

KNOW YOUR CLIENT

Client Name

Client Code

Introducer Name

DP ID : IN304123

Scheme :

AP/SB/Branch Code :

Date :

- Equity
- Derivative
- Commodity
- Currency
- Depository
- Mutual Fund

BE LINETM
Broking Limited

SEBI REGISTRATION NO. & DATE : INZ000000638 (13-11-2014)

CIN NO. U51900GJ2014PLC080598

NSDL DP : IN-DP-162-2015 (17-11-2015), TRADING MEMBER ID : NSE (90039) BSE (6582)

CLEARING MEMBER : EDELWEISS CUSTODIAL SERVICES LTD. (NSE FNO, NSE CDS)

Compliance Officer Name : Mr. Vanesh Panchal, Ph. : 079-66664040, Email : compliance@beelinebroking.com

For any grievances / dispute please contact Beeline Broking Limited at the above address

Pro - Trading Declaration : We do client - based and also Pro-Trading.

EXCHANGE CONTACT DETAILS :

EXCHANGE	EMAIL ID	PHONE NO.
NSE	ignse@nse.co.in	022-26598190
BSE	is@bseindia.com	022-22728138
NSDL	relations@nsdl.co.in	022-24994200

ACCOUNT OPENING KIT**INDEX**

No.	Name of the Document	Brief Significance of the Document	page No.
MANDATORY & VOLUNTARY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC form – Document captures the basic information about the constituent and an instruction/checklist. B. Document captures the additional information about the constituent relevant to trading/DP account and an instruction/checklist/Nomination/Declaration	1-15
2	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) DP Service Charges / Fee Structure	16-17
MANDATORY & VOLUNTARY DOCUMENTS AS PRESCRIBED BY THE STOCK BROKER			
3	FATCA-Self declaration by Client	FATCA – Self declaration - Mandatory	18
4	Voluntary Document - 1 for Running Account Authorisation	Document showing voluntary clauses for running account maintenance, e-mail ID and mobile no. for receiving SMS etc. which can be revoked at any point of time	19-20
5	Voluntary Document - 2 showing some basic information about Anti-Money laundering measures	Document to provide basic information to clients about AML measures for general guidance of Clients.	21-22
6	Policies and Procedures	Document describing significant policies and procedures of the stock broker <i>(to be added by the stock broker)</i> .	23-26
SUPPLEMENTARY BOOKLET FOR MANDATORY (STANDARD) DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Rights and Obligations	Documents stating “Rights & Obligations” of stock broker/trading member, sub-broker/authorised person and client for trading on the securities market. (In case of internet/wireless technology based trading).	Ann-A
2	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in exchanges (including additional rights & obligations)	Ann-B
3	Guidance Note	Document detailing do’s and don’ts for trading on exchange, for the education of the investors.	Ann-C
4	Rights and Obligations – DP	Rights and Obligations of demat account holder-Mandatory if demat account is opened with Beeline Broking Ltd.	Ann-D

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*	<input type="checkbox"/> New	<input type="checkbox"/> Update	
(To be filled by financial institution)	KYC Number	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div> (Mandatory for KYC update request)		
	Account Type*	<input type="checkbox"/> Normal	<input type="checkbox"/> Simplified (for low risk customers)	<input type="checkbox"/> 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)	<div style="border: 1px solid black; width: 20px; height: 1.2em;"></div>	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>	<div style="background-color: black; color: white; padding: 2px; font-weight: bold;">PHOTO</div> <div style="border: 1px solid black; width: 100px; height: 100px; margin: 5px auto;"></div> <div style="font-size: 0.8em;">Signature / Thumb Impression</div>
Maiden Name (If any*)	<div style="border: 1px solid black; width: 20px; height: 1.2em;"></div>	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>	
Father / Spouse Name*	<div style="border: 1px solid black; width: 20px; height: 1.2em;"></div>	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>	
Mother Name*	<div style="border: 1px solid black; width: 20px; height: 1.2em;"></div>	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>	
Date of Birth*	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>				
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender <input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others <input type="checkbox"/> IN- Indian <input type="checkbox"/> Others (ISO 3166 Country Code <div style="border: 1px solid black; width: 20px; height: 1.2em;"></div>) <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin <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				

☐ **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*	<div style="border: 1px solid black; width: 20px; height: 1.2em;"></div>
Tax Identification Number or equivalent (If issued by jurisdiction)*	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>
Place / City of Birth*	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>
ISO 3166 Country Code of Birth*	<div style="border: 1px solid black; width: 20px; height: 1.2em;"></div>

☐ **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 <div style="border: 1px solid black; width: 100px; height: 1.2em;"></div> <input type="checkbox"/> B- Voter ID Card <div style="border: 1px solid black; width: 100px; height: 1.2em;"></div> <input type="checkbox"/> C- PAN Card <div style="border: 1px solid black; width: 100px; height: 1.2em;"></div> <input type="checkbox"/> D- Driving Licence <div style="border: 1px solid black; width: 100px; height: 1.2em;"></div> <input type="checkbox"/> E- UID (Aadhaar) <div style="border: 1px solid black; width: 100px; height: 1.2em;"></div> <input type="checkbox"/> F- NREGA Job Card <div style="border: 1px solid black; width: 100px; height: 1.2em;"></div> <input type="checkbox"/> Z- Others (any document notified by the central government) <div style="border: 1px solid black; width: 100px; height: 1.2em;"></div> <input type="checkbox"/> S- Simplified Measures Account - Document Type code <div style="border: 1px solid black; width: 20px; height: 1.2em;"></div>	Passport Expiry Date <div style="border: 1px solid black; width: 100px; height: 1.2em;"></div> Driving Licence Expiry Date <div style="border: 1px solid black; width: 100px; height: 1.2em;"></div> Identification Number <div style="border: 1px solid black; width: 100px; height: 1.2em;"></div> Identification Number <div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>
---	---

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 <div style="border: 1px solid black; width: 100px; height: 1.2em;"></div> <input type="checkbox"/> Simplified Measures Account - Document Type code <div style="border: 1px solid black; width: 20px; height: 1.2em;"></div> please specify

Address

Line 1*	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>
Line 2	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>
Line 3	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>
District*	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>

Pin / Post Code*	<div style="border: 1px solid black; width: 100px; height: 1.2em;"></div>	State / U.T Code*	<div style="border: 1px solid black; width: 20px; height: 1.2em;"></div>	ISO 3166 Country Code*	<div style="border: 1px solid black; width: 20px; height: 1.2em;"></div>
------------------	---	-------------------	--	------------------------	--

☐ **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)

☐ Addition of Related Person

☐ 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				
<input type="checkbox"/> B- Voter ID Card									
<input type="checkbox"/> C- PAN Card									
<input type="checkbox"/> D- Driving Licence					Driving Licence Expiry Date				
<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 :

Place :

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY
Documents Received
☐ Certified Copies

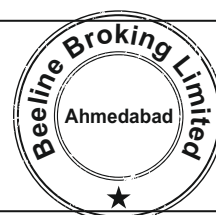
KYC VERIFICATION CARRIED OUT BY

Date																
Emp. Name																
Emp. Code																
Emp. Designation																
Emp. Branch																

[Employee Signature]

INSTITUTION DETAILS

Name	B E E L I N E B R O K I N G L T D															
Code	I N O 5 5 2															



[Institution Stamp]

**KNOW YOUR CLIENT (KYC) APPLICATION FORM
(For Individuals Only)****BEELINE™** Broking Ltd.**3**Please fill in **ENGLISH** and in **BLOCK LETTERS** with **Black Ink**

Application No. :

A. NAME OF APPLICANT (PLEASE SEE GUIDELINES OVERLEAF)Title ☐ Mr. ☐ Ms. ☐ Other _____ Aadhaar Number, if any: _____1. Name _____

2. Father's/Spouse Name _____

3. Date of Birth / / 4. Gender ☐ Male ☐ Female 5. Marital status ☐ Single ☐ Married6. Nationality Indian ☐ Other ☐ _____7. Status Please tick (✓) ☐ Resident Individual ☐ Non Resident (Passport Copy Mandatory for NRIs & Foreign Nationals)8. PAN Please enclose a duly attested copy of your PAN Card

9. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

☐ Aadhaar Card ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others _____ (Please see guideline 'D' overleaf)**PHOTOGRAPH**Please affix
the recent passport
size photograph and
sign across it**F/H1****B. ADDRESS DETAILS (PLEASE SEE GUIDELINES OVERLEAF)****1. Address for Residence/Correspondence**

City / Town / Village			Pin Code
State		Country	

2. Contact Details

Tel. (Off.)	Tel. (Res.)
Mobile	Fax
E-Mail Id.	

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify) _____*Not more than 3 Months old. Validity/Expiry date of proof of address submitted / / **4. Permanent Address of Resident Individual OR Overseas Address (Mandatory) for Non-Resident Individual**

City / Town / Village			Pin Code
State		Country	

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify) _____*Not more than 3 Months old. Validity/Expiry date of proof of address submitted / / **6. Any other information:****DECLARATION**

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

Place: Date: **SIGNATURE OF APPLICANT****F/H2****FOR OFFICE USE ONLY**In Person Verification (IPV) Details : IPV Done ☐ Phy ☐ W.C. (Only for NRI)

Name of the person who has done the IPV: _____

Designation : _____ Employee ID : _____

Name of the Organization : _____

Date of IPV : / / Signature of the person who has done the IPV _____☐ Originals Verified and Self Attested Document Copies received Date : _____

Signature of the Authorised Signatory _____



KNOW YOUR CLIENT (KYC) APPLICATION FORM
(For Non-Individuals Only)

BEELINE™ Broking Ltd.

4

Please fill in **ENGLISH** and in **BLOCK LETTERS** with **Black Ink**

Application No. :

A. IDENTITY DETAILS (PLEASE SEE GUIDELINES OVERLEAF)
1. **Name of Applicant** (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).**PHOTOGRAPH**Please affix
the recent passport
size photograph and
sign across it**F/H1**2. **Date of Incorporation** / / **Place of Incorporation** 3. **Registration No. (e.g. CIN)** 4. **Date of commencement of business** / /
5. **Status** Please tick (✓) ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust / Charities / NGOs ☐ HUF ☐ FI ☐ FII
☐ FPI Category I ☐ FPI Category II ☐ FPI Category III ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organisation
☐ Defence Establishment ☐ Body of Individuals ☐ Society ☐ LLP ☐ Others (Please specify) _____
6. **Permanent Account Number (PAN) (MANDATORY)** Please enclose a duly attested copy of your PAN Card
B. ADDRESS DETAILS (PLEASE SEE GUIDELINES OVERLEAF)
1. **Address for Correspondence**

City / Town / Village		Postal Code
State		Country

2. **Contact Details**

Tel. (Off.)	Tel. (Res.)
Mobile	Fax
E-Mail Id.	

3. **Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf). (Please specify) _____
*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** / / 4. **Registered Address (If different from above)**

City / Town / Village		Postal Code
State		Country

5. **Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf). (Please specify) _____
*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** / /
C. OTHER DETAILS (PLEASE SEE GUIDELINES OVERLEAF)
1. **Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors**
(Please use the Annexure to fill in the details)2. **Any other information:** _____
DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

Place: Date:
NAME & SIGNATURE(S)
OF AUTHORISED
PERSON(S)
F/H2
FOR OFFICE USE ONLY
In Person Verification (IPV) Details : IPV Done ☐ **Phy** ☐ **W.C. (Only for NRI)**

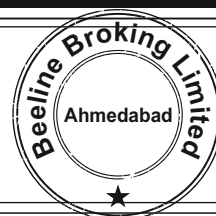
Name of the person who has done the IPV: _____

Designation : _____ Employee ID : _____

Name of the Organization : _____

Date of IPV : / / Signature of the person who has done the IPV _____☐ Originals Verified and Self Attested Document Copies received Date : _____

Signature of the Authorised Signatory _____



A. IMPORTANT POINTS:

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

- 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).
- Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
- 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.)

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

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

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- 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.
- 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.
- 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.
- 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.)

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- 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:

- 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).
- In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

F. In case of Non-Individuals, additional documents to be obtained from Non-individuals, over & above the POI & POA, as mentioned below:

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

ANNEXURE - 3
DEMAT & TRADING ACCOUNT RELATED DETAILS

DP ID: IN304123
CLIENT ID :
DATE:

PLEASE FILL ALL THE DETAILS IN CAPITAL LETTERS

I/we request you to open a Demat / Trading Account in my/our name as per the following additional details.

A) DETAILS OF ACCOUNT HOLDER(S)

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Occupation (Please tick any one and give brief details)	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector
	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector
	<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service
	<input type="checkbox"/> Business	<input type="checkbox"/> Student	<input type="checkbox"/> Business
	<input type="checkbox"/> Professional	<input type="checkbox"/> Others (Please Specify)	<input type="checkbox"/> Professional
Brief details			

B) For HUF, 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 HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below :

a) Name : _____ b) PAN :

C) TYPE OF ACCOUNT

☐ Ordinary Resident ☐ Foreign National ☐ Mutual Fund ☐ FI ☐ HUF
☐ Qualified Foreign Investor ☐ Margin ☐ Trust ☐ FII
☐ NRI – Repatriable ☐ Body Corporate ☐ Bank ☐ CM
☐ NRI - Non Repatriable ☐ Promoter ☐ Other (Please Specify)..... ..

D) INCOME / OCCUPATION / OTHER DETAILS

1. Gross annual income details (Please Specify) Income range per annum: ☐ Below Rs. 1 Lakh ☐ Rs. 1-5 Lakhs
☐ Rs. 5- 10 Lakhs ☐ Rs. 10-25 Lakhs ☐ More than Rs. 25 Lakhs.

2. Net-Worth (Net worth should not be older than 1 year) Amount as on date.....

3. Any Other Information. _____

E) IN CASE OF NRIS / FOREIGN NATIONALS /FLL / OTHERS (AS MAY BE APPLICABLE)

RBI Approval Reference Number :

RBI Approval Date :

SEBI Registration Number (for FIIs):

F/H3
S/H
T/H

F) BANK ACCOUNT (S) DETAILS

Bank Account Type	<input type="checkbox"/> Saving Account	<input type="checkbox"/> Current Account	<input type="checkbox"/> Others (Please specify) :
Bank A/c. No.:			
Bank Name :			
Branch Address :			
	City / Town :	Pincode :	
	State :	Country :	
MICR Code			
IFSC			

- G) Please tick, if applicable, for any of your authorised signatories/promoters/partners/karta/trustees/whole time director** ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

H) STANDING INSTRUCTIONS

1. I/We authorise you to receive credits automatically into my / our account. <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 mobile number is provided in the KYC 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 [Read Note 4 and ensure that email ID is provided in KYC Application Form].	

I) GUARDIAN DETAILS (WHERE SOLE HOLDER IS A MINOR)

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian Name:

PAN

Relationship of Guardian with minor:

J) NOMINEE DETAILS**A) Nomination Option**

<input type="checkbox"/> I/We wish to make a nomination.	<input type="checkbox"/> I/We do not wish to make a nomination.
--	---

B) Nomination Details

I/We wish to make a nomination and do hereby nominate the following person in whom all rights and / or amount payable in respect of securities held in the depository by me / us in the said beneficiary owner account shall vest in the event of my / our death.		
1	Name of the Nominee (Mr./Ms.)	
2	Relationship with the Applicant (if any)	

3	Address of Nominee.						
		City/town/village		Pin Code			
		State		Country			
4	Contact Details of Nominee	Tel (Off)		Tel(Res.)		Fax No.	
		Mobile No.		E-mail ID			

5 Nominee Identification details (please tick any one from (a) to (f) and provide details of the same)								
a	<input type="checkbox"/>	(i)	Please affix nominee recent passport size photograph	(ii)	Signature of Nominee :			
				b	PAN of Nominee :			
				c	Aadhaar of Nominee			
d	<input type="checkbox"/>	Saving bank account number of nominee, if maintained with same participant.						
e	<input type="checkbox"/>	Copy of any proof of identified document (accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure JB)						
f	<input type="checkbox"/>	Demat account details of nominee		DP ID				
				Client ID				
Sr. Nos. 6-11 should be filled only if nominee is a minor								
6	<input type="checkbox"/>	Date of Birth (in case of minor nominee)						
7	<input type="checkbox"/>	Name of Guardian (Mr./Ms.) (in case of minor nominee)						
8	<input type="checkbox"/>	Address of Guardian.						
			City/town/village		Pin Code			
			State		Country			
9	<input type="checkbox"/>	Contact Details of Guardian.	Tel (Off)		Tel(Res.)		Fax No.	
			Mobile No.		E-mail ID			
10	<input type="checkbox"/>	Relationship of Guardian with nominee						

11 Guardian Identification details (please tick any one from (a) to (f) and provide details of the same)								
a	<input type="checkbox"/>	(i)	Please affix guardian recent passport size photograph	(ii)	Signature of guardian :			
				b	PAN of guardian			
				c	Aadhaar of guardian			
d	<input type="checkbox"/>	Saving bank account number of guardian, if maintained with same participant						
e	<input type="checkbox"/>	Copy of any proof of identified document (accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure JB)						
f	<input type="checkbox"/>	Demat account details of guardian	DP ID					
			Client ID					

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 Document "Right and obligations" of the BO and DP.

NAME AND SIGNATURE OF HOLDER(S)		
Account holder(s)	Name	Signature(s) of holder
Sole/ First Holder/ Guardian (in case sole holder is minor)		F/H 4
Second Holder		S/H
Third Holder		T/H

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 Magistrate or a Notary Public or Special Executive Magistrate.
- Instructions related to nomination are as below :
 - The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust body, corporate, partnership firm, karta Hindu Undivided Family, holder of power of attorney can not nominate. If the account is held jointly all joint holders will sign the nomination form.
 - A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
 - The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
 - Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
 - Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.
 - The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust body, corporate, partnership firm, karta Hindu Undivided Family, holder of power of attorney can not cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
 - On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.
- 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.
- Strike off whichever is not applicable.

K) CLEARING MEMBER DETAILS (TO BE FILLED UP BY CLEARING MEMBERS)

1. Name of Stock Exchange :
2. Name of Clearing Corporation / Clearing House :
3. Clearing Member ID :
4. SEBI Registration Number :
5. Trade Name :
6. CM – BP – ID (to be filled up by Participant) :

L) MODE OF OPERATION FOR SOLE / FIRST HOLDER (IN CASE OF JOINT HOLDINGS, ALL THE HOLDERS MUST SIGN)

<input type="checkbox"/> Any one singly	<input type="checkbox"/> As per resolution
<input type="checkbox"/> Jointly by	<input type="checkbox"/> Other (Please specify)

F/H5 S/H T/H **M) AUTHORIZATION TO DEBIT CHARGES OF DEMAT ACCOUNT (VOLUNTARY DOCUMENT)**

To,
Beeline Broking Ltd.

B-307, Ganesh Plaza, Near Navrangpura Bus Stop Navrangpura, Ahmedabad-380 009. Phone : 079-66664040.
Website : www.beelinebroking.com

I/We hereby authorize you to debit all charges in respect of the Demat Account _____ payable by me/us to my trading account no. _____. I/We hereby further authorize you to charge interest at the applicable rate in case of delay in payment. I/We here undertake to remit the amount of debit plus the interest within 7 days of being notified about the same. I/We here also authorize you to exercise lien over my/our securities lying in Demat Account maintained by me/us till the dues are remitted in full by me/us. I/We specifically agree and confirm that any matter or issue arising here under shall be governed by and constructed exclusively in accordance with the Indian laws and shall be subject to the jurisdiction of the courts of Ahmedabad only. I/We hereby declare that the particulars given above are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information. I shall not hold you responsible. I/We hereby agree to discharge the responsibilities expected from me as a beneficiary account owner.

Thanking you,
Yours faithfully,

F/H 6 S/H T/H

N) DEPOSITORY ACCOUNT(S) DETAILS

Sr. No.	Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID
1.	BEELINE BROKING LTD.	NSDL		IN304123	
2.					

O) TRADING PREFERENCES

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

Exchanges & Segments**Signature**

NSE	Cash	F/H 7
	F&O	F/H 8
	Currency Derivative	F/H 9
BSE	Cash	F/H 10
	F&O	F/H 11

P) PAST ACTIONS [IF YES, PROVIDE FULL DETAILS WITH DOCUMENTARY EVIDENCE]

* 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 : _____

Q) DEALINGS THROUGH SUB-BROKERS/AUTHORISED PERSON (AP) OTHER STOCK BROKERS/INTRODUCER DETAILS

Status of Introducer <input type="checkbox"/> SB <input type="checkbox"/> Remiser <input type="checkbox"/> AP <input type="checkbox"/> Existing Client <input type="checkbox"/> Employee <input type="checkbox"/> Others (Specify) :		
i) Sub-broker / AP Name / Introducer Name :		
SB/Remiser / AP / Employee Code / Client Code :		SEBI Registration / Exchange No. :
Registered office Address :		
Mobile/Phone :	Fax :	Website :
ii) Whether dealing with any other broker / SB / AP (if registered with multiple members, provide details) <input type="checkbox"/> Yes <input type="checkbox"/> No		
Name of Stock Broker (if yes)	Name of SB / AP	
Name of Exchange (if yes)	Client Code (as given by the other broker)	
Details of disputes / dues pending from / to such stock broker / sub-broker :		

I/We hereby confirm that I/We have verified the identity & bonafides of client. I/We shall also ensure that all the dealing with the clients, shall be as per the prevailing Rules/Regulations/Bye-laws/Circulars of the Exchange and SEBI. Further I/we undertake to abide by the operational policies and procedures of Beeline Broking Limited and also as per agreement entered with Beeline Broking Ltd.

Signature of the SB / AP / Introducer
(Rubber Stamp required if non-individual introduces client)

- * Whether you wish to receive ☐ Physical Contract Note or ☐ Electronic Contract Note (ECN)
(Please specify):
- * Specify your Email id, if applicable:
- * Whether you wish to avail of the facility of internet trading/wireless technology ☐ Yes ☐ No
(Yes Please specify):
- * Number of years of Investment/Trading Experience:
- * In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firms/others
.....
- * SMS and email alerts to investors by stock exchanges. (Please tick whichever is applicable. If not ticked, assumed 'Not Required')
- | | | |
|------------------------------|--------------------------------|---------------------------------------|
| <input type="checkbox"/> SMS | <input type="checkbox"/> Email | <input type="checkbox"/> Not Required |
|------------------------------|--------------------------------|---------------------------------------|
- * Any other information

S) INSTRUCTIONS

- Account statement requirement ☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
 - I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID provided in the KYC Application Form ☐ Yes ☐ No
 - I/We would like to receive the Annual Report ☐ Physical ☐ Electronic
(Tick the application box. If not marked the default option would be in physical)
 - I/We would like to receive Mandatory (Standard Set) documents prescribed by SEBI & Exchanges i.e.
 - Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)
 - Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depositories.
 - Uniform Risk Disclosure Documents (for all segments/exchanges); and
 - Guidance Note detailing Do's and Don'ts for trading on stock exchanges, through
☐ Physical Form ☐ Electronic Form (through Email as provided in KYC Application Form)
 - [Mobile & Email ID Declaration Please tick (^) wherever applicable]
Trading Code
- Mobile No.....E-mail ID :.....
- I/We hereby declare that the aforesaid mobile number or E-mail ID belongs to me: ☐
- I/We hereby declare that the aforesaid mobile number or E-mail ID belongs to my family member
_____ (relationship with client) and also I/We give my consent to make available my/our trade information to my family member. (spouse, dependent children and dependent parents): ☐
- If Email id & mobile no. not provided, BBL will add notprovided@notprovided.com as email ID & 66666 66666 as Mobile No.

DECLARATION FOR TRADING ACCOUNT

- 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.
- I/We confirm having read/been explained and understood the contents of the document in policy and procedures of the stock broker and the tariff sheet.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website, if any i.e. www.beelinebroking.com.

To,
Beeline Broking Ltd.

Date : _____

B-307, Ganesh Plaza, Near Navrangpura Bus Stop Navrangpura, Ahmedabad 380009. Phone : 079-66664040.
Website : www.beelinebroking.com

This is with reference to my/our application for opening of demat account and/or trading account in Equity Segment / Derivatives Segment /Currency Derivatives Segment. In this regard this is to confirm that, I/We have received and understood the following copies of document.

1. Client Registration Documents (KYC) for trading and/demat account including index page Giving list of documents with brief description and segregation as Mandatory and Non-Mandatory.
2. Rights & Obligations of for trading and demat accounts.
3. Guidance Note and Do's and Don't's.
4. Tariff Sheet giving details of brokerage and various charges payable for trading and/or demat accounts.
5. Contact details/Email-ID of Senior Officials of Member and Exchange IG Officials.
6. Policy and Procedures.
7. Copy of Power of Attorney. (if executed)
8. Additional Rights and Obligations.
9. Authority to retain funds and securities as running accounts (if executed).
10. DIS Booklet for demat account.
11. Client master of demat account.
12. And other copies of documents executed by me/us at the time of account opening.

NAME(S) OF HOLDER(S)	SIGNATURE(S)
Sole/First Holder Guardian (in case of minor) (Mr./Ms.)	 F/H 13
Second Holder (Mr./Ms.)	 S/H
Third Holder (Mr./Ms.)	 T/H

NRI DECLARATION (ONLY FOR NRI CLIENTS)-PART OF KYC REQUIREMENT

I, _____ being a Non-Resident Indian hereby declare that I shall abide by all laws such as FEMA, RBI Act, SEBI Act and such other regulations governing investment by Non-Resident Indians.

Signature of Applicant

F/H 14

In case of any correction(s) in the form, sign next to the correction(s) done & sign has to match with the original signature

UCC Code allotted to the Client: _____ CKYC No. : _____

Employee/AP/Remiser Details	Documents verified with originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document(s), ROD 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 changes in the 'Rights and Obligations' and ROD would be made available on my/our website, if any, for the information of the clients.

WE ACCEPT
For, Beeline Broking Limited.



Signature of the Authorised Signatory
Date.....

Seal/Stamp of the stock broker

INSTRUCTIONS/CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list: segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents

- * In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
- 2. Copy of cancelled cheque leaf/passbook/bank statement specifying name of the constituent, MICR Code or / a n d IFSC Code of the bank should be submitted.
- 3. Demat master or recent holding statement issued by DP bearing name of the client.
- 4. For individuals:**
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office overseas can do in person verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by thr stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy/Consulate General in the country where the client resides may be permitted.
- 5. For non-individuals:**
 - a. From need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securitisation behalf of company/firm/others anf their specimen signatures.

TARIFF SHEET

Date: _____

SR. NO.	REMARKS	INVESTOR SCHEMES LIFETIME AMC <input type="checkbox"/>	BSDA – 1 (Holding value up to Rs. 50000/-) <input type="checkbox"/>	BSDA – 2 (Holding value up to Rs. 200000/-) <input type="checkbox"/>	BSDA – 3 (Holding value above Rs. 200000/-) <input type="checkbox"/>
1	Annual Maintenance with Stamp charges	Rs. 876	0	Rs. 100	Rs. 555
2	Deliveries Debit transaction	Rs. 15	Rs. 50	Rs. 50	Rs. 50
	(a) Within Beeline	Rs. 25	Rs. 75	Rs. 75	Rs. 75
	(b) Outside Beeline	Rs. 35	Rs. 100	Rs. 100	Rs. 100
3	Charges For Pledge Creation / Pledge Closure	Rs. 35	Rs. 100	Rs. 100	Rs. 100
4	Dematerialisation	Rs.10 Per Certificate + Rs.40 Postage charge	Rs.25 Per Certificate + Rs.75 Postage charge	Rs.25 Per Certificate + Rs.75 Postage charge	Rs.25 Per Certificate + Rs.75 Postage charge
5	Rematerialisation	Rs. 40	Rs. 100	Rs. 100	Rs. 100
6	Demat Rejection	Rs. 40	Rs. 100	Rs. 100	Rs. 100
7	Additional DIS Requisition	Rs. 15	Rs. 50	Rs. 50	Rs. 50
8	Additional Request For Account Statement /Holding With Valuation	Rs. 7	Rs. 15	Rs. 15	Rs. 15
9	Account Modification	Rs. 7	Rs. 15	Rs. 15	Rs. 15
10	Freeze-Unfreeze	Rs. 30	Rs. 50	Rs. 50	Rs. 50

Notes :

- For availing speed-e facility of NSDL the charges has lieved by NSDL would be collected from client at actual.
- In case of every corporate a/c NSDL AMC of Rs. 500 shall be charged extra.
- NSDL levies remat charges as higher of the following
A Fee of Rs.10 for every 100 securities
- Service tax education cess and others statutory levies if any would be charged extra where ever applicable as per the previous rates.
- Any request for change in client master will be charged at Rs.7 per request.
- In case of cancellation, withdrawal, rejection, failure of instruction Rs.30 per entry will be charged additionally.
- We reserve the rights to change/add charges with 30 days prior notice either by way of ordinary post or by an email or by sms or by notification on the back office interface.
- All payments should be in favour of "Beeline Broking Limited".

☐

We do not wish to opt BSDA Scheme

☐

We wish to opt BSDA Scheme

Note :

- BSDA-1 and BSDA-2 Scheme Clients will get Holding Statement Annually and Transaction Statement Quarterly (if Transaction made or else will not applicable).
- All charges will be taken in advance for the year.
- Charges are Subject to revision at the Company's Sole Discretion, BBL shall intimate by electronically or physically.
- You can check our charge structure or download forms for change in client details are on our website.
i.e. www.beelinebroking.com

Declaration: 1 Hereby select Scheme to open / charge in my demat account. I Further declare and abide myself from the above charges schedule and respective terms and conditions relating to the account.

F/H 15
S/H
T/H

SCHEDULE OF CHARGES FOR TRADING ACCOUNT - NSE/BSE

BROKERAGE PLAN	SEGMENT							
	EQUITY				F & Q		CURRENCY	
		INTRADAY	DELIVERY		FUTURES	OPTION	FUTURES	OPTION
Percentage (Traditional)	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
Minimum	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
Per-executed order	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>
Per lot	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>

Note :

- Please note the brokerage levied to your trading account shall be the higher of brokerage value as per the Existing rates or 25/- per settlement / segment, subject to the maximum rates prescribed by the regulator(s) From time to time.
- In case of intra day transaction in equity segment / stock futures / index futures / currency futures / index options / stock options / currency options first leg rates as above shall be charged on the buy value or sell value depending upon whichever is higher and second leg rates shall be charged vice versa.
- In case of option transaction (f&o) higher of percentage on premium value or minimum per lot as indicated above would be levied subject to maximum of 100/-per lot.
- If option rates (f&o) not specified then default rates i.e. Higher of 0.50% on premium or 50/- per lot for nifty And higher of 0.50% on premium or 100/- per lot for other options would be levied.
- Other charges :
 - Securities transaction tax, sebi turnover fees, transaction charges shall be levied as per the prevailing rates*.
 - Statutory levies including but not limited to service tax, stamp duty, education cess shall be levied as per the prevailing rates.
 - Beeline Broking Limited reserves the right to levy additional charges including but not limited to the following:

Particular	Amount
Duplicate contract notes (CN) issued	10/- per CN**
Duplicate summary issued	25/- for 1 month period**
	50/- for 2 months period**
	100/- for 3 months and above**
Bounced cheque / Stop payment of cheque	175/- per instance/instrument**
Charges for applying for certain corporate benefits on behalf of clients for shares lying in Beeline (e.g. Right issued, buy back etc.)	11/- per ISIN
Beeline Beneficiary to Beeline Collateral A/c.	15/- per ISIN**
Beeline Collateral to Beeline Ben A/c for Pay-in	15/- per ISIN**
Beeline Collateral A/c to Clients Ben A/c (towards Pay-out)	36/- per ISIN**
Beeline Beneficiary to Exchange Pay-in A/c.	11/- per ISIN**

* For prevailing rates please refer Back office interface.

** Beeline Broking Ltd. reserves the right to revise the tariff structure from time to time at its sole discretion, under intimation to clients either by way of ordinary post or by an email or by SMS or by notification on the back office interface.

D.KRA charges as maybe applicable.

FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

	First / Sole Holder	Second Holder (if any)	Third Holder (if any)
Client Code :			
Demat Account No.			
1. Indicate () your Tax Residency / Citizenship / Nationality	<input type="checkbox"/> India <input type="checkbox"/> USA <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> USA <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> USA <input type="checkbox"/> Others
If ticked on Others and/or USA, Please provide all details under point no. 2,3,4,5 below :			
2. Specify City and Country of Birth			
3. Specify Country(ies) of Tax Residency / Citizenship / Nationality / Green Card holder, other than India			
4. Tax Identification Number (for USA) or its functional equivalent (other than USA)			
5. Source of Wealth	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others

DECLARATION

I/We hereby declare, agree and confirm the following :

a) The details furnished above are true to the best of my knowledge and belief and shall undertake to inform Beeline Broking Ltd. within 30 days, in case of any change in the above given status on a future date.

b) If I/we am/are US Person or tax resident of a reportable foreign jurisdiction (other than US), my account details, would be reported by Beeline Broking Ltd. to the relevant tax authority, or information may be shared with concerned Asset Management Companies (AMCs) or such other product providers, to whom FATCA / CRS norms are applicable or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India.

c) If my / our country of birth is US, however, I/we declare that I/we are not US Person, I/We shall provide a certificate of relinquishment of citizenship (Loss of nationality) OR a self certification stating reasons for not having such a certificate despite relinquishing US citizenship OR not obtaining US citizenship at birth.

F/H 17**S/H****T/H**

The US government introduced the Foreign Account Tax Compliance Act, 2010 (FATCA) for obtaining information on accounts held by US taxpayers in other countries. Further, Organization for Economic Co-operation & Development (OECD) and G20 countries agreed for automatic exchange on information through Common Reporting Standards (CRS). The Government of India has signed an Inter-Government Agreement (IGA) with US and has also joined the Multilateral Competent Authority agreement (MCAA), for automatic sharing of information with member countries of OECD and G20. By virtue of India signing an IGA with US and joining MCAA, Indian financial institutions will have to provide the required financial information to Indian tax authorities which in turn would forward reportable information to US IRS and member countries of OECD and G20 countries.

In order to implement FATCA and CRS norms in India, Beeline Broking Ltd. is required to implement procedures to identify US account holders or other jurisdictions reportable accounts, perform due diligence and obtain documentary evidence wherever required and report details of such accounts to relevant tax authority.

US Person means : In case of individuals, US Person means a citizen of resident of the United States. Person who would qualified as US person could be born in United States, born outside the United States of a US parent, Naturalized citizens, Green Card Holders, tax residents.

Who is Reportable Person (Non US) under Common Reportable Standards (CRS)?

Under Common Reportable Standards (CRS), reportable person means Tax residents of a reportable foreign jurisdiction other than US (Please note the above information is provided only for quick reference to customers. You are requested to consult a legal/tax advisor if in doubt.)

Documents to be collected I Customer birth is US but declare that he/she are not a US person

1. Certificate of relinquishment of citizenship (Loss of nationality certificate) OR
2. Self certification for stating reasons for not having such a certificate despite relinquishment US citizenship; OR
3. Self certification for stating reasons for not obtaining US citizenship at birth.

VOLUNTARY DOCUMENT - 1**[FOR RUNNING ACCOUNT AUTHORISATION]
TO BEELINE BROKING LTD. (Member of NSE, BSE)**

I UNDERSTAND THAT THIS IS PURELY A VOLUNTARY DOCUMENT AND SHALL FORM PART OF THE NON-MANDATORY DOCUMENTS OF MY KYC FORM. IN CASE IF THE SAME SHALL DILUTE YOUR RESPONSIBILITY AS A STOCK BROKER OR INCONFLICT WITH ANY OF THE CLAUSES IN THE MANDATORY DOCUMENTS, RULES, BYE-LAWS, REGULATIONS, NOTICES, GUIDELINES AND CIRCULARS ISSUED BY SEBI AND THE STOCK EXCHANGES FROM TIME TO TIME, THE SAME SHALL STAND NULL AND VOID.

- (1) ABOUT VOLUNTARY DOCUMENT :** I/We do hereby declare and confirm that I/We have thoroughly read and understood the voluntary document attached which forms part of Non-mandatory documents of this KYC form and do accord my/our consent for the same.
- (2) ABOUT RUNNING ACCOUNT AUTHORIZATION :** I/We do hereby specifically declare and confirm that my/our account is to be maintained in Running Account mode and as such request for the same as under :

I/We also specifically understand and agree that:

- A. This is only a voluntary authorization that may be revoked by me/us at any time.
- B. This authorization shall remain in force until and unless the
- C. This authorization is signed by me/us only and not by my/our authorized person/POA holder.
- D. For my/our outstanding obligation/balance on the settlement date, you may retain the same is revoked by me/us. e requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin or other obligations in compliance with applicable circulars, guideline, rules, regulations, bye laws etc. of the Exchange and/or SEBI and as may be calculated in the manner specified by the exchanges.
- E. I/We request you to settle my fund and securities account once in a ☐ calendar quarter ☐ once in a calendar months. (Please strike off which is not applicable)
- F. Any dispute from my/our end, arising from statement of account or settlement, shall be brought to your notice in writing by me/us within 7 days of receipt of funds/securities statement as the case may be.
- G. Periodic settlement of running account may not be necessary for margin trading facility or funds received towards collaterals/margin in form of Bank Guarantee, Fixed Deposit etc.
- H. In case of my/our request/demand, you shall transfer the funds/securities within 1 working day if lying with you or within 3 working days if lying with Exchange/Clearing House.
- I. There shall not be any inter-client adjustments for the purpose of settlement of my/our running account.

- (3) ABOUT ELECTRONIC CONTRACT NOTES ETC.:** I/We do hereby request to send ECN, statement of accounts, daily margin statement and such other record/information/notice etc. to my/our Email Account/ID as mentioned in KYC form. In case of any change, I/we shall promptly communicate in writing to you about the same.

- (4) ABOUT SMS ON MOBILE BY EXCHANGES :** I/We do hereby declare and confirm to receive SMS about my/our position, margin, ledger balance and such other brief information as may be voluntarily sent/provided by you on my/our mobile no. as mentioned in KYC form. In case of any change therein, I/we shall promptly communicate in writing to you about the same.

- (5) REGARDING CLAUSE 3&4 ABOVE :** I/We do hereby declare and confirm that the details of e-mail id and mobile no. as may be provided by me/us in KYC form pertains to me/us or to my/our family members only, (family members means my spouse, dependent children, dependent parents only) Accordingly, I/We do hereby request you to upload the same as a part of UCC/UCI details to respective Exchange(s). So that Exchange(s) may send direct Email/SMS to me/us, if any.

To address the administrative/operational difficulties in setting the accounts of regular trading clients (active clients), the Member may retain an amount of up to Rs.10,000/- (net amount across segment and across stock exchanges), only after taking written consent of the client.

(6) AUTHORISATION FOR DEBITING VARIOUS DEPOSITORY CHARGES : ☐ Yes / ☐ No

a) I hereby give my consent / authority to debit / recover all types of depository charges viz annual maintenance charges. Inter settlement charges, any type of transaction charges as is levied on me for the transactions carried out in my demat account including any statutory levies, services tax or any other tax/charges/fees in/form my trading ledger having the captioned client code as maintained with BBL I understand and agree that such depository charges will be debited in my trading ledger maintained with BBL irrespective of the ledger balance on periodically and/or as per the details provided by BBL

b) I instruct BBL to provide the requisite information periodically and/or on occasion basis of such charges levied on me to BBL with whom I have opened the trading account. I understand and consent that BBL shall have the right to recover the depository charges like any other trade dues payable by me from my trading ledger. I hereby further authorize BBL to set off a part or whole of the collateral/ledger balances/ securities in my demat account i.e. by way of appropriation of the relevant amount of cash or by way to sell or transfer or liquidation/close out positions of all or some of the securities placed as collateral or lying in my demat account as stated above for the purpose of clearing any outstanding amount related to the aforesaid demat account maintained with BBL. Any and all losses and financial charges on account of such liquidation/close-out shall be borne by me.

(7) SHARING OF DATA & INFORMATION : ☐ Yes / ☐ No

a) I have opened a trading account with BBL having the captioned client code and demat account with BBL having client ID _____ and I am interested in knowing about financial product / facilities offered by your associate / group companies. I am aware that associate / group companies are required to obtain information about me and my transaction for providing various products/facilities.

b) I authorised you, your group companies and associates to keep me informed with any financial product which its group companies and associates presently issue, deal in, or distribute through e-mail, SMS, telephone, print media or otherwise as may be allowed.

c) I hereby voluntarily accept and expressly authorised BBL to get the information from BBL or from any other Depository Participant of its group / associate companies with whom I have the Demat account and share / disclosure or use in any manner, the information/documents/data about me and our transactions, with group of associates companies which is offering the products/facilities.

- Information provided by me in the Trading and Demat Account Opening Kit.
- My holding in stock / securities.
- Ledger balance in my Trading/Demat Account across all exchanges / depositories.
- Transaction cum holding statement with BBL
- Any other related information.

d) I have no objection to BBL for sharing the above information or any such other information about me/us to its group/associate companies or affiliates. This is without legal obligation on you, your group companies and associates to inform and you or they may, in their discretion, discontinue sending such information.

(8) PMLA DECLARATION :

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by BBL officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002. I further undertake and confirm that:

- a) I do not have any links with any known criminal.
- b) I am genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime not I am a party to it. The investment money is derived from proper means and does involve any black or Hawala money in any manner.

(9) MUTUAL FUND SERVICE SYSTEM (MFSS) FACILITY :

I am interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange. For the purpose of availing the MFSS facility, I state that "Know your Client "details as submitted by me for the opening of Trading Account may be considered for the purpose of MFSS and/we further confirm that the details contained in same remain unchanged as on date.

I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India.(AMFI)

I shall read and understand the contents of the scheme information document and key information memorandum, agenda issued regarding each Mutual Fund Scheme with respect to which I choose to subscribe / redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Funds Schemes subscribed by me.

(10) OFFER FOR SALE (OFS) :

I hereby authorise you to apply / debit on behalf of me for any OFS, I opt for / Instruct dealer for participation in OFS.

VOLUNTARY DOCUMENT - 2

BASIC INFORMATION ABOUT AML MEASURES FOR GENERAL GUIDANCE OF CLIENTS:**BACKGROUND**

- In response to mounting concern over money laundering worldwide, G-7 summit as held in Paris in the year 1989, a policy making body having Secretariat Organisation for Economic Co-operation and Development (OECD) was established, to work for generating necessary political will/willingness to bring about national legislative and regulatory reforms to combat money laundering and terrorist financing.
- World Bank and International Monetary Fund (IMF) have also established a collaborative framework in with Financial Action Task Force (FATF) in this regard. Our country (India) is also one of the member and has been accorded "Observer" status.

OBJECTIVES

- The brief objectives of these provisions is to establish general framework for the fight against money laundering, terrorism, financial crimes and corruption.
- Ensuring that financial institutions are not vulnerable to infiltration or abuse by organized crime groups.
- Building capacity to fight terrorism and trace terrorist money.
- Meeting binding international obligations and avoiding the risk of sanctions or other actions by the international community.
- Avoid becoming heaven for criminals.
- Securing a more transparent and stable financial system that is attractive to foreign investors.

WHAT IS MONEY LAUNDERING

- To concealing or hiding financial assets with a view to use it without detection of its source that is illegal activity which produced it.
- Through money laundering, the launder transforms the monetary proceeds derived from criminal activity into funds with an apparent leagle source.
- It is the process by which criminals try to hide and distinguish source/origin and ownership of proceeds of their illegal/criminal activities.
- It may be conversion of illegally earned income in to anothor from so that it appears as a legitimate income.
- The term "Money Laundering" is also used in relation to financing of terrorist activity (where funds may/may not originate from crime).
- It is a medium through which dirty money insert in the financial system and make such money look clean.
- Money is circulated around the financial system in such a way that its ancestry gets hidden.

ACTIVITIES THAT CAN BE CONSIDERED AS ILLEGAL/CRIMINAL ACTIVITY:

- Corruption, Bribery
- Counterfeiting and Forgery
- Smuggling, Extortion, Prostitution
- Gambling, Robbery, Fraud
- Kidnapping, Tax Evasion, Drug Trafficking

VARIOUS STAGES OF MONEY LAUNDERING:

- I. **Placement** : It is a initial stage in which money from criminal activities is placed in financial institution. it may be through various methods viz. arranging or breaking up currency transactions in to portion which falls below reporting threshold for specific purpose to avoid reporting requirements.
- II. **Layering** : It is a process of conducting a complex series of financial transactions with a purpose of hiding origin of money and hindering any attempt to trace the funds. It may include multiple trades for security, purchase of financial product such as life Insurance or purchase of legitimate businesses.
- iii. **Integration** : Last and final stage in the re-injection of the laundered proceeds back in to the economy in such a way that they re-enter the financial system as normal business funds.

CONSEQUENCES OF MONEY LAUNDERING

- Finances terrorism encourage crime
- Endangers society at large weak ening of macro economic factors of country
- Affects the integrity of the financial system Government control on economy reduces
- Weakening of Law & Order

Indian Framework

India has also framed, "The Prevention of Money Laundering Act, 2002" (PMLA) which came into effect w.e.f. 01.07.2005. A separate Foreign Intelligence Unit (FIU) is also established as a central monitoring agency/central repository to combat Money Laundering. Necessary notifications/rules/guidelines/circulars/recommendations etc. are also issued and being issued by various regulatory authorities including SEBI from time to time.

APPLICABILITY OF PMLA

The provisions of the Act are applicable to Banking Company, Financial Institution and Intermediary {which includes, stock broker, sub-broker, share transfer agents, portfolio manager and other intermediaries associated with Securities Market and registered under section 12 of SEBI Act, 1992.)

All the aforesaid entities have to maintain a record of all the transactions, its nature and value involved. Such transactions shall include :

- (a) All cash transactions >Rs.10.00 lakhs or its equivalent in foreign currency
- (b) All integrally connected series of cash transaction <Rs.10.00 lakhs or its equivalent in foreign currency within one calendar month
- (c) All suspicious transactions

SUSPICIOUS TRANSACTION Means a transaction, whether or not, made in cash which, to a person acting in good faith.

- a) Gives a rise to a reasonable ground of suspicions that it may involve the proceeds of crime.
- b) Identity verification or address seems difficult or found to be forged/false.
- c) Gives rise to a reasonable ground of suspicion that it may involve financing of the activities relating to terrorism.
- d) Unusual and unexplained large value of transaction.
- e) Unusual and unexplained activity in dormant accounts.
- f) Transfer of large sums of money to/from overseas locations.
- g) Appears to be made in circumstances of unusual or unjustified complexity.
- h) Appears to have no economic rationale or bonafide purpose.
- i) Asset Management services where the source of the funds is not clear or not in keeping with apparent standing/business activity.

OBLIGATION OF THE CUSTOMER/CLIENTS

Always provide complete and correct details during account opening process like:

- Address Proof & Identity Proof
- PAN & Income details

Periodically update your:

- Contact details, financial details
- Occupational details

The transactions executed should be commensurate with the disclosed income details.

Provide requested explanations/details for suspicious transactions.

Ramification / Consequences / Implications :

- a) Money Launderer faces steep fines of double the amount of financial transaction, along with forfeiture of assets associated with laundered funds.
- b) Whoever commits the offence of money laundering shall be punishable with rigorous imprisonment for a minimum term of 3 years extendable to 7 or 10 years and shall also be liable to fine which may extend to Rs.5.00 lakhs
- c) Any kind of association with a criminal element can severely damage the reputation. It is in the best interests to keep names free of any criminal association.
- d) Protect reputation by being informed about anti-money laundering rules and regulations.
- e) If any body sees activity that may indicate money laundering, report it to the Director, FIU India, 6th Floor, Hotel Samrat, Chanakyapuri, New Delhi-110021.

Disclaimer : The Company (Beeline Broking Ltd.) does not take any warranty (express or implied) or assumes any legal liability/responsibility for the accuracy, completeness or usefulness of any information mentioned herein above which is prepared based on available information and for the sole purpose of general guidance and create awareness amongst the clients.

I/We have read and understood the aforesaid AML Literature and in token of acceptance of the same, do hereby put my/our signature.

This is a mandatory/compulsory document from Beeline Broking Ltd. (Stock Broker) and requires your utmost care, attention and understanding. This is an additional requirement from Broker which if contravenes any rules, regulations, articles, byelaws, circulars, directives and guidelines of SEBI and Exchanges, shall be null and void.

DEALING IN PENNY STOCKS Generally, the Broker refuses to enter any order of clients for penny stocks. The client is required to adhere to exchange/members guidelines and due diligence while trading in such scrips. Even trading in such scrips is very risky. As such, the stock broker may from time to time limit (quantity/value) / refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies), the order being for securities which are not in the permitted list of the stock broker/exchange(s) / SEBI or illiquid scrips. Depending on the market condition and risk management policy of the company, the stock broker reserves the right to refuse to provide limit in Penny Stocks and losses if any on account of such refusal shall be borne by the client only. We the broker, do hereby warn the client not to deal in any penny stocks. However, Broker at its sole discretion, may allow or disallow the clients (on case to case basis) to deal in penny stocks, subject to rules, regulations, articles, bye laws, circulars, directives and guidelines of SEBI and Exchanges as well as considering the prevalent market and other circumstances, at related point of time. The exposure limit in such scrips shall vary from client to client subject to RMS Policy of Broker and prevalent market condition from time to time without prior notice.

CLIENT'S EXPOSURE LIMIT The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits to number, value and/or kind of securities in respect of which order can be placed etc.) The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in securities specific/volume specific exposure etc.) and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or client's inability to route any order through stock broker's trading system on account of such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place order or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry in to the trading systems and 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 stock broker/exchange/SEBI and any other reasons which the stock broker may deem fit and proper in the circumstances. The client agrees that the losses, if any, on account of such refusal or due to delay caused by such review, shall be borne exclusively by the clients alone. The stock broker has margin based Risk Management System. Client exposure Limits are set based on collateral and funds deposited by the client. The type of acceptable collateral as well as the exposure limit varies from client to client depending upon the profile and the channel of trading of the client.

BROKERAGE RATE The Broker discloses that it shall charge a brokerage at the rate being agreed by the client with Broker (including its branches or sub-brokers) as per tariff sheet executed by the client and depending upon market circumstances or as may be prescribed in KYC document/back office software. However, the broker shall adhere to the maximum permissible limit (presently not to exceed 2.5%) as may be prescribed by SEBI/Exchanges from time to time. On option segment of Exchange, it is hereby disclosed that brokerage shall not exceed 2.5% of the premium amount or Rs.100/- (per lot) whichever is higher.

IMPOSITION OF PENALTY/DELAYED PAYMENT CHARGES The client agrees that any amounts which are overdue from client towards trading or on account of any other reason to the stock broker, will be charged with delayed payment charges 18% p.a. (depending upon prevalent market rate.) The client agrees that the stock broker may impose fines/penalties for any orders/trades/deals/actions of client which are contrary to this agreement or understanding as per KYC documents/rules/regulations/bye laws/circulars guide lines/ direction of the Exchange or SEBI or under any other law for time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with or as a consequence of or in relation to or of the orders/trades/deals/actions of the client, the same shall be borne by the client. However, the client discloses that he/she/it is aware and specifically agrees that charging of delayed payment Charge to stock broker is just an additional/ad-hoc facility and shall not be construed/resulted into permanent practice lead to funding by broker in contravention of applicable laws.

SELL OF SECURITIES OR CLOSING OPEN POSITION The Client also agrees and confirms and undertake to immediately deposit with the stock broker such funds, securities or other acceptable security which the stock broker may in its own discretion from time to time require as margin. The client agrees that the stock broker shall be entitled to require the client to deposit with the stock broker a higher margin than prescribed by the Exchange. The client is liable to pay an initial margin up front on or before creating a position in any Derivatives Contract. Such margin shall be decided upon by the Stock Broker or the Exchange from time to time. Furthermore, the client is liable to pay (or receive) daily margins depending on whether the price of derivatives contract moves for or against the position undertaken. The client may also be liable to pay with holding margin, special margin or such other margins as are considered necessary by the stock broker or the Exchange from time to time. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not imposed by any exchange of SEBI) and the client shall be obliged to pay such margins. In case the client does not provide the required margin or any other payment whatsoever within the time frame specified by the stock broker, the stock broker shall have the right to appropriate and/or sell and/or instruct to sell and/or transfer all or any securities or money in client's account and/or any associated account and/or any proceeds thereof, square-off all or any outstanding positions, prevent any new orders from being placed and/or executed by the client or take such other action as the stock broker thinks fit and proper. The stock broker may exercise all or any of the above rights in such manner as the stock broker may think appropriate, without demand for additional margin, security or collateral or advance notice or advertisement, on any exchange or other market where such business can be transacted, at a public auction or by private sale and the stock broker may be the purchaser/seller for its own account. The giving of any prior demand, call or notice shall not be considered as a waiver of the stock broker's right to exercise its rights without any such demand, call or notice. The client agrees that in case of high market volatility, the stock broker may require the client to pay instantaneous margins in addition to the margins that may already have been paid the client as per margin calls. The client agrees that the stock broker may be compelled to in such circumstances of market volatility, in absence of the payment of the said instantaneous margins by the client, square-off all or any outstanding positions, prevent any new orders from being placed and/or executed by the client or take such other action as stock broker thinks fit and proper. The client agrees that the stock broker may be compelled to in circumstances of extreme market volatility, square-off all or any outstanding positions, prevent any new orders from being placed and/or executed by the client or take such other action as the stock broker thinks fit and proper, even without calling for the payment by the client, of the aforesaid instantaneous margins by the client. In case of short fall in the margin, the stock broker shall check for available to restore the margin level to the initial margin level and if no such limits are available then the client's outstanding positions may be squared-off by the stock broker, at its discretion, without notice to client. If the client has entered into a short sale or long purchase position, square-off and/or carry forward the whole or part of the same on any day, at any place and in any manner as the stock broker thinks fit, or permit the exchange to close out or auction such position, and the aforesaid shall be at the client's sole risk and cost. If the client has been permitted to do margin trading (if and when provided by the stock broker) or otherwise, the stock broker shall be entitled to square-off client's outstanding position, inter-alia, where, in the stock broker's opinion, the mark-to-market loss, has breached or may breach the margins available with the stock broker, where the margin or security(ies) placed by the client and available with the stock broker falls short of the stock broker's requirement, where any limit given to the client has been breached or where the client has defaulted on any existing obligation. The client do hereby authorized the stockbroker to, at stock broker's discretion, should the stock broker deem fit necessary for the stock broker's own protection, to buy, sell or close out any part or all of the Derivative Contracts held in the client's account with the stock broker. Any or all such incidental expenses, costs incurred by the stock broker will be reimbursed by the client. In enforcing its set-off, lien and/or other rights, the stock broker may, in its absolute discretion, determine which securities are to be sold or appropriated, which account is to be debited or which contracts are to be closed. Thus, In case of any delay (beyond permissible time limit as per SEBI's or Exchange's rules, regulations, bye laws, circulars and other applicable laws / provisions) or inordinate delay in making the payment or clearance of or meeting up of any obligations, dues, debit balances, margin, MtoM debit balance etc. by client, then client's open positions might be squared-off, credit balances of securities or securities lying with broker might be sold off, credit balance of funds might be adjusted against client's obligation, debit balances or liabilities WITHOUT ANY NOTICE from broker as per prevalent RMS policy from time to time.

SHORTAGE IN OBLIGATION AND INTERNAL AUCTION The stock broker shall not be obliged to delivery any securities or pay any money to the client unless and until the same has been received by the stock broker from Exchange, the clearing corporation/house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligation first. In case of default in security pay in by the client and the shortage is at member level i.e. internal shortage then the benefit calculated at the next day's closing rate after pay-out day shall be recovered from the defaulting client and passed on to the respective beneficiary client. In case of the default or securities pay-in by the client and the shortage is from the exchange, auction value of the respective exchange plus penalty (decided by the member from time to time) plus brokerage and other statutory charges shall be recovered from the defaulting client. In the case of funds default by the client, the member shall be liquidating the stocks to recover the money. Any shortfall arising out of liquidating securities by the members, shall also be recovered from the defaulting client along with interest (decided by the member from time to time.)

RESTRICTIONS/PROHIBITION TO TAKE FURTHER POSITION OR CLOSING EXISTING POSITION Under any of the circumstances, such as, client's failure to meet pay-in or margin obligations or clearance of outstanding/debit balance with broker before permissible time limit or beyond such period as may be allowed by broker as per its RMS policy, the Client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. Even, broker can firstly set-off or adjust the payment or securities towards various dues and obligation of the client and until the full clearance of the same, shall not allow the client to take further/fresh position.

Further, it would be the duty if the client to monitor his/her/its position with the broker from time to time. In case of any delay or failure in meeting any obligation, margin requirement etc. from client side, broker might close the existing position or open position WITHOUT ANY FURTHER INTIMATION to the client as per RMS policy. Not with standing anything contrary stated in the KYC documents, the stock broker in its absolute discretion, shall impose such restriction(s) or prohibit the client from taking further position or close out existing position or terminate broker client relationship, in happening of any of the following or under any of the following circumstances which may include without any limitation,

- I. failure to meet pay-in obligation;
- II. delay in meeting the pay-in or margin requirement;
- III. delay or failure in clearance of outstanding or dues to the broker;
- IV. returning or frequent returning of cheque(s) of the client;
- V. Unnecessary/Unwarranted dispute from client without any substantial cause/reason;
- VI. Client's attitude of not coming to the amicable settlement for any dispute that can be settled without involvement of Exchange and/or SEBI;
- VII. As per prevalent surveillance action or RMS policy of the broker from time to time;
- VIII. Any direction from SEBI/Exchange or such other authorities, or any commencement of legal process against the client under any law in force;
- IX. On the death/lunacy or any other disability of client;
- X. If a receiver/liquidator/administrator has been appointed or allowed to be appointed for all or any part of the undertaking of the client;
- XI. If the action of the client is/are prima facie illegal/improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others;
- XII. If the client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its asset or refers to itself to the BIFR or under any other law providing protection as a relief undertaking;
- XIII. In case of partnership client, the partners have taken any steps for dissolution of partnership;
- XIV. If the client has made any material misrepresentation of the facts, including without limitation in relation to the funds and/or security;
- XV. If there is reasonable apprehension to the stock broker that the client is unable to pay his/her/its debts or has admitted its inability to pay, as they become payable;
- XVI. If the client suffers any adverse material change in his/her/its financial position or defaults in any other agreement or understanding or obligation with the stock broker;
- XVII. If any covenant or warranty of the client is incorrect or untrue in any material respect;
- XVIII. Under such other circumstances as the broker might think just and proper on case to case basis.

SUSPENSION / DEREGISTERING OF CLIENT ACCOUNT The broker and/or client may suspend Client's Trading Account from further dealing in the securities market through the broker in following circumstances :

- A) as per client's prior written request of at least 3 days submitted to broker at its Ahmedabad H.O. duly acknowledged by broker (subject to clearance of entire outstanding/obligations) subject to client accepting/adhering to conditions imposed by the stock broker including but not limited to settlement of account/release of holds and/or other obligation;
- b) Dormant or in-active status of client account beyond specified time limit as may be prescribed by broker from time to time,
- c) Under any circumstances mentioned in (I) to (xviii) above.

POLICY FOR DORMANT / IN-ACTIVE ACCOUNT

As per broker's RMS policy, the account in which no transactions has took place during the period of not less than 6 months (presently 6 months) or such other period from the date of last transaction, the same shall be considered as Dormant/Inactive account. Such transaction date may relate to any of the following date, whichever is later

- a) entry related to contract or bill generation for buy/sell transaction or
- b) entry related to payment of funds or securities by client or
- c) entry passed by the broker by way of JV due to any dues/obligation recoverable from client including but not limited to auction charges, any penalty amount whether or not imposed by Exchange or SEBI or the authorities etc.

To designate the client's account as Dormant/In-active account, the period of 6 months shall be counted from the last day of respective month in which any of the aforesaid last transaction took place. In case broker treats the account of client as a dormant/in-active account, the funds or securities lying with the broker shall be refunded/returned to clients immediately on demand by the client. In order to reactive the account, client needs to instruct the broker in writing at least 2 days in advance at its Ahmedabad H.O. The broker will try to promptly reactivate the said account subject to fulfillment of such conditions as broker may consider fit and proper. Such written request may also be sent by client himself to **Beeline Broking Ltd.** through e-mail : on **kyc@beelinrbroking.com** from client's own registered e-mail account with broker. However, broker may, in its own discretion, waive/reduce the period of 2 days as the circumstances may warrant on case to case basis.

CLIENT'S ACCEPTANCE OF POLICIES AND PROCEDURES STATED HEREIN ABOVE I/We have thoroughly read and fully understood the same and do hereby sign and agree not to call into question the validity, enforce ability and applicability or any provision/clauses of this document under any circumstances what so ever. These policies may be amended/changed unilaterally by the stock broker provided the change is informed to me/us through any one or more means/methods such as post/speed post/courier/regd. post/regd.ad/facsimile/telegram/e-mail/voice-mail/telephone (telephone includes such devices as mobile phone etc.) including SMS on the mobile phone or any other similar device/by messaging on the computer screen of client's computer/informing the client through the employees/agents sub-brokers/authorised persons of the stock broker/by publishing or displaying it on the website of stock-broker/making it available as a download from the website of the stock broker/broad-cast/newspaper advertisement etc. or any other suitable or applicable mode or manner. I/We agree that the delivery shall be complete when communication is given to the postal department/courier company/the e-mail/voice mail/SMS service provider etc./when displayed on stock broker's website by the stock broker and I/We agree to abide by the same. These policies and procedures shall always be read along with other provisions of the KYC mandatory documents and shall compulsorily referred to while deciding any disputes/difference or claim between me/us and stock broker before any court of law/arbitrator or mediator/judicial/adjudicating authority etc.

F/H 20

Date: _____

Beeline Loyalty Program is a reward point scheme which rewards you with points, based on the amount of brokerage / reference generated by you with Beeline Broking Ltd. Program Terms & Conditions

1. Generation of Reward Points Reward Points will be generated as follows:
 - i. For every brokerage of Rs.100, there will be 2 Reward Points.
 - ii. For Each Client Reference, there will be 200 Reward Points.
 - iii. For Each Sub Broker / Remiser Reference, there will be 800 Reward Points.
2. Each Reward Point will have a monetary value of Rs.1
3. Reward Point cannot be converted into Cash.
4. Reward Point will be available to you on monthly basis.

I/We agree to participate in the program as per terms and conditions mentioned above.

For detailed scheme related information please refer our website : www.beelinebroking.com

Client Name : _____

F/H 21

Beeline Broking Limited.

B-307, Ganesh Plaza, Near Navrangpura Bus Stop Navrangpura, Ahmedabad 380009
Phone : 079-66664040.

Designated E-mail Id for IG: compliance@beelinebroking.com

Client Name : _____

Client Code/Trading Code : _____

- (1) I/We do hereby confirm the receipt of copy of the duly completed KYC documents including RDD, Rights and obligations, Guidance Note, policies and 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 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.beelinebroking.com or for any help/assistance. I/We will promptly notify your compliance officer for Trading A/c and Demat A/c for User ID & Password on Email ID:compliance@beelinrbroking.com or Ph. : 079-66664040.
- (4) It is specifically agreed by the client that the client shall not have recourse to dispute redressal mechanism/arbitration mechanism/investor protection scheme of the Stock Exchanges/SEBI in case the client avails services under any scheme;/eagues/competitions etc. offered by any third party/group, company/associate of the stock broker.

F/H 22

Name & Signature of the Authorised Signatory(ies)

Date _____

Beeline Broking Limited

B-307, Ganesh Plaza, Near Navrangpura Bus Stop Navrangpura, Ahmedabad 380009
Phone : 079-66664040.

Designated E-mail Id for IG: compliance@beelinebroking.com

I/We do hereby Acknowledge receipt of following

Annexure A - Rights & Obligations of Stock Brokers and Client

Annexure B – Risk Disclosure Document for Capital Market And Derivatives Segments

Annexure C – Guidance Note – Do's And Don'ts for Trading on the Exchange(s) For Investors

Annexure D - Rights & Obligations of DP and Beneficial Owner

Document describing significant policies and procedures of the stock broker (added by the stock broker).

Right and Obligations of Beneficial and Depository Participant as prescribed by SEBI and Depositories.

DP ID: IN304123	CLIENT ID:								
	NAME						SIGNATURE		
Sole/First Holder							F/H 23		
Second Holder							S/H		
Third holder							T/H		

ACKNOWLEDGEMENT

DP ID - IN304123

Beeline Broking Limited.

B-307, Ganesh Plaza, Near Navrangpura Bus Stop Navrangpura, Ahmedabad 380009
Phone : 079-66664040

Designated E-mail Id for IG: compliance@beelinebroking.com

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

DATE : _____



Participant Stamp & Signature

Beeline's Online Value Added Services

- SME MANAGEMENT
- EZEE WILL
- INSURANCE DEMATERIALISATION
- SEP



SME Management :

- Merchant banking alliance
- Due Diligence-Financial and / or Legal
- IPO Process & Listing
- Market Making
- Business plan & Advisory services
- Company Restructuring
- Corporate Advisory Services

EZEE WILL :

- A Precious gift to your family
- Setting up a smooth heritance
- Helps your family members to make their financial plans in a disciplined manner



INSURANCE DEMATERIALISATION :

- Enhance Protection
- Easy purchase & premium reminders
- No fear of loss of policy

SEP (Systematic Equity Plan):

- Systematic Equity Plan works on the same underlying concept of SIP
- Directly create a SEP plan in your account for any stock
- You can either buy stocks under fixed amount or can buy a fixed quantity every month



BEELINE™
Broking Limited

B-307, Ganesh Plaza, Near Navrangpura Bus Stop Navrangpura, Ahmedabad-380 009.
Phone : 079-66664040, Website : www.beelinebroking.com