

# Asit C. Mehta

INVESTMENT INTERMEDIATES LTD.

An ISO 9001:2008 Company

Form No.:

Common Client Code:

BOID:

Account Opening Date:

Inward No.:

## Registration Kit

# Bankconnect+ Account



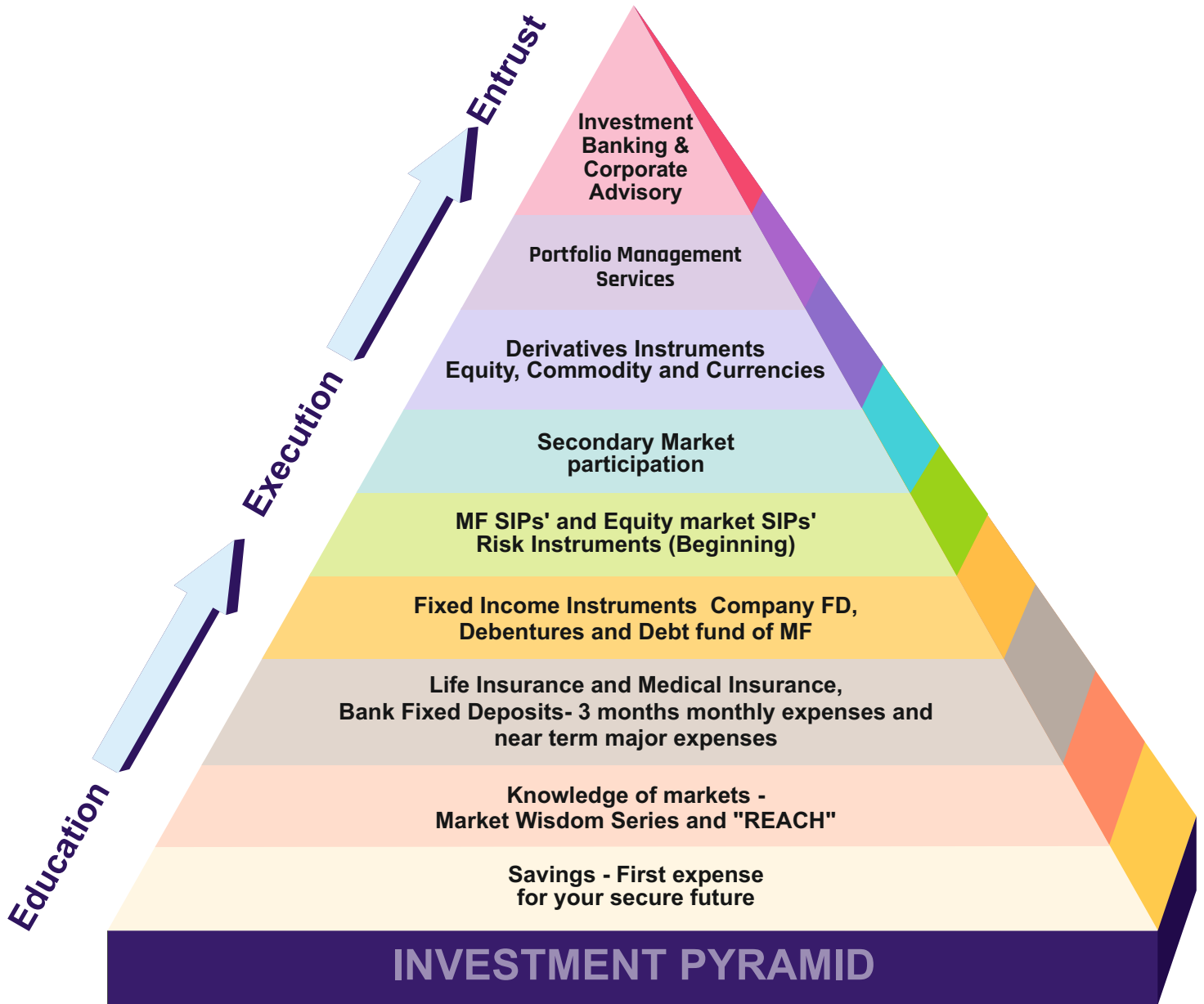
**INVESTMENTZ**.com  
— INVESTOR FIRST —

by Asit C. Mehta Investment Intermediates Ltd.

Cash Trading + IPO + MF



## Investment Pyramid



### Regd. Office :

"Nucleus House", 5th Floor, Saki-Vihar Road, Andheri (E), Mumbai - 400 072. Maharashtra, India. • Tel: (022) 2858 4545  
• Fax (022) 2857 7647 • E-mail: [customerservice@acm.co.in](mailto:customerservice@acm.co.in) • CIN: U65990MH1993PLC075388

### SEBI / Regulatory Registration Nos:

• BSE: INB / INF 010607233 • NSE: INB/INF/INE 230607239 • Merchant Banking: INM000010973  
DP Reg: IN-DP-CDSL-28-99 • DP ID-CDSL 12013200 • MSEI: INB/INF/INE 260607230 • PFRDA: POP71112016  
• Research Analyst: INH000002483 • Portfolio Management Services: INP000005801

# Asit C. Mehta

## INVESTMENT INTERMEDIATES LTD.

Corporate Member: BSE Ltd, National Stock Exchange of India Limited & Metropolitan Stock Exchange of India Ltd.

**Regd. Office** : "Nucleus House", 5th Floor, Saki-Vihar Road, Andheri (E), Mumbai - 400 072. Maharashtra, India.

Tel.: (022) 2858 4545 • Fax (022) 2857 7647 • E-mail: customerservice@acm.co.in • CIN: U65990MH1993PLC075388

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• Research Analyst: INH000002483 • PMS: INP000005801

Dear Investors,

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

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

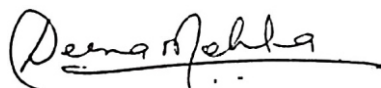
We request you to provide us with your email address so that your accounts and contract information can be sent to you electronically. We suggest that this booklet be returned with all necessary supporting documents together to ensure speedy processing. Requesting you to collect your Login ID and a Password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

We once again thank you.

With warm regards,

Yours faithfully

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



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



# INDEX

| Sr. No.                               | Name of Document  | Brief Description of document  | Page  |
|---------------------------------------|---|--|-------|
| 1                                     | Central KYC Registry Account Opening Form                 | This document captures all details of the account holder for ease of opening of accounts across all financial institutions and intermediaries.   | 1-4   |
| 2                                     | Know Your Client (KYC) (for first/sole holder)            | This document captures the basic information about investor, such as Name, Address, Contact number. These details are updated in the records.(For first/sole holder).  | 5-6   |
| 3                                     | Additional details for Investment                         | This document captures additional information about Investor such as bank, depository account, trading segment preferred, dealing through sub-broker / authorized persons and other stock brokers, past actions. additional details and nomination details and declaration by the investor                                       | 7-8   |
| 4                                     | Running Account Authority Letter                          | This document is the document in which the client agrees to maintain a single financial account on running account basis in the books of ACMIIL for both exchanges and all segments<br><b>(Non-Mandatory document)</b>   | 9     |
| 5                                     | Disclosure of Proprietary Trading                         | This document contains ACMIIL disclosure that ACMIIL may engage in proprietary trading   | 9     |
| 6                                     | FEMA Declaration by NRI                                   | This document contains declaration by NRI that he/she has complied with applicable FEMA and RBI guidelines   | 9     |
| 7                                     | FATCA declaration   | FATCA-CRS Declaration & Supplementary KYC Information  | 10    |
| 8                                     | Verification by Bank official                             | This document contains verification of signature and photograph of client from his bank account details by bank official   | 11    |
| 9                                     | Power of Attorney (POA)                                   | This document states that the client has appointed ACMIIL to operate his/her/its depository account for the settlement of obligations and to participate on his/her/its behalf in IPO and other offers relating to securities. (Non- Mandatory Document) No Objection Certificate of Coparceners for Power of Attorney (for HUF) | 13-14 |
| 10                                    | For Office use only                                       | This document is a document specifying brokerage rates chargeable to the client and will be filled by ACMIIL representative  | 15    |
| <b>(Other – Mandatory Documents).</b> |   |  |       |
|                                       | Rights & Obligation Document*<br>Trading / Investment A/c | This document states the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (Including Additional rights & obligation in case of internet / wireless technology based trading).   |       |
|                                       | Guidance Note*  | This document specifies Do's & Don'ts for trading on exchange, for education of the investor.  |       |
|                                       | Risk Disclosure Document                                  | This document describes the risk associated with the stock market.   |       |
|                                       | Policy & Procedures                                       | This document describes the policies & procedures of ACMIIL with respect to Settlement, Risk Management etc.   |       |

Note:

“Other Mandatory Client Documents” is a separate booklet, which is given to client.

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

## Important points on form filling

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

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

## Asit C. Mehta

INVESTMENT INTERMEDIATES LTD.

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

Tele.: 022 2858 4545 Fax: 022 2857 7647 Website: www.investmentz.com Email: customerservice@acm.co.in

SEBI Registration No. BSE: INB/INF 010607233 NSE: INB/INF/INE 230607239

Compliance Officer: Mr. Jaideep Vaidya Phone No. 022 2858 3021 Email: jaideep.vaidya@acm.co.in

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

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

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

In case not satisfied with the response, please contact the concerned exchange(s) / depository at ignse@nse.co.in and phone no. 1800220058 (NSE) / is@bseindia.com and phone no. 022-22728097 (BSE)

# Know Your Client Application Form (For Individuals only)

## CKYC & KRA KYC Form

LOGO

(Please fill the form in English and in BLOCK Letters)  
Fields marked with '\*' are mandatory fields

Application Type\*  New  Update KYC Number\*


KYC Type\*  Normal (PAN is mandatory)  PAN Exempt Investors (Refer instruction K)

### 1. Identity Details (Please refer instruction At a the end)

PAN  Please enclose a duly attested copy of your PAN Card

| Prefix                   | First Name   | Middle Name                                      | Last Name   |
|--------------------------|--|--|---|
| Name* (same as ID proof) |  |  |   |
| Maiden Name(if any*)     |  |  |   |
| Father/Spouse Name*      |  |  |   |
| Mother Name*             |  |  |   |
| Date of Birth*           | DD - MM - YYYY   |  |   |
| Gender*                  | <input type="checkbox"/> M- Male   | <input type="checkbox"/> F- Female               | <input type="checkbox"/> T-Transgender  |
| Marital Status*          | <input type="checkbox"/> Married   | <input type="checkbox"/> Unmarried               | <input type="checkbox"/> Others   |
| Citizenship*             | <input type="checkbox"/> IN- Indian  | <input type="checkbox"/> Others - Country _____  | Country Code <input type="text"/>   |
| Residential Status*      | <input type="checkbox"/> Resident Individual                               | <input type="checkbox"/> Non Resident Indian     |   |
|                          | <input type="checkbox"/> Foreign National                                  | <input type="checkbox"/> Person of Indian Origin |   |
| Occupation Type*         | <input type="checkbox"/> S-Service <input type="checkbox"/> Private Sector | <input type="checkbox"/> Public Sector           | <input type="checkbox"/> Government Sector  |
|                          | <input type="checkbox"/> O-Others <input type="checkbox"/> Professional    | <input type="checkbox"/> Self Employed           | <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <sup>1</sup> |
|                          | <input type="checkbox"/> B-Business  | <input type="checkbox"/> X-Not Categorised       |   |

**Photo**



Signature/Thumb Impression

### 2. Proof of Identity (Pol)\* (for PAN exempt Investor or if PAN card copy not provided) (Please refer instruction C & K at the end)

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

A- Passport Number  Passport Expiry Date DD - MM - YYYY

B- Voter ID Card

C- Pan Card

D- Driving Licence  Driving Licence Expiry Date DD - MM - YYYY

E- Aadhaar Card

F- NREGA Job Card

Z- Others (any document notified by the central government)  Identification Number

### 3. Proof of Address (PoA)\*

3.1 Current / Permanent / Overseas Address Details (Please see instruction D at the end)

**Address**

Line 1\*

Line 2\*

Line 3\*

District\*  Zip / Post Code\*  State/UT Code  as per Indian Motor Vehicle Act, 1988

State/UT\*  Country\*  Country Code  as per ISO 3166

Address Type\*  Residential / Business  Residential  Business  Registered Office  Unspecified

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

**Proof of Address\***

A- Passport Number  Passport Expiry Date DD - MM - YYYY

B- Voter ID Card

C- Pan Card

D- Driving Licence  Driving Licence Expiry Date DD - MM - YYYY

E- Aadhaar Card

F- NREGA Job Card

Z- Others (any document notified by the central government)  Identification Number

### 3.2 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', Submit relevant documentary proof)

Line 1\*

Line 2\*

Line 3\*

District\*  Zip / Post Code\*  State/UT Code  as per Indian Motor Vehicle Act, 1988

State/UT\*  Country\*  Country Code  as per ISO 3166

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

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

**5. FATCA/CRS Information** (Tick if Applicable)  Residence for Tax Purposes in Jurisdiction(s) Outside India (Please refer instruction at the end)

Additional Details Required\* (Mandatory only if above option (5) is ticked)  
Country of Jurisdiction of Residence\*  Country Code of Jurisdiction of Residence  as per ISO 3166  
Tax Identification Number or equivalent (If issued by jurisdiction)\*   
Place/City of Birth\*  Country of Birth\*  Country Code  as per ISO 3166  
Address  
Line 1\*   
Line 2   
Line 3  City/Town/Village\*   
District\*  Zip / Post Code\*  State/UT Code  as per Indian Motor Vehicle Act, 1988  
State/UT\*  Country\*  Country Code  as per ISO 3166

**6. Details of Related Person** (Optional) (please refer instruction G at the end) (in case of additional related persons, please fill 'Annexure B1')

Related Person  Deletion of Related Person KYC Number of Related Person (if available\*)   
Related Person Type\*  Guardian of Minor  Assignee  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 [Pol] of Related Person\* (Please see instruction (H) at the end)

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

A- Passport Number  Passport Expiry Date   
 B- Voter ID Card   
 C- PAN Card   
 D- Driving Licence  Driving Licence Expiry Date   
 E- AadhaarCard   
 F- NREGA Job Card   
 Z- Others (any document notified by the central government)  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 declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date -- Place:

2 [Signature / Thumb Impression]  
Signature / Thumb Impression of Applicant

**9. Attestation / For Office Use Only**

**Documents Received**  Certified Copies  
**KYC Verification Carried Out by** (Refer Instruction I)  
Date --  
Emp. Name   
Emp. Code   
Emp. Designation   
[Employee Signature]

**Institution Details**  
Name   
Code   
Emp. Branch   
[Institution Stamp]

**In-Person Verification (IPV) Carried Out by** (Refer Instruction J)  
Date --  
Emp. Name   
Emp. Code   
Emp. Designation   
[Employee Signature]

**Institution Details**  
Name   
Code   
Emp. Branch   
[Institution Stamp]

**General Instructions:**

1. Fields marked with '\*' are mandatory fields.
2. Tick 'P' wherever applicable.
3. Self-Certification of documents is mandatory.
4. Please fill the form in English and in BLOCK Letters.
5. Please fill all dates in DD-MM-YYYY format.
6. Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
7. KYC number of applicant is mandatory for updation of KYC details.
8. For particular section update, please tick (P) in the box available before the section number and strike off the sections not required to be updated.
9. In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

**A Clarification / Guidelines on filling 'Personal Details' section**

1. Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

**B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India**

1. Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

**C Clarification / Guidelines on filling 'Proof of Identity [PoI]' section**

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
3. In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and under noted relevant code may be mentioned in point 3 (S).

| Document Code | Description  |
|---------------|--|
| 01            | Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions. |
| 02            | Letter issued by a gazetted officer, with a duly attested photograph of the person.  |

**D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section**

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3. In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and under noted relevant code may be mentioned in point 4.1.

| Document Code | Description  |
|---------------|--|
| 01            | Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).  |
| 02            | Property or Municipal Tax receipt.   |
| 03            | Bank account or Post Office savings bank account statement.  |
| 04            | Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.  |
| 05            | Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation. |
| 06            | Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.  |

**E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section**

1. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2. In case of multiple correspondence / local addresses, Please fill 'Annexure A1'

**F Clarification / Guidelines on filling 'Contact details' section**

1. Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
2. Do not add '0' in the beginning of Mobile number.

**G Clarification / Guidelines on filling 'Related Person details' section**

1. Provide KYC number of related person if available.

**H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [PoI] of Related Person' section**

1. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.



## List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

| State / U.T            | Code | State / U.T      | Code | State / U.T   | Code |
|------------------------|------|------------------|------|---------------|------|
| Andaman & Nicobar      | AN   | Himachal Pradesh | HP   | Pondicherry   | PY   |
| Andhra Pradesh         | AP   | Jammu & Kashmir  | JK   | Punjab        | PB   |
| Arunachal Pradesh      | AR   | Jharkhand        | JH   | Rajasthan     | RJ   |
| Assam                  | AS   | Karnataka        | KA   | Sikkim        | SK   |
| Bihar                  | BR   | Kerala           | KL   | Tamil Nadu    | TN   |
| Chandigarh             | CH   | Lakshadweep      | LD   | Telangana     | TS   |
| Chattisgarh            | CG   | Madhya Pradesh   | MP   | Tripura       | TR   |
| Dadra and Nagar Haveli | DN   | Maharashtra      | MH   | Uttar Pradesh | UP   |
| Daman & Diu            | DD   | Manipur          | MN   | Uttarakhand   | UA   |
| Delhi                  | DL   | Meghalaya        | ML   | West Bengal   | WB   |
| Goa                    | GA   | Mizoram          | MZ   | Other         | XX   |
| Gujarat                | GJ   | Nagaland         | NL   |               |      |
| Haryana                | HR   | Orissa           | OR   |               |      |

## List of ISO 3166 two- digit Country Code

| Country                               | Country Code | Country                                | Country Code | Country                                      | Country Code | Country                                      | Country Code |
|---------------------------------------|--------------|--|--------------|--|--------------|--|--------------|
| Afghanistan                           | AF           | Dominican Republic                     | DO           | Libya  | LY           | Saint Pierre and Miquelon                    | PM           |
| Aland Islands                         | AX           | Ecuador                                | EC           | Liechtenstein                                | LI           | Saint Vincent and the Grenadines             | VC           |
| Albania                               | AL           | Egypt                                  | EG           | Lithuania                                    | LT           | Samoa  | WS           |
| Algeria                               | DZ           | El Salvador                            | SV           | Luxembourg                                   | LU           | San Marino                                   | SM           |
| American Samoa                        | AS           | Equatorial Guinea                      | GQ           | Macao  | MO           | Sao Tome and Principe                        | ST           |
| Andorra                               | AD           | Eritrea                                | ER           | Macedonia, the former Yugoslav Republic of   | MK           | Saudi Arabia                                 | SA           |
| Angola                                | AO           | Estonia                                | EE           | Madagascar                                   | MG           | Senegal                                      | SN           |
| Anguilla                              | AI           | Ethiopia                               | ET           | Malawi                                       | MW           | Serbia                                       | RS           |
| Antarctica                            | AQ           | Falkland Islands (Malvinas)            | FK           | Malaysia                                     | MY           | Seychelles                                   | SC           |
| Antigua and Barbuda                   | AG           | Faroe Islands                          | FO           | Maldives                                     | MV           | Sierra Leone                                 | SL           |
| Argentina                             | AR           | Fiji                                   | FJ           | Mali   | ML           | Singapore                                    | SG           |
| Armenia                               | AM           | Finland                                | FI           | Malta  | MT           | Sint Maarten (Dutch part)                    | SX           |
| Aruba                                 | AW           | France                                 | FR           | Marshall Islands                             | MH           | Slovakia                                     | SK           |
| Australia                             | AU           | French Guiana                          | GF           | Martinique                                   | MQ           | Slovenia                                     | SI           |
| Austria                               | AT           | French Polynesia                       | PF           | Mauritania                                   | MR           | Solomon Islands                              | SB           |
| Azerbaijan                            | AZ           | French Southern Territories            | TF           | Mauritius                                    | MU           | Somalia                                      | SO           |
| Bahamas                               | BS           | Gabon                                  | GA           | Mayotte                                      | YT           | South Africa                                 | ZA           |
| Bahrain                               | BH           | Gambia                                 | GM           | Mexico                                       | MX           | South Georgia and the South Sandwich Islands | GS           |
| Bangladesh                            | BD           | Georgia                                | GE           | Micronesia, Federated States of              | FM           | South Sudan                                  | SS           |
| Barbados                              | BB           | Germany                                | DE           | Moldova, Republic of                         | MD           | Spain  | ES           |
| Belarus                               | BY           | Ghana                                  | GH           | Monaco                                       | MC           | Sri Lanka                                    | LK           |
| Belgium                               | BE           | Gibraltar                              | GI           | Mongolia                                     | MN           | Sudan  | SD           |
| Belize                                | BZ           | Greece                                 | GR           | Montenegro                                   | ME           | Suriname                                     | SR           |
| Benin                                 | BJ           | Greenland                              | GL           | Montserrat                                   | MS           | Svalbard and Jan Mayen                       | SJ           |
| Bermuda                               | BM           | Grenada                                | GD           | Morocco                                      | MA           | Swaziland                                    | SZ           |
| Bhutan                                | BT           | Guadeloupe                             | GP           | Mozambique                                   | MZ           | Sweden                                       | SE           |
| Bolivia, Plurinational State          | BO           | Guam                                   | GU           | Myanmar                                      | MM           | Switzerland                                  | CH           |
| Bonaire, Sint Eustatius and Saba      | BQ           | Guatemala                              | GT           | Namibia                                      | NA           | Syrian Arab Republic                         | SY           |
| Bosnia and Herzegovina                | BA           | Guernsey                               | GG           | Nauru  | NR           | Taiwan, Province of China                    | TW           |
| Botswana                              | BW           | Guinea                                 | GN           | Nepal  | NP           | Tajikistan                                   | TJ           |
| Bouvet Island                         | BV           | Guinea-Bissau                          | GW           | Netherlands                                  | NL           | Tanzania, United Republic of                 | TZ           |
| Brazil                                | BR           | Guyana                                 | GY           | New Caledonia                                | NC           | Thailand                                     | TH           |
| British Indian Ocean Territory        | IO           | Haiti                                  | HT           | New Zealand                                  | NZ           | Timor-Leste                                  | TL           |
| Brunei Darussalam                     | BN           | Heard Island and McDonald Islands      | HM           | Nicaragua                                    | NI           | Togo   | TG           |
| Bulgaria                              | BG           | Holy See (Vatican City State)          | VA           | Niger  | NE           | Tokelau                                      | TK           |
| Burkina Faso                          | BF           | Honduras                               | HN           | Nigeria                                      | NG           | Tonga  | TO           |
| Burundi                               | BI           | Hong Kong                              | HK           | Niue   | NU           | Trinidad and Tobago                          | TT           |
| Cabo Verde                            | CV           | Hungary                                | HU           | Norfolk Island                               | NF           | Tunisia                                      | TN           |
| Cambodia                              | KH           | Iceland                                | IS           | Northern Mariana Islands                     | MP           | Turkey                                       | TR           |
| Cameroon                              | CM           | India                                  | IN           | Norway                                       | NO           | Turkmenistan                                 | TM           |
| Canada                                | CA           | Indonesia                              | ID           | Oman   | OM           | Turks and Caicos Islands                     | TC           |
| Cayman Islands                        | KY           | Iran, Islamic Republic of              | IR           | Pakistan                                     | PK           | Tuvalu                                       | TV           |
| Central African Republic              | CF           | Iraq                                   | IQ           | Palau  | PW           | Uganda                                       | UG           |
| Chad                                  | TD           | Ireland                                | IE           | Palestine, State of                          | PS           | Ukraine                                      | UA           |
| Chile                                 | CL           | Isle of Man                            | IM           | Panama                                       | PA           | United Arab Emirates                         | AE           |
| China                                 | CN           | Israel                                 | IL           | Papua New Guinea                             | PG           | United Kingdom                               | GB           |
| Christmas Island                      | CX           | Italy                                  | IT           | Paraguay                                     | PY           | United States                                | US           |
| Cocos (Keeling) Islands               | CC           | Jamaica                                | JM           | Peru   | PE           | United States Minor Outlying Islands         | UM           |
| Colombia                              | CO           | Japan                                  | JP           | Philippines                                  | PH           | Uruguay                                      | UY           |
| Comoros                               | KM           | Jersey                                 | JE           | Pitcairn                                     | PN           | Uzbekistan                                   | UZ           |
| Congo                                 | CG           | Jordan                                 | JO           | Poland                                       | PL           | Vanuatu                                      | VU           |
| Congo, the Democratic Republic of the | CD           | Kazakhstan                             | KZ           | Portugal                                     | PT           | Venezuela, Bolivarian Republic of            | VE           |
| Cook Islands                          | CK           | Kenya                                  | KE           | Puerto Rico                                  | PR           | Viet Nam                                     | VN           |
| Costa Rica                            | CR           | Kiribati                               | KI           | Qatar  | QA           | Virgin Islands, British                      | VG           |
| Cote d'Ivoire / Côte d'Ivoire         | CI           | Korea, Democratic People's Republic of | KP           | Reunion / Réunion                            | RE           | Virgin Islands, U.S.                         | VI           |
| Croatia                               | HR           | Korea, Republic of                     | KR           | Romania                                      | RO           | Wallis and Futuna                            | WF           |
| Cuba                                  | CU           | Kuwait                                 | KW           | Russian Federation                           | RU           | Western Sahara                               | EH           |
| Curacao / Curaçao                     | CW           | Kyrgyzstan                             | KG           | Rwanda                                       | RW           | Yemen  | YE           |
| Cyprus                                | CY           | Lao People's Democratic Republic       | LA           | Saint Barthelemy / Saint Barthélemy          | BL           | Zambia                                       | ZM           |
| Czech Republic                        | CZ           | Latvia                                 | LV           | Saint Helena, Ascension and Tristan da Cunha | SH           | Zimbabwe                                     | ZW           |
| Denmark                               | DK           | Lebanon                                | LB           | Saint Kitts and Nevis                        | KN           |  |              |
| Djibouti                              | DJ           | Lesotho                                | LS           | Saint Lucia                                  | LC           |  |              |
| Dominica                              | DM           | Liberia                                | LR           | Saint Martin (French part)                   | MF           |  |              |





## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case - the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals,(allowed to trade subject to RBI and FEMA guidelines), copy of passport/ PIOCard/ OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/ judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity( POI): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA): List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission.)

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

License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/ Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly /Parliament /Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following:  
Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/ sub account, Power of Attorney given by FII/ sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN (\*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

## Additional details for Investment

### Bank Details [Dividend Bank Details]

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

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)  
 (ii) Photocopy of the Bank Statement having name and address of the BO, (or)  
 (iii) Photocopy of the Passbook having name and address of the BO, (or)  
 (iv) Letter from the Bank.

• In case of options (ii), (iii) and (iv) above, MICR & IFSC code of the branch should be present / mentioned on the document.

### Other Depository Particulars

|  |  |  |  |  |  |           |  |  |  |  |  |
|--|--|--|--|--|--|-----------|--|--|--|--|--|
| Depository <input type="checkbox"/> CDSL <input type="checkbox"/> NSDL |  |  |  |  |  |           |  |  |  |  |  |
| DP Name  |  |  |  |  |  |           |  |  |  |  |  |
| DP ID  |  |  |  |  |  | Client ID |  |  |  |  |  |

Note: Attach separate sheet if you have more than one DP. • Please submit client master/latest demat holding statement showing above details

### Trading Preferences

| Exchange | Segment     | Signature of first holder | Exchange | Segment     | Signature of first holder |
|----------|-------------|---------------------------|----------|-------------|---------------------------|
| NSE      | Cash        | 5                         | BSE      | Cash        | 6                         |
| NSE      | Mutual Fund | 7                         | BSE      | Mutual Fund | 8                         |
|          | IPO         | 9                         |          |             |                           |

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

### Dealing Through Sub-broker / Authorized Persons and Other Stock Brokers

If you are dealing through any other stock broker/sub-broker of other stock broker/authorized person of other stock-broker, please provide a copy of the welcome letter/latest contract note issued by the other stock -broker

### Past Actions

Details of any action/ proceedings initiated/ pending/ taken by SEBI/ stock exchanges/ any other regulatory against the applicant/ constituent or its partners/ Promoters/ whole time directors/ authorized person in charge of dealing in securities during the last 3 years: \_\_\_\_\_

### Additional Details

|   |  |
|---|--|
| Whether you wish to receive physical contract note or Electronic Contract Note (ECN).   | <input type="checkbox"/> I wish to receive Electronic Contract Note, Funds and Securities statement my email is: _____<br><input type="checkbox"/> I wish to receive (physical) Contract Note  |
| Whether you wish to avail of the facility of Internet trading/ Wireless Technology  | <input type="checkbox"/> Yes <input type="checkbox"/> No   |
| Whether you wish to receive Other Mandatory Documents* by email<br><i>* Refer Index for List of Other Mandatory Documents</i>   | <input type="checkbox"/> Yes <input type="checkbox"/> No   |
| Whether you wish to receive Alert form Exchanges**<br><br><i>** For Terms &amp; Conditions, please refer our website <a href="http://www.investmentz.com">www.investmentz.com</a></i> | <input type="checkbox"/> Yes, I wish to receive Alerts through <input type="checkbox"/> SMS <input type="checkbox"/> Email <input type="checkbox"/> Both<br>Alerts should be sent on Mobile number/ E-mail ID given on KYC from first holder<br>Mobile number is register in the name of _____<br>Relationship with client: <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Other _____<br><small>(Only immediate relative, please specify relation)</small><br><input type="checkbox"/> No |

### Other Details

|                             |  |   |   |   |   |   |   |   |   |
|-----------------------------|--|---|---|---|---|---|---|---|---|
| Gross Annual Income Details | <b>Income Range per annum:</b><br><input type="checkbox"/> Up to Rs.1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs 5,00,000<br><input type="checkbox"/> Rs 5,00,000 to Rs 10,00,000 <input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000<br><input type="checkbox"/> More than Rs 25,00,000<br>Net worth Rs. _____ as on (Date) <table border="1" style="display: inline-table;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table><br><i>[Net worth should not be older than 1 year]</i> | D | D | M | M | Y | Y | Y | Y |
| D                           | D  | M | M | Y | Y | Y | Y |   |   |

Please tick (✓) , if applicable:  Politically Exposed Person (PEP)  Related to Politically Exposed Person (RPEP)  
 Politically Exposed Persons are defined as individuals who are or have been entrusted with prominent public functions in India and / or foreign country, e.g: Head of states or of Governments, Senior Politicians, Senior Government / Judicial / Military Officers, Senior Executives of States owned corporations etc.

Any other information: \_\_\_\_\_

## Nomination details

|                             |  |       |  |
|-----------------------------|--|-------|--|
| Nomination Registration No. |  | Dated |  |
|-----------------------------|--|-------|--|

**I /We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:**

- I/We do not wish to nominate any one for this investment account.
- I/We nominate the following person who is entitled to receive fund and security balances lying in my/our account, particulars whereof are given below, in the event of my / our death.

|                                   |  |          |   |   |   |   |   |   |   |
|-----------------------------------|--|----------|---|---|---|---|---|---|---|
| Full Name of the Nominee          |  |          |   |   |   |   |   |   |   |
| Address                           |  |          |   |   |   |   |   |   |   |
| City                              |  | State    |   |   |   |   |   |   |   |
| Country                           |  | PIN code |   |   |   |   |   |   |   |
| Telephone No.                     |  | Fax No.  |   |   |   |   |   |   |   |
| PAN                               |  | UID      |   |   |   |   |   |   |   |
| E-mail ID                         |  |          |   |   |   |   |   |   |   |
| Relationship with Client (If any) |  |          |   |   |   |   |   |   |   |
| Date of birth (mandatory)         |  | D        | D | M | M | Y | Y | Y | Y |

As the nominee is a minor as on date, to receive the fund and securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders, I/We appoint following person to act as **Guardian**:

|                           |  |          |  |  |  |  |  |  |  |
|---------------------------|--|----------|--|--|--|--|--|--|--|
| Full Name of the Guardian |  |          |  |  |  |  |  |  |  |
| Address                   |  |          |  |  |  |  |  |  |  |
| City                      |  | State    |  |  |  |  |  |  |  |
| Country                   |  | PIN code |  |  |  |  |  |  |  |
| Telephone No.             |  | Fax No.  |  |  |  |  |  |  |  |
| PAN                       |  | UID      |  |  |  |  |  |  |  |
| E-mail ID                 |  |          |  |  |  |  |  |  |  |
| Relationship nominee      |  |          |  |  |  |  |  |  |  |

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me/ us  
 Note: Two witnesses shall attest signature(s) / thumb impression(s)

### Details of the Witness

|                      | First Witness | Second Witness |
|----------------------|---------------|----------------|
| Name of witness      |               |                |
| Address of witness   |               |                |
| Signature of witness |               |                |

### Declaration

- I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet
- I/We further confirm having received, read and understood the contents of the "Rights and Obligations" document(s) pertaining to trading/investment account and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We also have been informed that the standard set of documents has been displayed for information on stock broker's designated website.
- The rules and regulations of the stock broker pertaining to an account which are in force now have been read by me/us and I/We have understood the same and agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting or suppression of any material fact, it will render my/our liable for termination and further action.
- I/We hereby confirm that we have complied with the applicable FEMA and RBI regulations and will continue to do so. (applicable for NRIs only)
- I/we further confirm having received a copy of KYC form

 10

Signature of First Holder

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

 1

Signature of Second Holder

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

 1

Signature of Third Holder

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

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

To,  
Asit C. Mehta Investment Intermediates Limited,  
"Nucleus House", Saki Vihar Road, Andheri (E), Mumbai 400072. INDIA.

Dear Sir,

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


This has reference to the SEBI circular MIRSD/SE/Cir-19/2009 dated Dec 03, 2009, Exchange Circular NSE/INSP/13606 dated Dec 03, 2009, clarification circulars NSE/INSP/14048 dated Feb 03, 2010 and NSE/INSP/21651 dated Sep 07, 2012, regarding quarterly/monthly settlement of running accounts of clients.

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

I/We hereby authorize you to maintain running account(s) for my/our transactions executed through Asit C. Mehta Investment Intermediates Limited on any of the stock exchanges/segment for both securities and funds with you. I/We also request you to consider the balances in my/our running fund/securities account with you for the purpose of margins/ all trade related liabilities due to you. I/we further authorize you to retain securities and funds upto Rs.10,000/- (net amount across segments and across Stock Exchanges) as permitted by Stock Exchanges while settling my/our account. I/We also authorize Asit C. Mehta Investment Intermediates Limited to consider the funds/securities so retained by Asit C Mehta Investment Intermediates Limited towards collateral margin and for allowing enhanced gross exposure to me/us. I/We agree that Asit C Mehta Investment Intermediates Limited shall not be liable for any claim for loss or loss of profit, or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such securities/funds.

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

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

|                     | Full Name | Signature   |
|---------------------|-----------|---|
| Sole / First Holder |           | 11<br> |

**DISCLOSURE ON PROPRIETARY TRADING (for information to client)**

With a view to increase the transparency in the dealings between the broker and the client, SEBI has come out with Circular No. SEBI/MRD/SE/Cir-42/2003 DATED 19th November, 2003 stating that every broker shall disclose to his client whether he does client based business or proprietary trading as well.

In view of the above, we Asit C. Mehta Investment Intermediates Ltd., having the membership of the BSE Ltd. and the National Stock Exchange of India Ltd., hereby disclose that we mainly do client based business only. As regards proprietary trading, we have an arbitrage desk for cash, and the company owns certain long term investments. We do not indulge in any speculative trades.


12  
 \_\_\_\_\_


**FEMA Declaration by NRI**

I/We hereby declare that all transactions, as may be entrusted by me/us to Asit C. Mehta Investment Intermediates Ltd. from time to time will be in conformity with the prevailing provisions of Foreign Exchange Management Act, Reserve Bank of India and the provision of all other applicable laws and the Rules and Regulations made there under as amended from time to time.

|                   |   |   |   |   |   |   |   |   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|-------------------|---|---|---|---|---|---|---|---|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| PIS Approval No.: |   |   |   |   |   |   |   |   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| PIS Expiry Date:  | D | D | M | M | Y | Y | Y | Y |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

Please submit copy of PIS approval letter.

13  
 \_\_\_\_\_  
1st Holder's Signature  
Name: \_\_\_\_\_

2  
 \_\_\_\_\_  
2nd Holder's Signature  
Name: \_\_\_\_\_

 \_\_\_\_\_  
Witness Signature  
Witness Name: \_\_\_\_\_

## FATCA-CRS Declaration & Supplementary KYC Information

### Declaration Form for Individuals

*Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance*

|  |                                       |   |   |  |   |  |   |                                   |                                       |
|--|---------------------------------------|---|---|--|---|--|---|-----------------------------------|---------------------------------------|
| PAN*   |                                       |   |   |  |   |  |   |                                   |                                       |
| Name   |                                       |   |   |  |   |  |   |                                   |                                       |
| Address Type<br><i>[for KYC address]</i>       | <input type="checkbox"/> Residential  | <input type="checkbox"/> Residential / Business | <input type="checkbox"/> Business       | <input type="checkbox"/> Registered Office |   |  |   |                                   |                                       |
| Place of Birth                                 |                                       |   |   | Country of Birth                           |   |  |   |                                   |                                       |
| Gross Annual Income Details in INR             | <input type="checkbox"/> Below 1 Lakh | <input type="checkbox"/> 1-5 Lacs               | <input type="checkbox"/> 5-10 Lacs      | <input type="checkbox"/> 10-25 Lacs        | <input type="checkbox"/> 25 Lacs - 1 Cr | <input type="checkbox"/> > 1 Crore   | Occupation Details<br>[Please tick any one (✓)] | <input type="checkbox"/> Business | <input type="checkbox"/> Professional |
| Net Worth in INR. In Lacs<br><i>[Optional]</i> | _____                                 |   |   |  |   | <input type="checkbox"/> Public Sector <input type="checkbox"/> Private Sector<br><input type="checkbox"/> Government Service<br><input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife<br><input type="checkbox"/> Student <input type="checkbox"/> Retired<br><input type="checkbox"/> Forex Dealer<br><input type="checkbox"/> Others [Please specify] _____ |   |                                   |                                       |
| Net Worth Date <i>[Optional]</i>               | dd - mmm - yyyy                       |   |   |  |   |  |   |                                   |                                       |
| Politically Exposed Person [PEP]               | <input type="checkbox"/> Yes          | <input type="checkbox"/> Related to PEP         | <input type="checkbox"/> Not Applicable |  |   |  | information<br><i>[if applicable]</i>           | <i>[Please specify]</i>           |                                       |

\* If PAN is not available, please specify Folio No(s)

Is your Country of Tax Residency other than India –  Yes  No

If 'Yes', please specify the details of all countries where you hold tax residency and its Tax Identification Number & type

| S. No. | Country of Tax Residency # | Tax Payer Identification Number / Functional Equivalent | Identification Type<br><i>[TIN or other, please specify]</i> |
|--------|----------------------------|---|--|
| 1      |                            |   |  |
| 2      |                            |   |  |
| 3      |                            |   |  |

# to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA

**Declaration:**

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize you to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same

Date:

Signature:

Place:



**Declaration by the KARTA (Mandatory for HUF account)**

To

M/s. Asit C Mehta Investment Intermediates Limited.,  
 "Nucleus House", Saki Vihar Road. Andheri (E). Mumbai 400 072. INDIA.

Dear Sir,

I, the undersigned and the Karta of \_\_\_\_\_ (HUF), discloses following details of our HUF and all its co parceners;

| 1. | Name | Date of birth |   |   |   |   |   |   |   | Relationship | Signature |
|----|------|---------------|---|---|---|---|---|---|---|--------------|-----------|
|    |      | d             | d | m | m | y | y | y | y |              |           |
| 2. |      | d             | d | m | m | y | y | y | y |              |           |
| 3. |      | d             | d | m | m | y | y | y | y |              |           |

I hereby, state that details mentioned as above are true and any change/update in them would be intimated to you in writing.

Thanking you,

Yours faithfully,

Signature of the Karta along with HUF Stamp:

Name of the Karta: \_\_\_\_\_ Place: \_\_\_\_\_ Date: \_\_\_\_\_

**Verification by Bank Official (Take precaution to mention correct details and your verification)**

Signature and photograph of client verified from Bank A/C No. \_\_\_\_\_ and DP BO DP A/C No. \_\_\_\_\_ as mentioned in the above section of Bank Details & Depository Particular section, along with relevant details of other joint holders as mentioned in above section of details of Other Account Holders in trading client's depository account.

Bank Name

Branch Name

Branch Code

Branch Official's Name

Branch Official's Designation



Branch Official's Signature & Date along with stamp:

**Common Email/Mobile number declaration**

**The relationship mentioned in the given space should only be that of dependent parents, dependent child, spouse or self).**

To,  
 Asit C Mehta Invetment Intermediates Ltd  
 Nucleus House, Savi Vihar Road  
 Andheri (East  
 Mumbai 400072

Date:

**Sub: Updation of Mobile number and Email id**

I request you to update the given mobile number and Email id for Account opening form submitted and hereby declare the Mobile number \_\_\_\_\_ and email id \_\_\_\_\_ belongs to \_\_\_\_\_ (Mention relationship).

Signature

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*This page is intentionally left blank*

**POWER OF ATTORNEY**

Document No: 3 - POA for online IPO

I/We, \_\_\_\_\_ (First Holder),  
\_\_\_\_\_ (Second Holder) residing  
at/having registered office at, \_\_\_\_\_

\_\_\_\_\_ hereby appoint Asit C. Mehta Investment Intermmediates Ltd. (hereafter referred as  
ACMIIL), member of the Bombay Stock Exchange Ltd. (hereafter referred as BSE), the National Stock Exchange of India Ltd.  
(hereafter referred as NSE), Depository Participant of Central Depository Services Ltd., and a Company registered under the  
Companies Act, 1956 and having its registered office at Nucleus House, 5th Floor, Saki Vihar Road, Andheri (E), Mumbai 400 072, as  
my/our attorney.

I/we also have bank account (type of account) \_\_\_\_\_ and (account number) \_\_\_\_\_ for banking and  
depository account (Account number) \_\_\_\_\_ with \_\_\_\_\_ bank / depository participant  
office.(hereafter refer as Bank)

**WHEREAS**

1. I/we am/are desirous to apply/subscribe/purchase/Bid for the Initial Public Offers (IPO)/Mutual Fund schemes/Offers for Sale/ Buy Back/Rights Issue/Redemption, etc. of Securities of the companies offered through Online-IPO Module of the BSE & NSE as may be relevant thereto and/or through any other mode of application and/or in any other investment avenues from time to time.
2. I/We have bank and depository accounts (as referred to above) with Bank and would like the funds in the said bank account to be utilized for the purpose of providing funds to applying/subscribing/purchasing/Bidding for the Initial Public Offers (IPO)/Offers for Sale/ Buy Back/Rights Issue/Redemption, etc. of Securities/Mutual Fund Schemes/Fixed Deposits/Debentures/Units of Mutual Funds (MF) and Unit Trust of India/any other securities/Investments, etc., of the companies offered through Online-IPO Module of the BSE & NSE, as may be relevant thereto and/or through any other mode of application and/or in any other investment avenues, offered by ACMIIL and /or through its website www.investmentz.com / www.asitmehta.com
3. The Securities interalia will include shares, stocks, derivatives, bonds, fixed deposits, Mutual Fund schemes, Units of Unit Trust of India and Mutual Fund Units, Debentures, securities of any State Government, Central Government, or Union Government, and investments in any other financial instruments.
4. I/we propose to appoint ACMIIL, ordinarily carrying on business of Stock and Securities Broking and providing services either directly to clients, or through their website www.investmentz.com / www.asitmehta.com to apply/subscribe/purchase/Bid for the Initial Public Offers (IPO)/Mutual Fund schemes/Offers for Sale/Buy Back/Rights Issue/Redemption, etc. of Securities of the companies offered through Online-IPO Module of the BSE & NSE as may be relevant thereto and/or through any other mode of application and/or in any other investment avenues, offered on the said web-site, or through their bidding terminals, or through the services provided by Merchant Bankers/Syndicate Members, to be my true and lawful attorney to apply/subscribe/purchase/bid the said shares and securities and to do all acts and things in that behalf. I/we shall be responsible for keeping the user name and password of website, confidential and secure & shall be solely responsible for all instructions given by me/us or any person whosoever through the website or through any other communication using secure authentication process, using the user name and / or password whether or not such person was authorised to do so.

NOW KNOW YOU ALL AND THESE PRESENT WITNESSES that I/we, Mr./M/s. \_\_\_\_\_  
\_\_\_\_\_, hereby appoint and constitute ACMIIL, to be my/our true and  
lawful attorney with full power or authority to do and execute the following acts, deeds and things in my/our  
name, on my/our behalf, and for me, viz:

1. To apply/subscribe/purchase/Bid for the Initial Public Offers (IPO)/Mutual Fund schemes/Offers for Sale/Buy Back/Rights Issue/Redemption, etc. of Securities of the companies offered by ACMIIL and /or through its website www.investmentz.com as per the instructions made available to them by me/us using electronic mail or through any other mode as specified by ACMIIL.
2. To sign all applications relating to such Initial Public Offers (IPO)/Mutual Fund schemes/Offers for Sale/ Buy Back/Rights Issue/Redemption, etc. of Securities.

16  


4  






- 3 To use/debit the monies provided in the bank account with Bank, for the purpose of applying/subscribing/purchasing/Bidding for the Initial Public Offers (IPO)/Mutual Fund schemes/Offer for Sale/Buy Back/Rights Issue/redemption etc of Securities.
4. To deposit/transfer the securities, on allotment, to my/our Beneficiary Ownership depository account with Bank.
5. To credit all refunds, if any, received by way of cancellation/rejection/regret/ redemption of application for subscription to the bank accounts.
6. To do all other acts and things as may be necessary to effect the application / subscription / purchase / bid / redemption of the said IPO/shares and securities/units as the case may be.
7. We have our pool account number 12013200 00000568 for BSE and 12013200 00003837 for NSE. We also have margin account for F&O for collateral shares as 12013200 00010941.

ACMILL shall not be liable for any loss that may result from insufficient credit balance or my failure/inability to make available the requisite funds to bank account with Bankl, for any reason whatsoever.

AND I, hereby agree to confirm, approve, ratify, adopt and abide by all lawful acts, statements and things done by my attorney/Member Broker in connection with the aforesaid acts, deeds, matters and things and his explanations and statements will be binding on me, pursuant to the powers hereinbefore contained.

IN WITNESS WHEREOF I/WE Mr/M/s..... have put my hand this .....day of.....20\_\_\_\_

|            | Client / First Holder<br>of the depository account                                     | Second Holder<br>of the depository account  |
|------------|--|---|
| Full Name  |  |   |
| Signature: |  17 |  5 |
| Place:     |  |   |
| Date:      |  |   |

Signature of Constituted Attorney  
For Asit C. Mehta Investment Intermediates Ltd.

Please note: All the above information should be provided in full like Full Name, and Signature of all account holders should be in the same order & as per those given your depository account with the Bank.

POA Registration number : 

|   |   |   |  |  |  |  |  |  |  |
|---|---|---|--|--|--|--|--|--|--|
| A | P | B |  |  |  |  |  |  |  |
|---|---|---|--|--|--|--|--|--|--|

Date: 

|   |   |   |   |   |   |   |   |
|---|---|---|---|---|---|---|---|
| d | d | m | m | y | y | y | y |
|---|---|---|---|---|---|---|---|



**For office use only**

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

|                                | Documents Verified with original by | Client Interviewed by | In-Person Verification done by |
|--------------------------------|-------------------------------------|-----------------------|--------------------------------|
| Name of the Employee/ Official |                                     |                       |                                |
| Employee Code / RC Number      |                                     |                       |                                |
| Designation                    |                                     |                       |                                |
| Date                           |                                     |                       |                                |
| Signature                      |                                     |                       |                                |

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



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

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

\_\_\_\_\_  
Seal/Stamp of the Stock broker

**Cheque/ instrument details:**

Details of cheque submitted by client: \_\_\_\_\_

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

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

Special Scheme No. / Stamp (if any): \_\_\_\_\_

RC Number of Account mapping: \_\_\_\_\_

**Brokerage Details**

| Segment          | Brokerage Scheme Number |
|------------------|-------------------------|
| Cash - Delivery  |                         |
| Cash - Intra Day |                         |
| Mutual Fund      |                         |

**Approver Details**

I authorize the following, towards account opening of the client. Please process the application.

1. Approved by Name: \_\_\_\_\_

2. Designation: \_\_\_\_\_, Employee / RC Code \_\_\_\_\_

3. Details of Approval: Waiver of Charges / Special scheme Approve / Reduces

4. Signature of the approver: \_\_\_\_\_

# Asit C. Mehta

INVESTMENT INTERMEDIATES LTD.

Nucleus House, Saki Vihar Road, Andheri (E), Mumbai 400072. INDIA  
Tel.: 022 - 2858 3333 Fax: 022 - 2857 7647 Website: www.investmentz.com  
Email: customerservice@acm.co.in; investorgrievance@acm.co.in  
CIN: U65990MH1993PLC075388

## Management:

Chairman and Whole-time Director: Mr. Asit C. Mehta  
Designated Directors : Mrs. Deena A. Mehta & Mr. Kirit H. Vora

## SEBI / Regulatory Registration nos of Group Company

- BSE: INB/INF 010607233
- NSE: INB/INF/INE 230607239
- Merchant Banking: INM000010973
- DP Reg: IN-DP-CDSL-28-99
- DP ID -CDSL12013200
- MSEIL: INB/INF/INE 260607230
- Research Analyst: INH000002483
- PMS: INP000005801

## FMC / Spot Regulatory Registration Nos:

- MCX: 10315
- CAI : BR 451
- NSEL: 13455

## Membership:

NSE: Cash, Derivatives, Debt & Currency Derivatives  
BSE: Cash & Derivatives  
Metropolitan Stock Exchange of India Ltd.  
SEBI: Merchant Banking category 1 /Research Analyst/PMS  
CDSL: Depository Participant  
FEDAI: Foreign Exchange (through associate company)  
Commodities: MCX, NSEL & COTTON ASSOCIATION OF INDIA (through associate company)

## Principal Banker:

State Bank of India

## Call and Trade No.:

022- 2858 4444