

DECLARATION BY NRI CLIENTS

To,

Date :

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DP TradeKING Private Limited3rd Floor, Silver Oak,

Opp. Panchal Hall, Town Hall Road,

Anand - 388 001. Gujarat.

With reference to the opening of trading Account with you for availing facility for trading in Securities on the stock exchanges pursuant to the KYC, Rights and Obligations Documents and other voluntary documents executed by me with you, I, hereby unconditionally and unequivocally, state, declare, undertake, confirm DP TradeKING Private Limited (hereinafter referred to as "DPTKPL") as under:

1. I am non-resident Indian as defined under Foreign Exchange Management Act (FEMA).
2. I understand that the trading account is opened on the basis of statement / declarations made by me, and that if any of the statement / declarations made herein is found to be incorrect in material particulars, DPTKPL may discontinue my trading account.
3. I confirm and agree that the trading account will be used for bonafide transactions not involving any violation of the provisions of any applicable Regulations.
4. I undertake to intimate to DPTKPL about my return to India for permanent residency immediately on arrival.
5. I confirm that all Investments and disinvestment in India are covered either by general or special permission of Reserve Bank of India.
6. I agree and confirm that I shall abide by all the rules and regulations of the FEMA / Reserve Bank of India governing the trading in Indian secondary securities market.
7. Any notice / correspondence/ contract notes/ statement of accounts / statement of securities sent to me at any of the address given in the Know Your Client (KYC) form in the ordinary course of post/courier/fax or on the email ID mentioned in the said KYC form or intimated separately, as the case may be, for the purpose of receiving electronic contract notes shall be deemed to have been received by me.
8. I hereby confirm having understood that DPTKPL may decline to comply with any instructions authorized by me if in the DPTKPL's opinion; compliance therewith would be illegal or result in a breach of any applicable laws or regulation.
9. I confirm that the bank having my PIS account is given standing instruction to honor all the contract notes relating to purchase trades executed by me through DPTKPL. Copy of the instruction so given to the bank shall be provided to DPTKPL for their record. I confirm that contract note will be provided by me to the bank.
10. I agree and confirm that in the event I desire to withdraw the standing instruction given as aforesaid, I shall serve at least 15 (Fifteen) working days advance written notice on DPTKPL. Such revocation shall be effective only on and from the date of expiry of 15 (Fifteen) working days from the date of service of such notice on DPTKPL provided that such revocation shall not have any effect on the transactions in securities executed by me before the effective date of such notice of revocation and I agree and undertake that I shall continue to be liable and bound by the transactions and obligations undertaken by me with DPTKPL prior to effective date of such revocation and ensure that bank honor all such instructions on or before the effective date of revocation.
11. I hereby agree and confirm to indemnify and save, defend and keep DPTKPL harmless and indemnified, at all times from and against all actions, causes, suits, proceedings, claims and demands whatsoever made on the DPTKPL by any person and against all costs charges, expenses, damages and sums of money (including legal expenses) incurred, suffered or sustained by DPTKPL for any non-compliance of applicable act, rules or regulations by me or due to breach of the terms and conditions of my obligations under Rights and Obligation Document or any other voluntary document executed by me for availing such services from DPTKPL.
12. I confirm that the information set out hereinabove is true, complete and accurate and that DPTKPL shall be informed from time to time of any changes.

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TH 	

*Strike off whichever is not applicable/acceptable to you.



FATCA / CRS DECLARATION FOR INDIVIDUAL ACCOUNTS

Note – The information in this section is being collected because of enhancements to DP Trade KING Private Limited new account on-boarding procedures in order to fully comply with Foreign Account Tax Compliance Act (FATCA) requirements and the Common Reporting Standards (CRS) requirements pursuant to amendments made to Income-tax Act, 1961 read with Income-tax Rules, 1962.

For more information refer:

http://www.incometaxindia.gov.in/dtaa/other%20agreements/india_iga_final-_india_english.pdf

<http://www.oecd.org/ctp/exchange-of-tax-information/automatic-exchange-financial-account-information-common-reporting-standard.pdf>

(We are unable to provide advice about your tax residency. If you have any questions about your tax residency, please contact your tax advisor)

Part A (All fields are mandatory)

Section I		Details of Account Holder	
1	Trading code: Client ID (To be provided only if Demat account is with DP Trade KING):		
2	Name of Account Holder		
3	Address for Tax Residence(include City, State, Country and Pin code)		
4	Address Type(Tick whichever applicable)	(a) Residential (b) Business (c) Registered Office	
5	Do you satisfy any of the criteria mentioned below?	Yes	No
	a. Citizen of any country other than India (dual / multiple) <i>[including Green card]</i>		
	b. Country of birth is any country other than India		
	c. Tax resident of ANY country / ies other than India		
	d. POA or a mandate holder who has an address outside India		
	e. Address or telephone number outside India		
<i>If your answer to any of the above questions is a 'YES', please fill Section II of the form, else go to declaration & acknowledgment</i>			

Section II - Other information (Please fill in BLOCK LETTERS)

Father's name _____ (If PAN not available, then mandatory)

Country of Birth' _____ Place within the country of birth _____

'(If USA, however nationality and/or country of tax residency is not USA, please provide documentary evidence as mentioned in Instruction 1)

Source of Wealth _____ Nationality _____

Please list below the details, confirming ALL countries of tax residency/ permanent residency/ citizenship and ALL Tax Identification Numbers

Country of Tax residency	Tax identification no ^s	Tax identification document (TIN or functional equivalent)



[§]It is mandatory to supply a TIN or functional equivalent (in case TIN not available) if the country in which you are tax resident issues such identifiers. If no TIN /functional equivalent is yet available or has not yet been issued, please provide an explanation below.

	Declaration & Acknowledgement	<p>I _____ being the beneficial owner of the account opened / to be opened with DP Trade KING Private Limited and the income credited therein, declare that the above information and information in the submitted documents to be true, correct and updated, and the submitted documents are genuine and duly executed.</p> <p>I acknowledge that towards compliance with tax information sharing laws, such as FATCA / CRS, the DP Trade KING may be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from the account holder. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if the DP Trade KING does not receive a valid self-certification from me) the DP Trade KING may be obliged to share information on my account with relevant tax authorities. Should there be any change in any information provided by me I ensure that I will advise DP Trade KING promptly, i.e., within 30 days.</p> <p>Towards compliance with such laws, the DP Trade KING 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, the DP Trade KING may also be constrained to withhold and pay out any sums from my account or close or suspend my account(s).</p> <p>I also understand that the account will be reported if any one of the aforesaid FATCA / CRS criteria for any of the account holders i.e. primary or joint (in case of Demat account) are met.</p>
	Customer Signature	
	Date	

Office Use Section:

Name of the Employee	
Employee Code	
Designation of the employee	
Date	
Place of Verification	



Instructions to the Form

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

S. No.	FATCA/ CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
1	U.S. place of birth	1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND 3. Any one of the following documents: - Certified Copy of "Certificate of Loss of Nationality or - Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or - Reason the customer did not obtain U.S. citizenship at birth
2	Residence/ mailing address in a country other than India or Telephone number in a country other than India	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and 2. Documentary evidence (refer list below)
3	Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts)	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and Documentary evidence (refer list below)
4	POA granted to a person with an address in a country outside India	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR 2. Documentary evidence (refer list below)

List of acceptable **documentary evidence** needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body*
2. Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)

** Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.*

