of agents, employees: Client is aware that DPTKPL has not authorized any agents, representatives, employees or other person to make any representation, or to give any promise, assurance, warranty, undertaking or commitment to as to return on investment of the client whether in writing or otherwise on behalf of DPTKPL.
9. Recording of Conversation: Client is aware and agrees that DPTKPL may tape record the conversation between the client/clients or in person. DPTKPL may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversations or transcript thereof or both as valid evidence of the content of the conversation so recorded.
10. Confidential of client's details: DPTKPL may disclose the client's information to any person/entity as required under the law or to any brokers association or organisation in case of disputes in order to take informed decision. The client hereby agrees and gives his consent for the disclosure by DPTKPL to any person or entity including but not limited to any independent third parties or any entities of DPTKPL group, whether within or outside India, of any information and data relating to client or relating to client's trading account with DPTKPL for the purpose of or in connection with, any present, or proposed initiatives including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services a valid or to be availed by the client in future.



11. Disclosure as to property trades by DPTKPL: DPTKPL may carry out property trade in addition to trades on behalf of its clients.
12. Severance: In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legally and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.
13. No waiver: No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such a party to require of the other party at any time such a performance or discharge of performance or discharge of any other obligation under this document or be consider to be a waiver of any rights, unless the waiver is specifically agreed in writing.
14. Notice: All notice or communication issued by DPTKPL shall be served on the client in any one or more or all of the following ways at the ordinary business address and/or ordinary place or residence and/or last known address of the client.
 - 14.1 (a) By ordinary post or (b) by registered post (c) under certificate of posting or (D) by express delivery post or (e) by SMS on registered mobile or by telephonic call or (f) by affixing it on the door at the last known business or residential address or (g) by oral communication to the party or on the last known telephonic number or the recording machine of such number or (h) by advertising it in atleast one prominent daily newspaper having circulation in the area where the known business or residential address of the client is situated or (i)By publishing in the website of DPTKPL wherein secure log ID and password to client is provided or (j) by a notice posted on the notice board of the exchange if no address be known or (k) by electronic mail or fax or (l) by hand delivery or by courier or any other mode as may be allowed for communication.
 - 14.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance call and other similar matter in the ordinary courses of dealing between DPTKPL and the client may be made orally.
15. Electronic Contract Note (ECN):
 - 15.1 Client agree to receive contract note in electronic/digital from (ECN) authenticated by means of a digital signature in lieu of physical contract notes through e-mail by authorizing DPTKPL in this connection and providing the e-mail address at which the client wishes the ECN to be sent.
 - 15.2 The client shall access and verify the ECN and all information contained therein, in case of discrepancy the client shall inform DPTKPL either in writing or via email within 7 working days of the receipt of the same. DPTKPL shall also publish the contract note on the website www.dptradeking.com or on any other designated location specified by the DPTKPL from time to time. The client will be issued a login and password by which the client can login into his account and view/save/print the ECN. Should the client experience any difficulty in opening the ECN, DPTKPL may, on advice by the client, make the contract note available by any other means (email, Electronic mail attachment or in the form of an available download from the backoffice website or by delivery of the hard copy). Client's failure to advise DPTKPL of such a difficulty shall amount to valid delivery and viewing of the document by the client.
16. Electronic transmission of other document: The client who have opted for ECN agree that DPTKPL may transmit to the client any statement, document, or intimation including, but not limited to , margin statement, statement of funds and securities, margin and maintenance calls & other notice/communications in electronic mode either at the email id designated for delivery of ECN or to the mobile number of the client or both and, in case of non-receipt of bounced mail/non-delivery SMS notification, DPTKPL shall be deemed to have fulfilled his obligation to deliver to the client such documents. Discrepancies if any in documents, should be brought to the notice of DPTKPL within 7 working days from issuance failing which the documents shall be deemed to be true and correct record of transaction stated therein and shall be binding on the client.
17. Electronic payment gateway for net banking services: DPTKPL may provide on its interest trading website, without additional cost to the client, access to the electronic payment gateways provided by various banks for facilitating transfer of funds from clients bank account to the account of client with DPTKPL. client understand that DPTKPL is only providing access to the electronic fund transfer facility provided by the banker of the client through DPTKPL's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous element, fraud, and /or any incidental or consequential claims arising there out. Client undertakes not to make DPTKPL a party to any litigation, claim, disputes, difference or complaint that the client may initiate in respect of, arising out of or in connection with any transaction on the gateway and agrees that DPTKPL's liability shall at all-time be limited to the amount actually received in its account by electronic transfer from client's account with the bank.
18. Internet/wireless technology based trading facility:
 - 18.1 DPTKPL offers internet and mobile trading facility for transaction in securities on the concerned exchanges including online application of IPO/FPO/NFO/Bond issue or any other issues of securities or services to apply/purchase/redeem/buyback or otherwise deal in the unit of Mutual funds (hereinafter referred to as " the internet/wireless trading system") through exchange approved software. The client can route its orders to DPTKPL over the internet/mobile/laptop with data card or any other devices which use internet protocol for purchasing selling and dealing in securities. The client may avail of such trading facility provided by DPTKPL by complying with the formalities prescribed therefor.
 - 18.2 No usage of internet/ wireless trading facility: If the client does not use the internet/wireless trading facility for a continuous period of 3 months or such other period as DPTKPL may notify, the facility may be deactivated without notice and the client shall comply with the prescribed formalities for reactivating the facility. Trades can however be executed at all time by placing orders off-line with the concerned branch of DPTKPL.
 - 18.3 The client understand and agrees that DPTKPL has different product of the internet trading/ wireless trading software's which have been approved by the exchanges and the client



shall be allotted such product as may be chosen by him. The client also understands and agrees that depending on the trading activity of the client, DPTKPL shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the internet/wireless trading facilities.

- 18.4 Orders of client subject to review by DPTKPL: The client agrees that DPTKPL, may on being suspicious on any of the transactions, review any order placed by the client, which may cause delay in the processing of the client's order or may result in rejection of such order.
19. Extra ordinary events and termination/suspension of trading facility: DPTKPL will not be liable for any losses caused directly or indirectly by the government restrictions, exchange rulings, suspension of trading, computer, communication telephone or system failure, war, earthquake, flood accident power failure, equipment or software malfunction, lack of connectivity,

congestion or disruption of communication network or links, software glitches or corruption, low processing speed, strikes or and other conditions beyond DPTKPL's control resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any, DPTKPL may at any time terminate, discontinue or temporary suspend trading facility provided to the client in the event of any such extraordinary event occurring without giving prior notice to the client.

20. Amendments to the terms and conditions: DPTKPL reserves the right to amend terms and conditions herein contained by adding, deleting, modifying or varying the provisions thereof by giving 15 days' notice to the client. In the event where the client has not objected to revise the terms and conditions within 15 days of receiving notification, the same shall be binding on the client.

I/We hereby confirm to have read and understood the terms and conditions as mentioned above and agree to abide by the same.

For, **DP TradeKING Private Limited**

Authorised Signatory

C6

CONSENT LETTER FOR AVAILING BSE StAR MF FACILITY

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Account Opening documents (KYC Form) for the purpose of trading in the Capital Market segment of BSE Limited (BSE).

I/We am/are interested in availing the BSE StAR facility of BSE for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF of the Exchange.

For the purpose of availing the BSE StAR MF facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE StAR MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the BSE Circular dated December 02, 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India (SEBI) and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund schemes with respect to which I/we choose to subscribe/redeem.

I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund schemes.

I/We therefore request you to register me/us as your client for participating in the BSE Star Mf.

I/We hereby confirm having read and understood the terms & conditions and disclosures provided overleaf.
Your faithfully,

FH8

SH8

TH8



LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES & AUTHORIZATION FOR RUNNING ACCOUNT

To,

DP TradeKING Private Limited3rd Floor, Silver Oak,

Opp. Panchal Hall, Town Hall Road,

Anand - 388 001. Gujarat.

Date :

D	D	M	M	Y	Y	Y	Y
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Client Code : _____

SUB: Authorization for Electronic Contract Notes & AUTHORIZATION FOR RUNNING ACCOUNT

I have been/shall be dealing through you as my broker on the Capital Market and/or Futures & Options and/or Currency Derivatives and/or Interest Rate Futures Segments. As my broker i.e. agent I direct and authorize you to carry out trading/dealings on my behalf as per instructions given below.

I understand that, I have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I hereby opt to receive contract notes in electronic form. I understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account /email id on your record for sending the contract notes to me:

EMAIL ADDRESS (Same as mentioned on Page 4):

1. I also agree that non-receipt of bounced mail notification by you shall amount to delivery at my email account /email id.

2. I agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.

3. I agree that the log reports of your dispatching software shall be a proof of dispatch of contract notes to me and such dispatch shall be deemed to mean receipt by me and shall not be disputed by me on account of any non-receipt/delayed receipt for any reason whatsoever.

4. I understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I am an internet client then in that event the request for change in email id/email account can be made by me through a secured access using client specific user id and password. Please treat this authorization as written ratification of my verbal directions/authorizations given and carried out by you earlier. I shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my directions given above.

5. I understand that, you shall send physical copy of the contract note within 24 hours if you received a bounced email.

6. I am a registered client with you, and am dealing in Capital Market/ Derivative Market/ Currency Market segment(s), and have a DP TradeKING Pvt. Ltd. client code as mentioned below.

7. I am aware that payout / dividend received / credited from the exchange(s) against settlement of transaction as per settlement cycle is available within 1 working day of the payout from the Exchange. It is difficult for me to make available the required funds on every pay-in of funds obligation / margin obligation, hence I request you to maintain my account on a running basis and retain the payout received / credit balance in my account for my future obligation / margin obligation or other liabilities unless I instruct otherwise.

8. I hereby further authorize you to debit / credit / transfer the amounts between the various segments either on the same Exchange and / or Exchanges to meet my/our obligation or various dues payable to you / Exchange(s).

9. If payment of funds is required, I shall request you in writing or through the web option for funds withdrawal on the web login. Further it may be noted that if required I may revoke this authorization at any time after giving request in writing.

10. This running account authorization would continue until it is revoked by me. The actual settlement of funds shall be done at least once in the preference period selected below :

☐ QUARTERLY

☐ MONTHLY

11. While settling the account having outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. You may further retain sum of rupees 10,000/-

12. I shall bring any dispute arising from the statement of account or settlement so made to your notice within 30 working days from the date of receipt of funds or statement, as the case may be else it will be final

Yours faithfully,





WRITE UP ON AML MEASURES

Why to Monitor Money Laundering

1. Huge amount of funds are generated from illegal activities. These funds are mostly in the form of cash. Money laundering is the processing of these criminal proceeds to disguise their illegal origin.
2. The groups or individuals (criminals) who generate these cash funds need to be brought into the legitimate financial system.
3. All intermediaries in the financial market are therefore required to monitor the money laundering activities to identify entry of these illegal funds into the legitimate financial system.

Consequences of Money Laundering

4. Finances Terrorism: Money laundering provides terrorists with funds for financing their activities.
5. Undermines rules of law and governance: The use of illegal money increases anti-social activities and leads to undermining of rules of law and governance.
6. Affects macro economy: Money laundering if not checked would lead to unusual changes in money demand, risk to bank soundness, corruption, crime, undermining of democracy and rule of the law.
7. Hinders integrity of banking and financial system: The processing of illegal funds through an institution would result in the institution becoming a part of the criminal network which would have damaging effect on the integrity of the system as a whole.
8. Reduces Revenue and Control: Money laundering reduces government tax revenue and weakens government control over the economy.

Steps in which money is laundered

Money laundering basically involves three independent steps.

9. **Placement:** This refers to movement of cash from its source. This is done by placing funds into circulation through financial institutions, businesses, etc.
10. **Layering:** This stage aims at creating complex layers of financial transactions thereby making it more difficult to trace the source of these illegal funds.
11. **Integration:** This is the movement of previously laundered money into the economy mainly through the banking system and thus such monies appear to be normal business earnings. This is dissimilar to layering, for in the integration process detection and identification of laundered funds is provided through informants.

Global Framework - Financial Action Task Force

12. Financial Action Task Force was established by the G-7 summit in Paris in 1989 in response to mounting concern over money laundering.
13. The Task Force was given the responsibility of examining money laundering techniques and trends, reviewing the action which had already been taken at a national or international level, and setting out the measures that still needed to be taken to combat money laundering.
Works to generate the necessary political will to bring about national legislative and regulatory reforms to combat money laundering and terrorist financing.
14. FATF comprises of 34 member jurisdictions including India and 2 regional organizations. Indian Scenario
15. The Prevention of Money Laundering Act, 2002 (PMLA) forms the core of the legal framework put in place by India to combat money laundering. PMLA and the Rules notified there under came into force with effect from July 1, 2005.
16. Financial Intelligence Unit - India (FIU-IND) was set by the Government of India vide O.M. dated 18th November, 2004 as the central national agency responsible for receiving, processing, analyzing and disseminating information relating to suspect financial transactions.
17. The PMLA and rules notified there under impose obligation on banking companies, financial institutions and intermediaries to verify identity of clients, maintain records and furnish information to FIU-IND. PMLA defines money laundering offence and provides for the freezing, seizure and confiscation of the proceeds of crime. Obligation of the clients
18. The clients need to provide complete details like Address Proof, PAN, Income details etc. in order to help establish the identity and thereby help in tracing source of funds.
19. Periodically update the financial details.
20. The transaction executed need to commensurate with the disclosed income details.

For any queries, please contact at
compliance@dptradeking.com
Reference for websites.

1. <http://fiuindia.gov.in>
2. www.sebi.gov.in
3. www.nseindia.com
4. www.bseindia.com

I/We have read and understood the aforesaid Anti Money Laundering write up.



AUTHORISATION (DEMAT CHARGES)

Dear Sir,




Sub: Authorisation to debit trading account for the demat account charges

Ref: DP ID: IN304182 BO ID

I/We have opened/have a beneficiary account with your NDSL depository along with a trading account for investment and trading purposes. It would be difficult for me/us to keep issuing separate cheques against your depository bills. I/We, therefore, authorize you to debit the charges payable towards operation of the above account. I/We are aware of the charges for operating the said account. Any such sum debited to my trading account shall be binding on me/us.

Thanking you,

Yours truly,

	Name(s) of holder(s)	Signature(s)
Sole/First Holder (Mr./Ms.) Guardian (in case of minor)		FH9 
Second Holder (Mr./Ms.)		SH9 
Third Holder (Mr./Ms.)		TH9 

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Place _____



VOLUNTARY Annexure : A
DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI) in favour of
DP TradeKING Private Limited



I/We _____ (Sole/First Holder) Jointly with _____ (Second Holder) and _____ (Third Holder) residing/registered office at _____ hold Beneficiary Owner Account Number (BO ID) IN304182 _____ with National Securities Depository Limited (NSDL). through DP TradeKING Private Limited a Depository Participant registered with Securities and Exchange Board of India (SEBI) bearing DP ID IN304182, And whereas I/We am/are desirous to buy and sell securities through DP TradeKING Private Limited, a stock broker registered with SEBI and member recognized Stock Exchange/s (National Stock Exchange of India Limited and BSE Limited) bearing SEBI single registration number INZ000097030.

Whereas I/we authorize DP TradeKING Private Limited to operate my / our Beneficial Owner Account in a manner hereinafter appearing and subject to conditions as provided herein. Whereas I / We hereby am/are fully aware and understand that this DDPI is voluntary and I/we have been fully made aware of the explicit authority consented by me/us under this executed document.

I / We do hereby authorize DP TradeKING Private Limited (hereinafter referred to as the "Stock Broker / Stock Broker and Depository Participant") acting through any of its directors and/or its duly authorized officers to perform the following functions on my/our behalf:

Demat Debit and Pledge Instruction

S N	Purpose	Signature of the Client*			
		Sole / First Holder	Second Holder	Third Holder	
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 - DP TradeKING Private Limited.	FH	SH	TH	UCC Code :
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) - DP TradeKING Private Limited for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	FH	SH	TH	
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	FH	SH	TH	
4	Tendering shares in open offers through Stock Exchange platforms	FH	SH	TH	BO ID :

*The same may be eSigned or signed physically

I/We hereby covenant, ratify and confirm that all acts done and documents executed or signed by the stock broker / stock broker and depository participant pursuant to this DDPI has been made done and executed in good faith and shall for all-purpose be valid and binding on me/us and I/ we undertake to indemnify the stock broker / stock broker and depository participant against all actions proceedings claims, costs, expenses and liabilities of every description arising from the exercise or the purported exercise in good faith, of authorities conferred by this DDPI.

The stock broker / stock broker and depository participant may appoint and remove at its discretion any authorized signatories for or under this DDPI in respect of all or any of the matters contained herein upon such terms and conditions as the stock broker / depository participant may think fit.

I/We further agree and confirm that the authorities conferred under this DDPI shall continue until it is revoked (without notice) in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by any person authorised in this regard by the Stock Broker in its office situated at: 3rd Floor, Silver Oak, Opp. Panchal Hall, Town Hall Road, Anand 388001, Gujarat. However, such revocation shall not be applicable for any outstanding settlement obligation of funds/ securities arising out of the trades carried prior to receiving request for revocation of this DDPI.

SCHEDULE	Particulars of Client unpaid securities pledgee account A/c			Particulars of TM/CM CSMP (Client Securities Margin Pledged) A/c, of DPTKPL	
	IN304182	10057277	DP TradeKING CUSPA A/c		
	Particulars of Pool Account Nos. of DPTKPL (NSDL)			IN304182 10043770	DP TradeKING TM/CM CSMP A/c
	NSE		BSE	Particulars of Pool Account Nos. of DPTKPL (CDL)	
	CMBPID : IN546743	CMBPID : IN520044	CM BP ID : IN666503	BSE - (ISSL)	
	IN304182 10057130	IN304182 10000004	IN304182 10000012	1601480000849650	

This document shall be subject to jurisdiction of the courts in Anand.

Dated at Anand on this _____ day of _____.

SIGNED AND DELIVERED by the
within named Beneficial Owner

Accepted By,
For, **DP TradeKING (P) Ltd.**

FH Signature 1st holder*

SH Signature 2nd holder*

TH Signature 3rd holder*

Authorized Signatory

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- Stock Scanners
- Humanised Buy & Sell, Trade Quick and Error Free
- Hassle-free redirecting
- Price Ladder For Single Click Order Placement



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App Store



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Google Play

Request you to get activate your Online Trading Platform for seamless trading experience **For Help Call : +91 97376 47774**

Regd. Office : 3rd Floor, Silver Oak, Opp. Panchal Hall, Town Hall Road, ANAND - 388 001. **Phone :** (0) +91 2692 246500 (F) +91 2692 246066

info@dptradeking.com | www.dptradeking.com

Anand | Nadiad | Umreth | V.V.Nagar | Borsad | Petlad | Vadodara | Anand (Sardar Gunj) | Mumbai | Khambhat