

Form No: _____

Branch/AP Tag : _____ Group Tag : _____

Intro Tag : _____ Dealer Tag : _____

Please download our trading app from App store:
"Nikunj Online Trading"



CLIENT REGISTRATION BOOKLET

For Individuals & Non-Individuals

For NSE (CM, FO, CD)

For BSE (CM, FO, CD)

For MCX (Commodity Derivatives)

For NSDL & CDSL (Demat)

Unique Client Code (UCC): _____

Demat - NSDL DP ID : **IN302994** BO Id : **10** _____

Demat - CDSL DP ID : _____ BO Id : _____

Name : _____

PAN : _____

Mobile : _____

Email : _____



NIKUNJ STOCK BROKERS LTD.

www.nikunjonline.com

DOCUMENTS REQUIRED - CHECKLIST

FOR INDIVIDUAL

DOCUMENTS OF INDIVIDUAL

- Pol PoA Bank & MICR/IFSC Proof Income Proof Proof of Demat A/c
(Provide any one proof of each, as per table below)
- Photograph pasted on page 3 & signed across

DOCUMENTS OF NOMINEE (required, if nomination facility is chosen)

- Photograph pasted on page 10

FOR HUF

DOCUMENTS OF HUF

- Pol PoA Bank & MICR/IFSC Proof Income Proof Proof of Demat A/c
(Provide any one proof of each, as per table below)

DOCUMENTS OF COPARCENERS

- Pol PoA Bank & MICR/IFSC Proof Income Proof Proof of Demat A/c
(Provide any one proof of each, as per table below)

DOCUMENTS OF KARTA (Individual member in whose name HUF is formed)

- Photograph pasted on page 6
- Pol PoA (Provide any one proof of each, as per table below)

SIGNATURES OF ALL COPARCENERS (family members other than Karta)

- Signatures on page 6 / Deed of declaration of HUF (any one)

FOR CORPORATE

DOCUMENTS OF CORPORATE

- Pol PoA Bank & MICR/IFSC Proof Income Proof Proof of Demat A/c
(Provide any one proof of each, as per table below)
- Board Resolution for investment in securities market with name of authorised signatory(ies) and mode of operations (jointly or severally) (on company letterhead)
- List of authorised signatories with specimen signature (on company letterhead)
- FATCA cum UBO Declaration
- Articles & Memorandum of Association (Along with Certificate of Incorporation)
- Latest shareholding 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 / WTD / MD (to be submitted every year)
 - In case corporate shareholder holding more than 25% shares, shareholding pattern of that corporate is also required
- Balance Sheets for last 2 financial years (to be submitted every year)

DOCUMENTS OF ALL WHOLE TIME DIRECTORS (WTD) / TWO DIRECTORS IN CHARGE OF DAY TO DAY OPERATION

- Photograph pasted on page 6
- Pol PoA (Provide any one proof of each, as per table below)

DOCUMENTS / SIGN OF ALL AUTHORISED SIGNATORY(IES)

- Photographs on page 6 / on letterhead of company
- Signatures on page 6 / on letterhead of company

DOCUMENTS OF ALL INDIVIDUAL PROMOTERS HOLDING CONTROL EITHER DIRECTLY OR INDIRECTLY

- Photograph pasted on page 6
- Pol PoA (Provide any one proof of each, as per table below)

FOR PARTNERSHIP FIRM

DOCUMENTS OF PARTNERSHIP FIRM

- Pol PoA Bank & MICR/IFSC Proof Income Proof Proof of Demat A/c
(Provide any one proof of each, as per table below)
- Certificate of Registration (in case of registered Partnership Firms Only)
- Partnership Deed
- Authority letter (• download format from www.nikunonline.com/download.aspx)
- Balance Sheet for last 2 financial years (to be submitted every year)

DOCUMENTS OF ALL PARTNERS

- KYC of all partners (Download from www.nikunonline.com/download.aspx)
- Demat A/c will be opened in the name of partners
- Photograph pasted on page 6
- Pol PoA (Provide any one proof of each, as per table below)

DOCUMENTS & SIGN OF ALL AUTHORISED SIGNATORY(IES)

- Photographs on page 6

SOLE PROPRIETOR

- Sole Proprietor must make the application in his INDIVIDUAL name & capacity only
- If you are submitting bank details of Proprietorship firm as bank / income proof, please provide letter from bank certifying name of individual proprietor

Please ensure

1. Proof of Identity (Pol)	<ul style="list-style-type: none"> If Name/Photo/Signature on PAN Card is not clear, then submit additional Pol Copy of PAN Card is mandatory for all applicants (except for applicants residing in state of Sikkim)
2. Proof of Address (PoA)	<ul style="list-style-type: none"> If correspondence & permanent addresses are different, then proofs for both should be submitted Address in proof should match with address in KYC form In case of Individual - PoA in name of spouse may be accepted. In such case proof to establish relationship such as ration card, Passport, Marriage Certificate should be provided Office/Business/Shop Address if not acceptable as permanent address in case of individual
3. Bank + MICR/IFS Code Proof	<ul style="list-style-type: none"> Proof should contain IFS Code (11 digits) / MICR Code (9 digits) of Bank If name is not pre-printed on cheque - then submit additional proof containing the Bank A/c number and Name of Client
4. Income Proof	<ul style="list-style-type: none"> Mandatory if you wish to trade in Derivatives (F&O/Currency/Commodity) segments
5. Demat A/c Proof	<ul style="list-style-type: none"> Not required if you are opening new Demat a/c (fill form on page 9)

* Documents should not be more than 3 months old

** Documents having expiry date should be valid on the date of submission

INDEX

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES/DP

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form	A. CKYC Form - Document captures the basic information about the individual constituent.	3-4
		KYC Form for non-individual constituent	5-6
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list.	7-8
2.	Demat Account Opening Form	Document captures the basic and additional information about the constituent(s)	9-11
3.	Tariff Sheet	Documents detailing the I. Rate/Amount of brokerage and other charges levied on the client for trading on the stock exchange(s) II. Rate/Amount of charges levied by Depository Participant	2
4.	Most Important Terms and Conditions (MITC)	Most Important Terms and Conditions (MITC)	12
5.	FATCA & CRS Declaration for Individual & Non-Individual	FATCA & CRS Declaration for Individual & Non-Individual	13
6.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ trading member and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Annexure A
7.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities/currency/commodities derivative market.	Annexure B
8.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Annexure C
9.	Policies and Procedures	Document describing significant policies and procedure of the stock broker.	Annexure D
10.	Rights & Obligations for Demat A/c	Document stating the Right & Obligations for Beneficial owner and DP	Annexure E

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Demat Debit and Pledge Instruction (DDPI)	Demat Debit and Pledge Instruction	14
2.	Electronic Contract Note	Document authorising to send all contract note/bills, statement of account/ ledger in digital/electronic on provided email id by client.	15
3.	Letter of Authority, Running Account Authorisation and Standing Instructions	Letter of Authority & Other instructions given by the client to the stock broker for smooth operation of the trading account.	16-18
4.	Client Profile	Client Profile	19

Note : Annexure A, B, C, D, E as specified above are supplied to the constituent in electronic form or physical form as per the preference of the constituent.

Name of stock broker/trading member/clearing member: **NIKUNJ STOCK BROKERS LTD.**

Corporate Identification No. (CIN) :

U74899DL1994PLC060413

SEBI Registration No. :

INZ000169335 • Depository Participant : IN-DP-89-2015

Membership Code :

BSE : 6645, NSE : 06913, MCX : 16505

Registered and Correspondence office address:

A-92, GF, Left Portion, Kamla Nagar, Delhi-110007

Ph: 011-47030000-01, E-mail : info@nikunjonline.com

Compliance officer name, phone no. & email id: **Ms. Monika, 011-47030017-18, (M) 8700240043, complianceofficer@nikunjonline.com**

CEO name, phone no. & email id : **Mr. Pramod Kumar Sultania, 011-47030015, pramodsultania@nikunjonline.com**

Clearing Member Details : We are self-clearing member in F&O Segment

Clearing Member Details for Commodity Derivatives & CDS Segment : Globe Derivatives & Securities Ltd., SEBI Registration No INZ000312637

DISCLOSURE OF PROPRIETARY TRADING

In pursuance of SEBI Circular No. SEBI/MRD/Cir-42/2003 dated November 19, 2003, we wish to inform you that we do proprietary business also in addition to clients business. Kindly take note of the above and oblige.

BROKERAGE STRUCTURE

I have read and understood the brokerage and other charges levied by the Broker. I further understand that, in addition to Brokerage and other charge as defined below, I am liable to be charged the following charges: Exchange Transaction Charges, Stamp Duty, STT, GST etc on actual basis as applicable on the date of trade. Besides the statutory and exchange charges. I agree that the following brokerage & other charges will be applied on the trade executed by me.

Segment Charges	Cash Segment				Future & Option Segment			Currency Derivatives Segment			Commodity Derivatives Segment	
	Square Up Transaction		Delivery Transaction		Future		Option	Future		Option	Future	Option
	Percentage (%)	Minimum Paise (Per Share)	Percentage (%)	Minimum Paise (Per Share)	Percentage (%)	Minimum Paise (Per Share)	Rs. Per Lot	Percentage (%)	Minimum Paise (Per Share)	Rs. Per Lot	Percentage (%)	Rs. Per Lot
Brokerage												
Other Charges												

Note :

1. Rs. 25/- will be charged minimum per script per day.
2. Transaction charges will be levied extra as per Company policy as applicable from time to time.
3. The Company reserves the right to review brokerage, transaction charges and other charges after one year within limits set by SEBI, with sufficient prior notice.



Client Signature

DEMAT TARIFF SHEET - NSDL/CDSL

Charge Head	Charges	Transaction Charges		
Annual Maintenance Charges	Rs. 260/- (Individual / HUF)	Delivery	Market Trade	Rs. 15/- per Debit Instruction
Lifetime DP AMC Charges	Rs. 1000/- (Individual / HUF)		Off Market Trade	0.015% or Rs. 15/- whichever is higher
Half Yearly Maintenance Charges	Rs. 500/- (Corporate)	Creation of Pledge	Margin Pledge	Rs. 10/- Per Instruction
Escrow Account	As per Agreement		Other Pledge	0.01% or Rs. 50/- Per Instruction whichever is higher
NRI Clients other than US Based	As per Agreement	Closer/ Invocation of Pledge	Margin Pledge	Rs. 10/- Per Instruction
US Based NRI Clients	As per Agreement		Other Pledge	Rs. 50/- Per Instruction
OCB Account	As per Agreement	Securities Borrowing		Rs. 40/- Per Instruction
		Dematerialisation		0.002% of the value or Rs. 10/- Per Certificate whichever is higher
		Rematerialisation		Rs. 50/- Per Certificate
		Delivery Instruction Book		Rs. 20/- Per book for 10 slip (First Book Free)

NOTES :

1. Any service not listed above will be charged for extra.
2. Annual charges will be levied w.e.f. 1st Day of the quarter in which accounts is opened.
3. Charges for modification in client master is Rs. 25/- per instance.
4. Charges for delivery instruction accepted at client's sole risk beyond NSDL deadline, Rs. 20/- per delivery slip, Delivery instruction slip must be received at Office Address: A-92, GF, Left Portion, Kamla Nagar, Delhi-110007, within NSDL stipulated deadline.
5. Non-periodic statement and other communication shall be charged @ Rs. 5/- per page and postage/courier charges @ Rs.40/- per mail.
6. In case of foreign correspondence address, in addition to annual account maintenance charges. Statement/ communication charges @ Rs. 50/- per mail shall be charges extra.
7. In case of any upward revision in schedule of charges, 30 days notice would be given by post/courier,
8. Taxes will be charged as per applicable rates.
9. "As per SEBI circular CIR/MRD/DP/22/2012 dt. 27th August 2012, an individual client is eligible for Basic Service Demat Account (BSDA), subject to terms & conditions given by SEBI, who proposes to have only one demat account across all depositories where they are the sole or first holder and value of securities does not exceed Rs. 2 Lakhs at any point of time. To open demat account under BSDA, sign separate charge master available at our office."



First Holder Signature

Second Holder Signature

Third Holder Signature

BROKERAGE APPROVAL (if required)

Name of Approving Officer :

Designation : Branch / Location :

Date :

Signature of Branch Head /
Zonal Head / Director

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.



NIKUNJ STOCK BROKERS LTD.

For office use only (To be filled by financial institution)

Application Type* New Update

KYC Number (Mandatory for KYC update request)

Account Type* Normal Simplified (for low risk customers) Small

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

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

PHOTO

Signature / Thumb Impression

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

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

ISO 3166 Country Code of Jurisdiction of Residence*

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

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

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

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

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

4. PROOF OF ADDRESS (PoA)*

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

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

Address Type* Residential / Business Residential Business Registered Office Unspecified

Proof of Address* Passport Driving Licence UID (Aadhaar)
 Voter Identity Card NREGA Job Card Others please specify
 Simplified Measures Account - Document Type code

Address

Line 1*

Line 2

Line 3

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

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

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

Line 1*
Line 2
Line 3 City / Town / Village*
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 City / Town / Village*
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* 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 [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

A- Passport Number Passport Expiry Date --
 B- Voter ID Card
 C- PAN Card
 D- Driving Licence Driving Licence Expiry Date --
 E- UID (Aadhaar)
 F- NREGA Job Card
 Z- Others (any document notified by the central government) Identification Number
 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]
Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
IPV Date <input type="text"/> - <input type="text"/> - <input type="text"/> Place <input type="text"/>	Name NIKUNJ STOCK BROKERS LTD.
Emp. Name <input type="text"/>	Code IN0346
Emp. Code <input type="text"/>	<input type="text"/> [Institution Stamp]
Emp. Designation <input type="text"/>	
Emp. Branch <input type="text"/>	
<input type="text"/> [Employee Signature]	



NIKUNJ STOCK BROKERS LTD.

CIN : U74899DL1994PLC060413

Regd. & Corp. Office: A-92, GF, Left Portion, Kamla Nagar, Delhi-110007

Tel: 011-47030000-01, email: info@nikunjonline.com

Acknowledgement No.

KNOW YOUR CLIENT (KYC) Application Form - For Non-Individual

Please fill this form in ENGLISH and in BLOCK LETTERS

(Please tick ✓ the box on left margin of appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding row)

A IDENTITY DETAILS

Name of the Applicant _____

Date of Incorporation _____ Place of Incorporation _____

Date of commencement of business _____

Permanent Account Number (PAN) _____

Registration No. (e.g. CIN) _____

Status (Please tick any one)

Private Limited Co. Public Ltd. Co. Body Corporate Partnership

Trust Charities NGO's FI FII

HUF AOP Bank Government Body Non-Government Organization

Defense Establishment BOI Society LLP Others (Please specify)

PHOTOGRAPH

Please affix the recent passport size photograph of Authorized Signatory with signature across it.

B ADDRESS DETAILS

Correspondence Address _____

City / Town / Village _____ Pin Code _____

State _____ Country _____

Contact Details

Tel. (Off.) _____ Fax _____

Tel. (Res.) _____ Mobile No _____

E-Mail Id. _____

Specify the Proof of Address submitted for Correspondence Address: _____

Registered Address (If different from above) _____

City / Town / Village _____ Pin Code _____

State _____ Country _____

C OTHER DETAILS

Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and whole time directors : _____
If space is insufficient, enclosed these details separately (illustrative format enclosed)

DIN OF Whole time directors : _____
If space is insufficient, enclosed these details separately (illustrative format enclosed)

AADHAR No. OF Promoters/Partners/Karta : _____
If space is insufficient, enclosed these details separately (illustrative format enclosed)

D DECLARATION

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.

Date _____



Name & Signature of the Director/Authorised Signatory(ies)

FOR OFFICE USE ONLY

Originals Verified & Self Attested Document copies received

Name & Signature of the Authorised Signatory

Date _____ Place : _____

Seal/Stamp of the Intermediary

Details of Promoters/Directors/Partners/Karta/Co-parceners/Trustees forming a part of Know Your Client (KYC) Application Form for Non-Individuals

<p>1. Name _____</p> <p>2. Relationship with Applicant (i.e. promoters, whole time directors etc.) _____</p> <p>3a. PAN _____ 3b. DIN/ UID _____</p> <p>4. Residential/ Registered Address _____</p> <p>_____</p> <p>City / Town / Village _____ Pin Code _____</p> <p>State _____ Country _____</p> <p>5. Please tick, if applicable : <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (PEP)</p>	<p>PHOTOGRAPH</p> <p>Please affix your recent passport size photograph and sign across it</p>
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<p>1. Name _____</p> <p>2. Relationship with Applicant (i.e. promoters, whole time directors etc.) _____</p> <p>3a. PAN _____ 3b. DIN/ UID _____</p> <p>4. Residential/ Registered Address _____</p> <p>_____</p> <p>City / Town / Village _____ Pin Code _____</p> <p>State _____ Country _____</p> <p>5. Please tick, if applicable : <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (PEP)</p>	<p>PHOTOGRAPH</p> <p>Please affix your recent passport size photograph and sign across it</p>
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<p>1. Name _____</p> <p>2. Relationship with Applicant (i.e. promoters, whole time directors etc.) _____</p> <p>3a. PAN _____ 3b. DIN/ UID _____</p> <p>4. Residential/ Registered Address _____</p> <p>_____</p> <p>City / Town / Village _____ Pin Code _____</p> <p>State _____ Country _____</p> <p>5. Please tick, if applicable : <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (PEP)</p>	<p>PHOTOGRAPH</p> <p>Please affix your recent passport size photograph and sign across it</p>
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<p>1. Name _____</p> <p>2. Relationship with Applicant (i.e. promoters, whole time directors etc.) _____</p> <p>3a. PAN _____ 3b. DIN/ UID _____</p> <p>4. Residential/ Registered Address _____</p> <p>_____</p> <p>City / Town / Village _____ Pin Code _____</p> <p>State _____ Country _____</p> <p>5. Please tick, if applicable : <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (PEP)</p>	<p>PHOTOGRAPH</p> <p>Please affix your recent passport size photograph and sign across it</p>
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<p>1. Name _____</p> <p>2. Relationship with Applicant (i.e. promoters, whole time directors etc.) _____</p> <p>3a. PAN _____ 3b. DIN/ UID _____</p> <p>4. Residential/ Registered Address _____</p> <p>_____</p> <p>City / Town / Village _____ Pin Code _____</p> <p>State _____ Country _____</p> <p>5. Please tick, if applicable : <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (PEP)</p>	<p>PHOTOGRAPH</p> <p>Please affix your recent passport size photograph and sign across it</p>
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Name & Signature of the Authorised Signatory(ies)

Date | d | d | / | m | m | / | y | y | y | y |



NIKUNJ STOCK BROKERS LTD.

TRADING & DEMAT ACCOUNT RELATED ADDITIONAL DETAILS

BANK ACCOUNT DETAILS

(Through which transactions will generally be routed)

Primary Bank Details (for DP and Trading) :

Bank Name : Branch :
Account No. : Address :
11 Digit RTGS / NEFT / IFS Code : 0 9 Digit MICR Code :
Account Type : Savings Current OTHERS : (Please Specify)

DEPOSITORY ACCOUNT DETAILS

(Through which transactions will generally be routed)

I/We want to open New Demat A/c (Please fill details on Page No. 9)
 I/We already have Demat A/c (Please Provide following details)
Depository Name : CDSL NSDL DP ID : BOID :
Name of Depository Participant :
 Demat A/c Proof submitted : Client Master Transaction or Holding statement
(with Client Name, PAN, DP & Client ID)

FACILITIES

Whether you wish to receive Contract Note: Electronic Physical
Whether you wish to receive Standard documents*: Electronic Physical

*Standard Documents -Rights & Obligations, Risk Disclosure Document, Guidance Note and Policies & Procedures
Please mention E-mail ID in KYC form (Page 3 - Individual / Page 5 - Non-Individual)

I/We wish to avail facility of internet trading / wireless technology : Yes No

TRADING HISTORY

Trading Experience / Number of Years of Investment

___ Years in Equities ___ Years in Derivatives ___ Years in other Investment related fields No Prior Experience

If you are dealing with any other stock broker, please provide following detail

Name of the Stock Broker
Client Code (UCC) Exchange : NSE BSE MCX

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

In case dealing with multiple stock brokers, please provide details of all. (Please Specify)

Past Actions

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

(Please Specify)

INCOME, EDUCATION & OTHER DETAILS

Gross Annual Income Detail Below 1 Lac 1 - 5 Lac 5 - 10 Lac Rs. 10 - 25 Lac 25 Lac - 1 Crore > 1 Crore

Net-worth in ₹. (*Net worth should not be older than 1 year) as on (date) 2 0 (Mandatory for Non-Individual Client)

Occupation Private Sector Service Public Sector Government Service Business Professional Agriculturist
 Retired Housewife Student Forex Dealer Other (Please Specify)

Educational Details : High School Graduate Post-Graduate Doctorate Professional Degree
 Under High School Illiterate Other (Please Specify)

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

In case of Non-Individual, provide held details as page 6.

Is the entity involved providing any of the following services

- For Foreign Exchange / Money Changer Services Yes No
- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) Yes No
- Money Lending / Pawning Yes No



TRADING PREFERENCE

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

EXCHANGE	SEGMENT			
	CASH	F & O*	CURRENCY*	COMMODITY
NSE	5a	5b	5c	
BSE	5d	5e	5f	
MCX				5g

* If you wish to trade in derivatives (F&O/Currency) segments, submit **ANY ONE** of the following income proof (Mandatory)

- | | |
|---|--|
| <input type="checkbox"/> Bank Statement/Passbook (For atleast 6 months period and last entry should not be older than 3 months) | <input type="checkbox"/> Latest Net worth Certificate by CA/CS |
| <input type="checkbox"/> Demat A/c Holding Statement (with Value & duly stamped by DP) | <input type="checkbox"/> Self Declaration along with relevant Supporting documents |
| <input type="checkbox"/> Latest ITR Acknowledgement | <input type="checkbox"/> Latest Annual Accounts |
| <input type="checkbox"/> Latest Salary Slip/Copy of Form 16 | <input type="checkbox"/> Any Other relevant documents substantiating ownership of assets |

DETAIL OF INTRODUCER AND AUTHORISED PERSON

<input type="checkbox"/> Authorised Person	Registration No. <input type="text"/>	Name : <input type="text"/>
<input type="checkbox"/> Remisier / BDR	Code : <input type="text"/>	Name : <input type="text"/>
<input type="checkbox"/> Introducing client	UCC : <input type="text"/>	<input type="text" value="Signature of the Introducer"/>

DECLARATION

- 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 on 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/We declare that Nikunj Stock Brokers Limited, the brokers, has put me/us on notice that it is engaged in not only client based trading but also in pro-account trading.

CLIENT SIGNATURE			
	First / Sole Holder	Second Holder	Third Holder
Sign of Client	6		

FOR OFFICE USE ONLY

UCC :

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

FOR & ON BEHALF OF NIKUNJ STOCK BROKERS LIMITED

Name :

Signature :

Date :

(Seal / Stamp of Nikunj Stock Brokers Ltd.)



DEMAT ACCOUNT OPENING FORM - NSDL/CDSL

NOMINATION FORM - TRADING AND DEMAT ACCOUNTS

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

DATE	D	D	M	M	Y	Y	Y	Y	UCC								
------	---	---	---	---	---	---	---	---	-----	--	--	--	--	--	--	--	--

DP ID									Client ID								
-------	--	--	--	--	--	--	--	--	-----------	--	--	--	--	--	--	--	--

I/We wish to make a nomination. [As per details given below]

NOMINATION DETAILS

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

Nomination can be made upto three nominees in the account		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the nominee(s) Mr./Ms.)			
2.	Share of each Nominee	Equally [If not equally, please specify percentage] %	%	%
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>				
3.	Relationship with the Applicant (if any)			
4.	Address of Nominee(s) City / Place State / Country PIN Code			
5.	Mobile/Telephone No. of Nominee(s)			
6.	Email ID of nominee(s)			
7.	Nominee Identification details - [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> AADHAAR <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			


Sr. Nos. 8-14 should be filled only if nominee(s) is a minor :

8.	Date of Birth {in case of minor nominee(s)}			
9.	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10.	Address of Guardian(s) City / Place State / Country PIN Code			
11.	Mobile/Telephone No. of Guardian			
12.	Email ID of nominee(s)			



DEMAT ACCOUNT OPENING FORM - NSDL/CDSL

13.	Relationship of Guardian with nominee			
14.	Guardian Identification details - [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> AADHAAR <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

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

*Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.
 Note: • This nomination shall supersede any prior nomination made by the account holder(s), if any.
 • The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s).


DECLARATION FORM FOR OPTING OUT OF NOMINATION

(Annexure-B)

DATE	D	D	M	M	Y	Y	Y	Y	UCC							
DP ID									Client ID							

Sole/First Holder Name	
Second Holder Name	
Third Holder Name	

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

	<input type="text"/>	<input type="text"/>	<input type="text"/>
	First Holder Signature	Second Holder Signature	Third Holder Signature

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

(For non-custodial settled trading accounts)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.







Client Signature



DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)**VOLUNTARY**

I/We agree to the terms and conditions of Demat Debit & Pledge Instructions (herein referred after to as DDPI) between the undersigned individual(s)/entities (hereinafter referred to as client(s)) and Nikunj Stock Brokers Limited (hereinafter referred to as NIKUNJ) for its any of the Clearing Member account / Early pay-in / Pool / Margin Pledge accounts.

S. No.	Purpose	Signature of Client*
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries/settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	1.  _____ 2. _____ 3. _____
2.	Pledging / re-pledging of securities in favour of trading member(TM)/clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	1.  _____ 2. _____ 3. _____
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	1.  _____ 2. _____ 3. _____
4.	Tendering shares in open offers through Stock Exchange platforms	1.  _____ 2. _____ 3. _____

This DDPI document is made on the date and place mentioned hereunder:

Client Name			
Demat DP ID & Client ID		Trading Code	
Date :		Place :	

Please note that signatures of all the holders of the demat account are required on DDPI Form.



To,
NIKUNJ STOCK BROKERS LTD.
A-92, GF, Left Portion, Kamla Nagar, Delhi-110007

Dear Sir,

I/We _____ a client with member M/s. **NIKUNJ STOCK BROKERS LTD.**, member of NSE, BSE & MCX undertakes as follows:

- I/We am/are aware that the member has to provide physical contract note in respect of all the trades placed by me/us unless I/we myself want the same in the electronic form.
- I/We am/are aware that the member has to provide electronic contract note for my/our convenience on my/our request only.
- Though the member is required to deliver physical contract note, I/we find that it is inconvenient for me/us to receive physical contract notes. Therefore, I/we am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ ordered by me/us.
- I/We have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations.
- My/our email id is* _____ . This has been created by me/us and not by someone else.
- I/We am/are aware that this declaration form should be in English or in any other Indian language known to me/us.
- I/We am/are aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me/us. I/We am/are aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

***(The email id must be written in own handwriting of the client.)**

Client Name: _____ Unique Client Code : _____



Date : _____ Place: _____

Verified by _____

To,
NIKUNJ STOCK BROKERS LTD.
A-92, GF, Left Portion, Kamla Nagar, Delhi-110007

Dear Sirs,

Re.: Letter of Authority - Our Trading Account with you; UCI:.....

I/We have been / shall be dealing through you as my / our broker on the Capital Market and/ or Futures & Options Segments / Currency Derivative Segments / Commodity Derivatives. These instructions are applicable for all the exchanges / segments in which I / we have opened account with you. As my / our broker I / we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below:

1. **VERBAL ORDER ACCEPTANCE AUTHORISATION:** As I/We shall be dealing by ordering over phone and even if I/we visit your branch/dealer, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation. I/we hereby authorise you to accept my/our or my/our authorised representative's verbal instructions for order placement / modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/we understand the risk associated with verbal orders and accept the same, and agree that I/we shall not be entitled to disown orders and consequent trades (if any) under the plea that the same were not under mine /our instructions.
2. **STANDING INSTRUCTIONS FOR NO PRINTED ORDER / TRADE CONFIRMATION SLIPS:** I/We hereby authorise you NOT to provide me/us Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required from contracts/bills issued by you.
3. **RECEIPT OF TRADE CONFIRMATION & INFORMATION BY SMS:** I/We hereby agree and give my/our consent for receiving the trade confirmations and/or other market related information / notifications via SMS/text message. I/We have also understood that I/we will not receive the telephonic trade confirmations.
4. **PRINTED FINANCIAL STATEMENTS / BILLS / CONTRACT NOTES:** I/We authorise you to refrain from sending printed copies of financial statements / holding statements / bills / contracts notes / etc. by hand / post / courier to me, unless specifically requested by me/us. I/we prefer to obtain all the required statements / information in digital format by emails or from your website.
5. **AUTHORISATION TO SELL SECURITIES:** I/We understand that in case, of my/our failure to make the funds pay in or delivery of securities for my/our deals/trading by designated day, you are entitled to sell off in the market the securities received in pay out and/or deem our position closed out at applicable rates; or I/We do hereby request you not to carry out such sell off in the market the securities received in pay out and/or deem my/our positions closed out and I/We shall in consideration thereof shall pay the opportunity cost/interest on such non sold off securities and/or non closed out position without demur or protest at such opportunity cost and/or interest as you shall determine entirely at your discretion. I/We do hereby indemnify and agree to compensate for any losses, penalties you may suffer for agreeing to this direction.
6. **PENAL & OTHER CHARGES:** I/We request you to retain credit balance in any of my/our accounts and to use the idle funds towards my/our margin / future obligations at any of the Exchanges unless I/we instruct you otherwise. I/We also authorise you to debit the necessary demat charges from time to time, for keeping my/our shares in securities unpaid account on my behalf. I/ We also authorise you to debit the financial penal charges upto @ 0.10% per day for the debit balances if any, in my/our account and not settled as per the exchange requirements by the designated days. I/we further authorise you to debit my account with bank charges an account of dishonour of cheques, stop payment, RTGS/NEFT/Payment Gateway Charges, DD/PO Charges, Printing & Courier Charges, SMS and advisory services charges, trading platform and software charges as may be applicable from time to time.



Client Signature



- 7. **OUTSTANDING POSITION SQUARE-OFF AUTHORISATION:** I/We authorise you to square-off my position entirely or in part as per your discretion anytime if the mark-to-market loss on my outstanding position exceeds 80% of the amount lying to the credit of my account held with you. Further, I/We authorise you to square-off my position entirely or in part as per your discretion anytime during the last 30 minutes of a trading session, in case the amount lying to the credit of my account with you after adjusting the MTM losses if any, is not sufficient to cover the margin required to carryover my outstanding position for the next trading session or to take delivery thereof.
- 8. **VOICE RECORDING:** I/We agree that as per SEBI guidelines you are required to record the conversations between me/us, my/our representative and your officers/ employees/ agents etc. over the telephone. Such recordings may be relied upon by you as and when required.
- 9. **PORTFOLIO MANAGEMENT SERVICE:** I/We understand and agree that you or any of your agents do not provide Portfolio Management Services and do not offer any promises or returns on investment in stock market. You shall be in no way responsible for profit/loss that may accrue to me from investment in stock market.
- 10. **CASH DEALING:** I fully understand that cash dealings are strictly prohibited. I shall not pay or accept cash to/from you or any of your agents/employees.

- 11. **THIRD-PARTY PAYMENTS :** NIKUNJ shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per performa prescribed by NIKUNJ.

However, due to oversight if any such third-party payment has been accepted by NIKUNJ and the credit for the same has been given in the client ledger, NIKUNJ shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same in such a case, NIKUNJ reserves the right to liquidate any of the open positions and of the collaterals received/held on behalf of the client. NIKUNJ, its Directors and employees shall not be responsible for any consequential damages or losses.


- 12. **NO MARKET MANIPULATION :** I undertake not to execute transaction, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, NIKUNJ has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.
- 13. **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 NIKUNJ officials. I further declare that I shall adhere to all provision of PMLA Act, 2002. I further declare that I shall undertake and confirm that,
 - a. I do not have any links with any known criminal
 - b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

- 14. **INDEMNITY OF JOINT HOLDINGS :** I hereby agree to indemnify and hold NIKUNJ harmless from any trade related claims, demands, action, proceedings, losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

- 15. **NRI DECLARATION :** I undertake to keep informed NIKUNJ about my tax status from resident to NRI or vice versa.

16. **MOBILE DECLARATION**

I declare that my mobile no is _____.
 The mobile belongs to _____ who is my spouse/father/mother/son/daughter and I authorize NIKUNJ that the same may be used for giving me any information/alert/SMS.

 _____
 Client Signature



- 17. **CLIENT DEFAULTER DECLARATION** : I hereby declare that I have not been involved in any terrorist activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/Regulatory bodies, etc.

- 18. **RUNNING ACCOUNT AUTHORISATION**: I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Commodity derivatives segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:
 - 1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
 - 2. I/We request you to settle my fund once in every calendar Quarter or once in a calendar Month or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
 - 3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds/Mutual Fund Units towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
 - 4. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.

The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.


Once in a Calender Quarter Once in a Calender Month

Yours faithfully,

Date:


Client Signature

Note : Please note that all above mentioned declaration/standing instructions are voluntary for the purpose ease of doing business for both of us. If you don't agree with any of above mentioned point please strike it out.


Client Signature



CLIENT PROFILE

Please take some time out to fill below form & help us serve you better.

1. What is your income range (per Annum)?

<2 Lakh 2-5 Lakh 5-10 Lakh 10-20 Lakh 20-30 Lakh >30 Lakh

2. What is your accommodation type?

Rented Own House

3. What is your source of income?

Salary Business Income Rental Income Interest Income

4. How long have you been investing in Stocks/Mutual Fund?

No Experience 1-3 Years 3-5 Years 5-10 Years >10 Years

5. What is your current value of Stocks & Mutual Fund?

< 1 Lakh 1-5 Lakh 5-10 Lakh 10-25 Lakh 25-50 Lakh >50 Lakh

6. What is your total percentage (%) of Investment allotted to Stocks & Mutual fund (Capital Markets)?

0-10% 10-20 % 20-30% >30%

7. Investment in Real Estate

Current Investment (other than own house):

< 25 Lakh 25 – 50 Lakh 50 Lakh – 1 Crore 1 – 2 Crore >2 Crore

Planning to invest in next 1 year:

< 25 Lakh 25 – 50 Lakh 50 Lakh – 1 Crore 1 – 2 Crore >2 Crore

8. Investment in fixed income instruments (FD, Bond, NCD)

Current Investment:

<5 Lakh 5 – 10 Lakh 10 – 25 Lakh 25 Lakh – 1 Crore >1 Crore

Planning to invest in next 1 year:

<5 Lakh 5 – 10 Lakh 10 – 25 Lakh 25 Lakh – 1 Crore >1 Crore

9. Have you taken Life Insurance?

Yes/ No Life Cover ₹

Premium ₹

10. Have you taken Health Insurance?

Yes/ No Health Cover ₹

Premium ₹

11. Do you own any of these?

a) Four Wheeler

Year of Purchase

b) Two Wheeler

ACKNOWLEDGMENT SLIP (Photocopy of this page should be given to client)

S.No.: _____

We acknowledge receipt of application for opening a trading and demat account from:

Mr./Ms./M/s. _____

As first applicant along with documents and cheque(s).

	Towards	Amount	Cheque No.	Date	Bank Name and Branch
<input type="checkbox"/> Y <input type="checkbox"/> N	Account opening fee (For Trading Account)				
<input type="checkbox"/> Y <input type="checkbox"/> N	Margin Amount				

Signature of Sales Executive: _____ RM/AP/SB Code: _____

Name: _____

Date: _____ Place: _____

- Issue **A/c payee** cheque in the favour of **NIKUNJ STOCK BROKERS LTD.** For better compliance never pay any fee in cash.
- You may check **A/c opening status** on www.nikunjonline.com
- You will receive an SMS & E-mail notification on activation of your account.



In case of any grievance / complaint against the company, please write to us at : ig.nikunj@nikunjonline.com or contact our Compliance Officer Ms. Monika at email-id: complianceofficer@nikunjonline.com and Phone No.011-47030017-18, Mobile: 8700240043. You may also approach CEO- Pramod Kr. Sultania at email-id: pramodsultania@nikunjonline.com and Phone No. 011-47030015, Mobile: 9811322534. If not satisfied with the response of the Stock Broker/ Depository Participant, you may contact the concerned Stock Exchange / Depository /at the following.

Exchanges	Web Address	Contact No.	E-mail Id
NSE	www.nseindia.com	1800220058	ignse@nse.co.in
BSE	www.bseindia.com	022-22728097	is@bseindia.com
MCX	www.mcxindia.com	022-66494070	grievance@mcxindia.com
NSDL	www.nsdl.co.in	022-24994200	relations@nsdl.co.in
CDSL	www.cdslindia.com	022-22723333	complaints@cdslindia.com

If you are still not satisfied, you may also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.

Nikunj Group

Our Services

Investment & Trading Services

1. Sale Purchase of Shares, Debentures and Bonds : BSE & NSE (Online & Offline)
2. Equity & Currency Derivative trading
3. Commodity Derivatives : MCX
4. Mutual Fund Investments: Lump sum and SIP through ARN-51656
5. New Issues of shares, debentures and Mutual Funds
6. Fixed Deposits of Reputed Companies

PAN & TIN Facilitation Center

1. PAN Card: New & Modification or duplicate issue
2. TAN Card : New & Modification or duplicate Issue
3. TDS Return and all other services relating to PAN & TIN Facilitation Centre

Other Services

1. Share Transfer Services for physical shares
2. Share Transmission Services : Death cases
3. All types of services related to lost/misplaced shares, debentures and Bonds.
4. Any type of services related to all types of Investment Products



NIKUNJ STOCK BROKERS LTD.

CIN : U74899DL1994PLC060413

Member: BSE / NSE & MCX • DP: NSDL & CDSL

Member Code : BSE 6645, NSE 06913, MCX 16505 • DP ID : IN302994

SEBI Reg Nos.: Broking : INZ000169335

Depository : IN-DP-89-2015

Regd. & Correspondence Office : A-92, GF, Left Portion, Kamla Nagar, Delhi-110007
Tel.: 011-47030000-01 • email: info@nikunjonline.com • web : www.nikunjonline.com