

Grow your money with
An Integrated Wealth Management Group



ACCOUNT OPENING FORM (NSE/BSE/MSEI/MCX/NCDEX/DP-CDSL)

Branch / HO: _____ Client Code: _____
Name: _____ DP ID: _____
Form No: _____



Winner of CNBC TV 18 “BEST FINANCIAL ADVISOR AWARD” 2009, 2010, 2012, 2013 & 2014

Wealth Management | Mutual Fund | Stock Broking | Commodity | Currency | Insurance | Property

The email id for investor grievances: cmpbroking@prudentcorporate.com

Name of stock broker/trading member/clearing member: **-PRUDENT BROKING SERVICES PVT. LTD. SEBI Registration No. and date:**

Professional Clearing Member NSE & BSE - F & O NSE - CDS MCX NCDEX IL&FS Securities Services Limited	Prudent Broking Services Pvt. Ltd. (PBSPL) SEBI Registration No. and date BSE Cash BSE FO BSE CURRENCY NSE Cash NSE FO NSE CURRENCY MSEI (MCX-SX) Cash MSEI (MCX-SX) F&O MSEI (MCX-SX) Currency MCX NCDEX CDSL	INZ000166234 26/02/2018 IN-DP-06-2015 11/02/2010
Registered office address:	401, Sears Towers, Gulbai Tekra, Off, C G Road, Ahmedabad - 380006 Phone: 079-61600900 Fax: 079-40209600 Website: www.prudentbroking.com	
Correspondence office address:	401, Sears Towers, Gulbai Tekra, Off, C G Road, Ahmedabad - 380006 Phone: 079-61600900 Fax: 079-40209600 Website: www.prudentbroking.com	
Director/ Compliance officer name:	Mr. Munjal Mehta Phone: 079-61600900 Email ID: cmp@prudentcorporate.com	

For any grievance/dispute please contact Prudent Broking Services Pvt. Ltd. at the above address or
email id cmpbroking@prudentcorporate.com and Phone no. 079-61600900. In case not satisfied with the response, please contact the concerned exchange(s) at,

Exchange	Email	Phone
BSE	is@bseindia.com	022 - 22728097
NSE	ignse@nse.co.in	022 - 26598190
MSEI	investorcomplaints@msei.in	022 - 61129028
MCX	grievance@mcxindia.com	022 - 66494070
NCDEX	ig@ncdex.com	022 - 66406789
CDSL	complaints@cdslindia.com	022 - 22723333

INSTRUCTIONS

1. All details to be filled in Capital Block letters in Black / Blue Ink Only.
2. Email ID & M obile number is mandatory for account related passwords and transaction details.
3. Corrections in the KYC form should be counter signed.
4. Strike o whichever option, in the account opening form, is not applicable.
5. All Originals to be produced for physical verification.
6. If any proof of identity or address is in a regional language, then translation into English is required.
7. Sole proprietor must make the application in his individual name & capacity.
8. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.

ACCOUNT OPENING KIT INDEX

Sr. No	Name of the Document	Brief Significance of the Document	Page No
PART A - MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	Document captures the basic & additional information about the constituent relevant to trading / Demat and an instruction checklist	1-7
2.	Tariff sheet	Documents detailing the rate / amount of brokerage / demat charges & other charges levied on the client for trading on stock exchange(s)	8-9
PART B - NON-MANDATORY DOCUMENTS AS PROVIDED BY STOCK BROKER			
3.	Voluntary Terms & Conditions (Equity and Commodity)	Additional Terms and conditions specific to clients for the purpose of operational efficiency.	10-12
4.	Voluntary Authorisation letter	Voluntary authorization Letter for Running Account maintenance, ECN, debiting various charges etc	13-14
5.	MCX Client Declaration for open interest position & Consent for Electronic Contract Note (ECN)	Client Declaration for open interest position & Consent for Electronic Contract Note (ECN)	15
6.	Declarations and Internet & wireless technology based trading facility	Declaration for online trading & demat account opening through e-sign and Internet & wireless technology based trading facility Provided by Stock Brokers to Client	16
7.	Power of Attorney (POA)	POA provided by Beneficiary Owner to Prudent for settlement / Margin purpose.	17-18
8.	Nomination	Nomination from client for trading and demat account	19-20
9.	HUF Declaration	Format for HUF declaration	21
PART C - MANDATORY AND NON - MANDATORY DOCUMENTS THAT FORM A PART OF THE FORM CONTAINED IN A SEPARATE BOOKLET.			
FOR EQUITY AND DERIVATIVES			
1.	Rights and Obligations of the parties	Rights and Obligations of the parties (including additional rights and obligations in case of internet and wireless technology based trading) prescribed by SEBI and Stock exchanges.	2-5
2.	Internet & wireless technology based trading facility	Internet & wireless technology based trading facility Provided by Stock Brokers to Client	6
3.	Uniform Risk Disclosure Documents	Uniform Risk Disclosure Documents (RDD) prescribed by SEBI and Stock exchanges.	7-10
4.	Guidance note	Guidance note detailing Do's and Don'ts for trading in the Stock exchanges.	11-12
5.	Policies and Procedures	Policies and Procedures (under paragraph 8 of SEBI Circular no. MIRS-D/SE/CIR-19/2009 dated December 03, 2009) etc	13-16
6.	Anti Money Laundering	Information on Anti Money Laundering	17-18
7.	Terms and Conditions for SMS and Email alerts	General Terms & Conditions w.r.t SMS and E-mails alerts from Stock Exchange and Stock Brokers.	19-21
8.	Rights and obligations - Depository Participant	Rights and obligations of Beneficial Owner and Depository participant as prescribed by SEBI and Depositories to clients	22-24
9.	Rights and obligations – Margin Trading Facility	Rights and obligations of Stock Brokers and Clients for Margin Trading Facility (NSE and BSE)	25-27
10.	KYC Document	KYC Document Booklet and Declaration	28
FOR COMMODITY			
1.	Additional Risk Disclosure documents for Options Trading	Additional Risk Disclosure documents for Options Trading	2
2.	Risk Disclosure Document	Risk Disclosure Document	2-5
3.	Rights and obligations of Members, authorized persons and clients	Rights and obligations of Members, authorized persons and clients as prescribed by SEBI and Commodity Exchanges – of KYC document	6-14
4.	Guidance note	Guidance note detailing Do's and Don'ts for trading in the Commodity Exchanges	15-16
5.	Policies and Procedures	Policies & Procedures for Prudent Broking Services Pvt. Ltd.	17-20

KYC CHECKLIST (PLEASE TICK WHEREVER APPROPRIATE)

Acceptable Documents (Copies of all documents to be self attested)		Please Tick
PAN Card	Account Holder & Joint Holder's (if any)	
Aadhaar Card	Account Holder & Joint Holder's (if any)	
Photograph	One Colored Front Face Photograph on photographic Paper (Passport Size)	
Additional Proof of Identity (Any One) (If Pan card not visible OR Pan card sign & signature in KYC form are different)	1. Valid Passport (Name, Address & Photo page)	<input type="checkbox"/> KRA document used (Email Id & Phone number to be provided on given KRA Form)
	2. Voter ID (front and back)	
	3. Valid Driving License (Name, Address & Photo page)	
	4. PAN Card	
	5. Other 1 (Pls. Specify) _____	
Proof of Address (Any One) (Permanent / Correspondence)	1. Valid Passport (Name, Address & Photo page)	
	2. Voter ID (front and back)	
	3. Valid Driving License (Name, Address & Photo page)	
	4. Bank Statement/Passbook (not more than 3 months old must contain complete address of client)	
	5. Banker's Verification Letter	
	6. Electricity Bill (not more than 3 months old)	
	7. Resident Landline Tel. Bill (not more than 3 months old)	
	8. Registered Flat Sale Agreement of Residence	
	9. Registered Lease/Leave & License Agreement	
	10. Ration Card	
	11. Unique identification number (UID) (Aadhaar)	
Bank Proof With MICR / IFSC Code (1st Holder only)	1. Bank Statement / Bank Passbook with cheque leaf (not more than 3 months old)	
	2. Banker's Certificate on letter head of the Bank (ORIGINAL)	
	3. Cancelled Personalized Cheque leaf	
Demat Proof (Any One) (1st Holder only)	1. Client Master (CML copy duly attested by DP)	
	2. DP Statement / Transaction cum Holding Statement	
Proof of Income (Any One) (Mandatory for F&O / Currency Segments) (1st Holder only)	1. Copy of ITR Acknowledgement	
	2. In case of salary income - Salary Slip, Copy of Form 16	
	3. Net-worth certificate (Not more than 1 year old)	
	4. Copy of Demat Account Holding Statement	
	5. Bank Account Statement for last 6 months reflecting income	

FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Client Name			
	First/Sole Holder	Second Holder (if any)	Third Holder (if any)
Are you U.S. Person? (Refer KYC Handout - Customer Copy)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Specify country of residence for tax purpose (Tax Residency)	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other
Specify country of citizenship	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other
If Other, Please Specify	_____	_____	_____
Tax Identification Number	1. _____ 2. _____ 3. _____	1. _____ 2. _____ 3. _____	1. _____ 2. _____ 3. _____

Note: If you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self certification under FATCA / CRS. This declaration form can be downloaded from website www.prudentbroking.com or call at centralized helpdesk at 079 - 40209600 or write to cmpbroking@prudentcorporate.com.

FH 1/28

First Holder

SH 1/10

Second Holder

TH 1/10

Third Holder



KYC



CVL

KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals)

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS

1. Name of the Applicant		Surname		First Name		Middle Name	
2. Father's/ Spouse Name							
3. Mother's Name							
4. a. Gender		<input type="checkbox"/> Male	<input type="checkbox"/> Female	<input type="checkbox"/> Transgender			
b. Marital Status		<input type="checkbox"/> Single	<input type="checkbox"/> Married	c. Date of Birth		dd/mm/yyyy	
5. Nationality							
6. Status		<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident	<input type="checkbox"/> Foreign National			
		<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non-Repatriable				
7. a. PAN				b. UID/Aadhaar			
8. Specify the proof of Identity submitted							

Photograph

Please affix your recent passport size photograph and sign across it

FH 2/28

First Holder

B. ADDRESS DETAILS

1. Correspondence Address			
City/town/village		PinCode	
State		Country	
2. Contact Details Tel. (Off.)		Tel. (Res.)	
Mobile No		Email ID	
3. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant)			
City/town/village		PinCode	
State		Country	
4. Specify the proof of address submitted for correspondence address			
5. Specify the proof of address submitted for Permanent address			

DECLARATION

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

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

Place		Signature of Applicant/ Authorized Signatory	FH 3/28	First Holder
Date				

FOR OFFICE USE ONLY

Details of Employee/ Authorized Signatory	Documents Verified with Original	Clients Interviewed by & In-Person Verification done by	Seal/Stamp of Prudent Broking Services Pvt. Ltd
Name & Employee Code			
Designation			
Date			
Signature			



KYC



CVL

KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals)

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS

1. Name of the Applicant		Surname		First Name		Middle Name	
2. Father's/ Spouse Name							
3. Mother's Name							
4. a. Gender		<input type="checkbox"/> Male	<input type="checkbox"/> Female	<input type="checkbox"/> Transgender			
b. Marital Status		<input type="checkbox"/> Single	<input type="checkbox"/> Married	c. Date of Birth		dd/mm/yyyy	
5. Nationality							
6. Status		<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident	<input type="checkbox"/> Foreign National			
		<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non-Repatriable				
7. a. PAN				b. UID/Aadhaar			
8. Specify the proof of Identity submitted							

Photograph

Please affix your recent passport size photograph and sign across it

SH
2/10

Second Holder

B. ADDRESS DETAILS

1. Correspondence Address			
City/town/village		PinCode	
State		Country	
2. Contact Details Tel. (Off.)		Tel. (Res.)	
Mobile No		Email ID	
3. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant)			
City/town/village		PinCode	
State		Country	
4. Specify the proof of address submitted for correspondence address			
5. Specify the proof of address submitted for Permanent address			

DECLARATION

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

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

Place		Signature of Applicant/ Authorized Signatory	SH 3/10	Second Holder
Date				

FOR OFFICE USE ONLY

Details of Employee/ Authorized Signatory	Documents Verified with Original	Clients Interviewed by & In-Person Verification done by	Seal/Stamp of Prudent Broking Services Pvt. Ltd
Name & Employee Code			
Designation			
Date			
Signature			



KYC



CVL

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS

1. Name of the Applicant		Surname		First Name		Middle Name	
2. Date of Incorporation		dd/mm/yyyy		Place of Incorporation			
3. Date of commencement of business		dd/mm/yyyy				Photograph Please affix your recent passport size photograph and sign across it	
4. Status <input type="checkbox"/> Private Ltd. Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust / Charities / NGOs <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organisation <input type="checkbox"/> Society <input type="checkbox"/> Body of Individuals <input type="checkbox"/> LLP <input type="checkbox"/> Defence Establishment if Others, _____							
<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">FH 2/28</div> <div style="border: 1px solid black; padding: 2px; flex-grow: 1;">First Holder</div> </div>							
7. a. PAN				b. Registration No (e.g. CIN)			
8. Specify the proof of Identity submitted							

B. ADDRESS DETAILS

1. Correspondence Address			
City/town/village		PinCode	
State		Country	
2. Contact Details Tel. (Off.)		Tel. (Res.)	
Mobile No		Email ID	
3. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant)			
City/town/village		PinCode	
State		Country	
4. Specify the proof of address submitted for correspondence address			
5. Specify the proof of address submitted for Permanent address			
6. Name, PAN, residential address and photographs of Promoters/ Partners/Karta/Trustees and whole time directors (Please attach separate sheet)			
7. a. DIN of whole time directors			
b. Aadhaar number of Promoters/Partners/Karta			

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.

Place		Signature of Applicant/ Authorized Signatory	<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">SH 3/28</div> <div style="border: 1px solid black; padding: 2px; flex-grow: 1;">First Holder</div> </div>
Date			

FOR OFFICE USE ONLY

Details of Employee/ Authorized Signatory	Documents Verified with Original	Clients Interviewed by & In-Person Verification done by	Seal/Stamp of Prudent Broking Services Pvt. Ltd
Name & Employee Code			
Designation			
Date			
Signature			

A. BANK ACCOUNT(S) DETAILS

Bank Name	Bank Address	Bank Account No	Account Type: Savings/ Current Other in case of NRI/ NRE/NRO	MICR No	IFSC Code

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participants Name	Depository Name NSDL/CDSL	Beneficiary Name	DP ID	Beneficiary ID
Prudent Broking Services Pvt. Ltd.	CDSL		12063800	

C. TRADING PREFERENCES

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

Exchange segment for Equity & Derivatives		NSE	BSE
Cash		First Holder	First Holder
F & O		First Holder	First Holder
Currency		First Holder	
Mutual Fund		First Holder	First Holder
Exchange segment for Commodity		MCX	NCDEX
Commodity Derivatives		First Holder	First Holder
Commodity Options		First Holder	First Holder

"In the future, if you wish to trade on any new segment/exchange, please submit a duly signed authorisation/letter to us."

D. 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/authorized persons in charge of dealing in securities during the last 3 years

<input type="checkbox"/> No	<input type="checkbox"/> If Yes, Please Specify
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E. INTRODUCER DETAILS

Status of Introducer	<input type="checkbox"/> Sub-broker/AP <input type="checkbox"/> Employee <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (Specify)		
Introducer Name		SB/Emp/Client Code	
Address			
	Mobile No		

 Signature of Applicant/
Authorized Signatory

	First Holder
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F. DEALING THROUGH SUB-BROKERS / AUTHORISED PERSON (AP) / OTHER STOCK BROKERS

If Client is dealing through the sub-broker, provide the following details,

Name of Stock Broker			Name of SB/AP		
Name of Exchange			Client Code (as given by the broker)		
Details of disputes/dues pending from/to such stock broker/sub-broker					
Whether you are a Member/Sub-broker/AP of any Exchange			<input type="checkbox"/> Yes	<input type="checkbox"/> No	
If yes, provide SEBI/EXCHANGES REGISTRATION NO.	Phone			Website	

GST Details (As applicable, State wise)

Local GST Registration No.		Name of the State	
Other GST Registration No.		Name of the State	

G. STANDING INSTRUCTIONS / OTHER DETAILS / EMAIL-SMS ALERT / CONTRACT NOTE PREFERENCE

I / We instruct the DP to receive each and every credit in my/our account (If not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
Share Email ID with Registrar & Transfer Agent	<input type="checkbox"/> No <input type="checkbox"/> Yes
Receive Annual Report	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical <input type="checkbox"/> Both
Account Statement Requirement	<input type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Weekly <input type="checkbox"/> Daily <input type="checkbox"/> As per SEBI Regulation
Declaration for Mobile Number	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent
Declaration for Email ID	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent <input type="checkbox"/> Do not have
Running Account Settlement	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly
Whether you wish to avail of the facility of internet trading/wireless technology (Please specify)	<input type="checkbox"/> No <input type="checkbox"/> Yes
BSDA	<input type="checkbox"/> No <input type="checkbox"/> Yes
I/ We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	
<input type="checkbox"/> Yes <input type="checkbox"/> No	

Status	Sub - Status		
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Others(specify) _____	<input type="checkbox"/> Individual Promoter <input type="checkbox"/> Minor
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> Others(specify) _____	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> NRI – Depository Receipts
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Others(specify) _____	<input type="checkbox"/> Foreign National - Depository Receipts	
Details of Guardian (in case the account holder is minor)			
Guardian's Name			PAN
Relationship with the applicant			
SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. + 91 _____ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).		

TRADING ACCOUNT RELATED DETAILS

For Individuals & Non-Individuals

(4) Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conditions Annexure-2.6	I wish to avail TRUST facility using the Mobile Number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the Same I/wish to to register the following clearing member IDs under my/our below mentioned BO ID Registered for TRUST		<input type="checkbox"/> Yes <input type="checkbox"/> No
	Stock Exchange Name	Clearing Member Name	Clearing Member ID (Optional)

Note

1. In case client doesn't opt for DIS booklet, it would be issued on request at any later date.
2. BO can view his ISIN balances, transactions & value portfolio online. To register for Easi please visit website www.cdslindia.com
3. Other documents includes SEBI prescribed standard documents i.e. Rights & Obligation documents for trading and depository account, Risk Disclosure Document and Guidance Note or any other communication /document disseminated by Prudent Broking.

1. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002 (FOR SOLE / First Holder)

Experience	Number of years of Investment / Trading Experience <input type="checkbox"/> <input type="checkbox"/>		
Gross Annual Income	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs OR Net Worth in ₹ <input type="text"/> as on date		
Occupation (Please tick)	<input type="checkbox"/> Govt Service <input type="checkbox"/> Professional <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others _____		
Nature of Business	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____		
Risk Categorisation	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		
Is the Client Politically Exposed Person (PEP) or Related to a PEP	<input type="checkbox"/> PEP <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not a PEP/RPEP		

2. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002 (For Second Holder)

Experience	Number of years of Investment / Trading Experience <input type="checkbox"/> <input type="checkbox"/>		
Gross Annual Income	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs OR Net Worth in ₹ <input type="text"/> as on date		
Occupation (Please tick)	<input type="checkbox"/> Govt Service <input type="checkbox"/> Professional <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others _____		
Nature of Business	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____		
Risk Categorisation	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		
Is the Client Politically Exposed Person (PEP) or Related to a PEP	<input type="checkbox"/> PEP <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not a PEP/RPEP		

3. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002 (For Third Holder)

Experience	Number of years of Investment / Trading Experience <input type="checkbox"/> <input type="checkbox"/>		
Gross Annual Income	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs OR Net Worth in ₹ <input type="text"/> as on date		
Occupation (Please tick)	<input type="checkbox"/> Govt Service <input type="checkbox"/> Professional <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others _____		
Nature of Business	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____		
Risk Categorisation	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		
Is the Client Politically Exposed Person (PEP) or Related to a PEP	<input type="checkbox"/> PEP <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not a PEP/RPEP		

DECLARATION

1. 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.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock / commodity broker, tariff sheet and all voluntary / non – mandatory documents.
3. I/We further confirm having received, read and understood the contents of the 'Rights and Obligations' document(s) for equity, commodity and demat, 'Risk Disclosure Document'(RDD) for equity & commodity, Guidance Note, additional risk disclosure documents for option trading and agree to abide by and be bound by the same and equity and commodities Bye Laws as are in force from time to time. 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 members designated website, www.prudentbroking.com.

4. I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my / our account liable for termination and suitable action.
5. In case non-resident account, I/We also declare that I/We have complied and will continue to comply with FEMA regulations. I state that I have read and understood all above documents and these documents are binding upon me.
6. The KYC documents cover the additional terms and conditions mentioned which are voluntary. I/We hereby give/do not give (Strike off whichever is not applicable) my consent for additional terms and conditions.
7. I/We have received the booklet with above mentioned contents.

FH
16/28

First Holder

SH
4/10

Second Holder

TH
4/10

Third Holder

Place _____

Date _____

TARIFF SHEET OF BROKERAGE

	Equity		Futures & Options	
	Percentage (%)	Minimum		
Trading		(Ps)	Futures (%)	
Delivery		(Ps)	Option (Rs) per lot	
Currency Derivatives			Commodity Derivatives	
Futures (%)			Futures (%)	
Option (Rs) per lot			Option (Rs) per lot	

NOTE

1. The above rates are exclusive of Stamp Duty, Exchange Transaction charges, Securities Transaction Tax, SEBI Turnover Charges and GST which will be charged extra at the rate prevailing from time to time. Further it is exclusive of any other charges /levies that may be Imposed from time to time.
2. The General Rates as mentioned here shall be applied unless the Special Rates as may be agreed by the. Client and the same are mentioned above.
3. For Internet Based Trading (IBT) clients, additional charges with regard to software access etc. will be applicable as per the terms agreed at relevant point In time.
4. Ps stands for Paisa and Rs stands for Rupees.
5. Brokerage on options will be charged as per lot basis. i.e. Rs. per lot on each leg as mentioned in the Tarrif sheet of brokerage.

FH
17/28

First Holder

SH
5/10

Second Holder

TH
5/10

Third Holder

SCHEDULE OF CHARGES



Particulars	Normal Yearly AMC Scheme	One time AMC Scheme	Normal Yearly Transaction free Scheme	BSDA Scheme
Please tick whichever applicable	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stamp Charges one time (With Postage & courier Charges)	Rs. 15/-	Rs. 15/-	Rs. 15/-	Rs. 15/-
Annual Maintenance Charges	Rs. 300/- (Individual) Rs. 800/- (Other than individual)	Not Applicable	Rs. 450/- (Individual) Corporates – Not Applicable	Not Applicable
One Time Charges	Not Applicable	Rs. 900/- (Individual) Corporates – Not Applicable	Not Applicable	Not Applicable
Demat / Remat Charges	Rs. 3/- per cert. + Rs. 50/- for courier handling per ISIN	Rs. 3/- per cert. + Rs. 50/- for courier handling per ISIN	Rs. 3/- per cert. + Rs. 50/- for courier handling per ISIN	Rs. 3/- per cert. + Rs. 50/- for courier handling per ISIN
Market / Off Market	Rs. 25/- (Rs. 18/- for in house market transaction), per ISIN	Rs. 35/- (Rs. 21/- for in house market transaction), per ISIN	Rs. 35/- per ISIN off Market	Rs. 35/- (Rs. 21/- for in house market transaction), per ISIN
Pledge (Creation / Closure / Invocation)	Rs. 40/- Per ISIN	Rs. 40/- Per ISIN	Rs. 40/- Per ISIN	Rs. 40/- Per ISIN
Margin Pledge Request	Rs. 20/- Per ISIN	Rs. 20/- Per ISIN	Rs. 20/- Per ISIN	Rs. 20/- Per ISIN
Failure Instruction	Rs. 15/- (telephone expense and SMS expense)	Rs. 15/- (telephone expense and SMS expense)	Rs. 15/- (telephone expense and SMS expense)	Rs. 15/- (telephone expense and SMS expense)
Other charges (Non periodical statements)	Rs. 50/- (for non-routine / on demand print out request)	Rs. 50/- (for non-routine/on demand print out request)	Rs. 50/- (for non-routine/on demand print out request)	Rs. 50/- (for non-routine/on demand print out request)
Inter-settlement Charges Beni – Pool ; Pool - Beni	Rs. 8/- per ISIN	Rs. 8/- per ISIN	NIL	Rs. 8/- per ISIN

CONDITIONS:

- Annual maintenance charges have to be paid in advance up to the end of financial year, All charges mentioned above are inclusive of CDSL charges, Stamp duty, GST, Education cess & other statutory levies (if any) will be charged as applicable from time to time, 4. The above charges are subject to change with 30 days prior notice. However, in case of revision of charges by CDSL, a shorter Notice may be given.
- Charges once paid will not be refunded.
- All instructions for transfer must be received at least one day before the Execution/Pay in date, Same day execution / late instructions will be accepted on "A best efforts basis" at the sole risk and responsibility of the depository account holder(s).
- The depository services may be temporarily discontinued if the Cheque given for availing DP services is returned unpaid. Intimation of discontinuation of the DP services shall be in accordance with the rules specified by CDSL. The DP services shall be resumed after recovery of the returned Cheque plus Rs. 100/- as additional charges.
- All pledging Services(creation,closureand invocation)shall be separately charged at the time of each transaction, Value of securities will be in accordance with the rates provided by CDSL, Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- For Electronic Delivery through NCDEX client needs to open separate account with COMTRACK participant. Separate charges with applicable taxes if any will be debited in client's ledger account.
- In case of intra day transaction in Commodity contract first leg rates as above shall be charged on the buy value or sell value depending upon whichever is higher and second leg rates shall be charged vice versa.
- Commission of Clearing & Forwarding Agent/Commission agents, if appointed on behalf of clients for the purpose of taking of deliveries will be charged at actual.
- PBSPL reserves the right to revise the tariff structure from time to time at its sole discretion, under advance intimation to clients either by way of ordinary post or by an email or by SMS or by notification on the back office interface.
- Any amounts which are overdue from the Client in any trading segments shall be liable to interest at the rate of 1.5% per month or part thereof or such other rate as may be determined and communicated by PBSPL.
- KRA / CKYC charges on actual basis, on account fetching and/or registration from / with KRA / CKYC authority.
- For availing 'Easiest' facility of CDSL, The charges as levied by CDSL would be collected from clients at actuals.
- I understand and consent that PBSPL shall have the right to recover the depository charges like any other trade dues payable by me from my trading ledger. I hereby further authorize PBSPL to set off a part or whole of the collateral/ledger balances/securities in my demat account i.e. by way of appropriation of the relevant amount of cash or by way of sell or transfer or liquidation/close out positions of all or some of the securities placed as collateral or lying in my demat account as stated above for the purpose of clearing any outstanding amount related to the aforesaid demat account maintained with PBSPL. Any and all losses and financial charges on account of such liquidation/close-out shall be borne by me.

WE HAVE READ AND UNDERSTOOD THE CHARGES AND CONDITIONS AS ABOVE AND AGREE TO ABIDE BY THE SAME.

BOID	1	2	0	6	3	8	0	0								
------	---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

Name(s)	Signature(s)
1.	
2.	
3.	

Whereas the client intends to open securities/commodity trading accounts with Prudent Broking Services Pvt. Ltd., (hereinafter referred as Prudent) for the purpose of trading in Capital Market Segment, Futures & Options Currency Derivative Segments of the Bombay Stock Exchange Ltd., National Stock Exchange of India Ltd., Metropolitan Stock Exchange of India Limited, Multi Commodity Exchange of India Ltd, National Commodity & Derivatives Exchange Limited and Mutual Fund transactions Facilities offered by SEBI recognized Stock Exchange/ and whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by Prudent and also the additional services that may be made available by Prudent from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions. The Client understands that these terms and conditions are voluntary i.e., non-mandatory in nature but on their acceptance, these shall constitute the contract between the parties and bind them fully and be enforceable by each party against the other.

1. Authorization to debit additional charges with regard to Trading and Demat Account: Without prejudice to the other rights and obligations of the parties, the client understands and agrees that Prudent may levy additional charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account for any service rendered by Prudent and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients ledger account with Prudent Broking Services Pvt Ltd.
2. Lien: All securities, funds and/or properties (Any assets available with Prudent) of the Client as may be permitted by the Exchange(s) from time to time to be placed with Prudent shall be subject to a lien for the payments or fulfillment of all undischarged liabilities and obligations of the Client in relation to its transactions. Prudent shall be entitled to with hold such securities, funds and/or property of the Client as security towards any such un-discharged liabilities or obligation of the Client and to sell and/or appropriate to itself all such securities/commodity, funds or properties at its sole discretion & at any point of time.
3. Authorization for delivering / pledging shares: Authorization for delivering/pledging shares: The client understands and agrees that Prudent may deliver to the Exchange any securities held by it on behalf of the client to discharge settlement obligations in respect of securities sold by the client or pledge the same with theat its sole discretion & at any point of time. clearing house of the recognized stock exchange in any segment where the Client is registered for trading for the purpose of providing margin for the trading positions contracted or to be contracted by the Client or with any scheduled commercial bank, Non-Banking Financial Institution or other financial institution for raising funds to the extent account of the client carries debit balance but without any obligation on its part to so raise funds by pledging the securities and without prejudice to the right of Prudent to enforce, at its option, the collateral security in the securities to recover the debit balance at any time.
4. Authorization for Inter segment fund balance transfer and stock transfers: The client hereby authorizes Prudent to transfer its debit/ credit balances in the ledger account arising during the course of trades in any segment to its ledger account in any other segment or to transfer any stock purchased / lying in its account in any segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of Prudent.
5. Manner / Mode of placing orders / instructions & Non execution / delay / cancellation of Orders: The Client may communicate orders and other instructions to Prudent or the subbroker/authorised person as the case may be over phone at the designated contact telephone number, or in writing, or through designated email, or by personally visiting the designated office. The client hereby agrees that Prudent or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading beyond the control of Prudent or the Exchange.
6. Client not to act on representations of agents, employees: Client is aware that Prudent has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of Prudent.
7. Recording of Conversation: The client is aware and agrees that Prudent may tape record the conversation between the client / client's representative and Prudent, whether over the telephone or in person, as per applicable laws, rules and regulations of SEBI / Exchanges. Prudent may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.
8. Confidentiality of Client Details: Prudent may disclose the client information to any person /entity as required under the law or to any broker's Association or organisations in case of dispute in order to take informed decision. The Client hereby agrees and give its consents for the disclosure by Prudent to any person or entity including but not limited to any independent third parties or any entities of Prudent Group, whether within or outside India, of any
9. information and data relating to Client or relating to Client's trading account with Prudent for the purposes of or in connection with, any present or proposed initiatives, including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services availed of or to be availed, by Client in future.
9. Disclosure as to Proprietary Trades by Prudent: Prudent may carry out proprietary trades in addition to trades on behalf of its Clients.
10. Notices: All notices or communications issued by Prudent shall be served on the Client in any one or more or all of the following ways at the ordinary business address and/or ordinary place of residence and/or last known address of the client:
 - 10.1 (a) By ordinary post or (b) By registered post or (c) By express delivery post or (d) by SMS on registered mobile or by telephonic call or (e) By affixing it on the door at the last known business or residential address or (f) By oral communication to the party or on the last known telephone number or on the recording machine of such number or (g) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (h) By publishing it on the website of Prudent wherein secured log-id and password to Client is provided or (i) By a notice posted on the notice board of the Exchange if no address be known or (j) By electronic mail or fax or (k) By hand delivery or By Courier or any other approved mode as may be allowed for communication.
 - 10.2 Not withstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between Prudent and the Client may be made orally.
11. Electronic Payment Gateway for Net Banking Services: Prudent may provide on its internet trading website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with Prudent. Client understands that Prudent is only providing access to the electronic fund transfer facility provided by the banker of the Client through Prudent's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising there out. Client undertakes not to make Prudent a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that Prudent's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank. liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising thereout. Client undertakes not to make Prudent a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transaction

on the Gateway and agrees that Prudent's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank

12. Extra Ordinary Events and termination/suspension of trading facility: Prudent will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication net-work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond Prudent's control resulting in non execution, partial or incomplete execution of orders and the resulting financial loss, if any Prudent may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.
13. Mutual Fund Service System Facility / BSE Star MF: Client is registered with Prudent Broking and has executed Know Your Form and certain other documents for the purpose of trading in securities market on the recognized Stock Exchange (herein after referred as "Exchange"). In case client opts for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the SEBI recognized Stock Exchanges (Mutual Fund Transaction Facilities). Know Your Client details as submitted by & the client for the stock broking shall be considered for the purpose of Mutual fund transaction facilities and abide by the terms and conditions as mentioned in the circulars as may be specified by the Exchanges from time to time in this regard. Client shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). Client shall read understand the contents of the Scheme Information Document and Key Information Memorandum, addendum issued regarding each Mutual Fund Schemes with respect to which client choose to subscribe / redeem. Client further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. Client confirm to have read & understood the terms & conditions for using Mutual Fund transaction facility as stated in KYC handout (customer copy). Client is aware that he/she can transact directly with the AMC without recourse to Distributor's name at any time under the folio(s) tagged with the Distributor's name /broker code. The Client agrees and authorizes Prudent as distributor of mutual funds to communicate on his/her behalf with the AMCs for financial and /or non-financial transactions including for receiving investment details from the AMC.
14. Parties agree that all claims, differences or disputes between them, arising out of or in relation to this mandatory and voluntary client / registration document, any dealings and transactions made subject to the Bye laws, Rules and Regulations of the Exchanges shall be submitted to arbitration for resolution in accordance with the provisions of the Arbitration and Conciliation Act, 1996 and the Byelaws and Regulations of the concerned Exchange. Provided, however, that recourse shall not be had to the arbitration, the grievance redressal mechanisms or to the investor protection schemes of the of the Exchanges or SEBI where the claims, differences or disputes exclusively arise out of or relate to any contracts entered into; transactions carried out; schemes, leagues or competition joined; other arrangements or understandings reached or relations established by the client with a group concern or associate of the Stock Broker, Commodity Broker or any third parties and to which the Byelaws, Rules and Regulations of the Exchange are not attracted and the Client understands and agrees that any application for invoking the arbitration/grievance redressal mechanisms or investor protection schemes of the Exchange in relation to any such dispute, claims or differences shall be liable to be dismissed.
15. No Waiver: No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specifically agreed in writing.
16. Severance: In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.
17. Amendments to the terms and conditions: Prudent reserves the right to amend the terms and conditions herein contained by adding, deleting, modifying or varying the provisions thereof by giving 15 days notice to the Client. In the event where the client has not objected to revised terms and conditions within 15 days of receiving the notification, the same shall be binding on the client.
18. I / We further declare that I am / We are aware of the illegal practices that are prevalent in the Stock Market and I/We assure you that I/We will not indulge into the same. I / We further declare that I / We will not carry out any unfair trade practices such as Synchronized Deals, Structured Deals, Circular Trading, Insider Trading in the Capital & Derivatives Market, and currency derivatives segment. I / We specifically consented not to indulge into any off-market transactions leading to dubba-trading. I / We further declare and confirm that I / We will not place any order or carry out any trades / transactions on the Exchange which will reflect as an arrangement for profit or loss transactions or cross deals. Further, all the orders placed on the Exchange through you, will be in the normal market at normal / prevailing market prices and not at unrealistic prices where there is corresponding underlying securities positions in the cash or futures segment of the Exchange. In case, any of my transactions being declared as violate to any rules / regulations / byelaws / circulars / directions / guidelines etc. of the Exchange / SEBI / SCRA, I will be solely responsible for all penalties / charges / damages etc. levied from you by the Exchange and accordingly do hereby undertake to reimburse / pay the same to you.
19. I / We further declare that as on the date of registration as your client, I / We am eligible to transact in the Stock / currency market as per applicable rules, regulations, byelaws, circulars, guidelines, etc concerned regulatory Authorities and have not been banned / restrained to transact in the securities market by any Exchange or statutory authorities and whatever permissions / prior permissions, as may be required from Government authority(ies) have been obtained by me / us. In case of any further action taken by the said relevant authorities, I We shall intimate the same to you.
20. I / We have no objection if due to punching errors you might have to change the client codes for trade done as the circumstances may warrant, within the parameters and rules and regulations of the Exchange.
21. I / We, as a client, hereby agrees and indemnifies, and shall always keep you indemnified against all such action and / or claims, costs, charges damages, losses and expenses which may be incurred, suffered and / or sustained by you with respect to any third party cheque(s) and / or delivery of shares, which may be given by me as your client to be credited in my / our account as your client.
22. I / We, as your client do hereby agrees with respect to Compliance with Prevention of Money Laundering Act, 2002 (PMLA), as amended till date and from time to time and rules, regulation and guidelines framed hereunder and confirms that all the information which may be required by you (Stock Broker) to enable you to comply with the provisions of the PMLA and the rules, regulation and guidelines framed there under has been disclosed including issues related to "beneficial ownership", if any and also undertakes to promptly provide the same on an on-going basis whenever required. As also I / We hereby agree to keep you (Stock Broker) informed of any change in the information earlier provided in/ through Know Your Client Form or otherwise in this regard immediately in writing.
23. For delayed payments / Overdue payments, I am / We are aware and agree that you may charge delayed payment charges @ 1.5 % p.m. or at such other rate as you determine at your absolute discretion.
24. I/We, further specifically agrees that without prejudice to the Member's other rights including the right to refer a matter to arbitration, the member shall be entitled to liquidate / close out all or any of my / our position with oral intimation to either my sub-broker or to me / us, of margins, other amounts due from me / us to you as a member, an exchange, a clearing house, any agent or sub-broker of the- member

25. Disclaimer: The Client understands and agrees that neither Prudent nor any other party disseminating any market data, message or information through the Website of Prudent (www.prudentbroking.com) or in any other media shall be liable for:
- Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or
 - Any loss or damage arising from or occasioned by (i) Any such inaccuracy, error, delay or omission, (ii) Non-performance, or (iii) Interruption in making available any such data, information or message, due to either any act or omission by Prudent or any disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of Prudent or any disseminating party.
26. Sharing of Data & Information:
- I have opened a trading account with PBSPL having the captioned client code and demat account with PBSPL-DP having the captioned client code and am interested in knowing about various financial products /facilities offered by your associate/group companies. I am aware that associate/group companies are required to obtain information about me and my transactions for providing various financial products/facilities.
 - I authorize you, your group companies and associates to keep me informed with any financial product which Prudent, its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute through e-mail, SMS, telephone, print media or otherwise as may be allowed .
 - I hereby voluntarily accept and expressly authorize PBSPL to get the

information from PBSPL-DP or from any other Depository Participant of its group/associate companies with whom I have the Demat account and share/discard or use in any manner, the information/ documents/ data about me and our transactions, with group of associates companies which is offering the products / facilities.

- Information provided by me in the Trading and Demat Account Opening Kit.
 - My holdings in stocks/securities.
 - Ledger balances in my Trading/Demat Account across all Exchanges/ Depositories.
 - Transaction cum holding statement with PBSPL-DP.
 - Any other related information.
- To the extent appropriate for our relationship with you, personal information may be shared for the following purposes: (i) to comply with applicable laws, rules and regulations, including anti-terrorism, KYC, anti-money laundering and tax reporting rules and regulations. (ii) to comply with legal process, to respond to requests from public, regulatory or government authorities (including authorities outside your country of residency), and to allow us to pursue remedies and limit damage (iii) to any of our associate / affiliate / group entities including our service providers performing delegated outsourced function to enable them to perform internal business processes (which facilitate transactions) such as risk management purposes, data analysis, audits, developing and improving new products and services, etc (iv) to any of our associate / affiliate / group entities to enable them to provide you with appropriate products and services
 - I have no objection to PBSPL sharing the above information or any such other information, about me/us with its group/associate companies or affiliates. This is without legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending such information.

Client Signature:

FH 19/28

First Holder

ADDITIONAL - VOLUNTARY TERMS AND CONDITIONS (COMMODITY)

1. Setting up of Exposure Limits:

- PBSPL may sanction trading limits to the Client based on the margin lying to the credit of the Client in the form of funds /securities / bank guarantees / fixed deposit receipts. PBSPL at its sole discretion may refuse to accept any security as collateral/margin. PBSPL shall from time to time publish a list of securities which would be acceptable as collateral / margin. In setting exposure limits for the Client, PBSPL shall be entitled to consider such factors as it may deem fit, including without limitation, the client's risk profile, risk appetite, loss bearing capacity, payment history, market volatility, risk management policy of PBSPL and such other factors or conditions which PBSPL may consider relevant for the purpose. PBSPL reserves liberty to vary the trading / exposure limits of the Client depending upon its risk assessment from time to time having regard to the changes in any of the factors or market conditions bearing on the risk profile of the Client.
- Neither PBSPL, nor any affiliate of PBSPL nor their respective directors, officers, employees, agents shall in any circumstances be liable for any direct or indirect loss, cost, liability, expense or damage (including without limitation all legal fees and expenses) arising from any variation or reduction of exposure or turnover limits by PBSPL.

2. Client to have a Mobile connection:

Client agrees to have a mobile connection as a pre-condition to opening & maintaining the a/c with PBSPL & undertakes to notify PBSPL promptly whenever he/she/it obtains a new mobile connection in replacement of a mobile previously notified to PBSPL.

3. Aggregation of open market positions of the Client by the Exchange:

Client agrees that if the Exchange directs / advise PBSPL to reduce the exposure of the Client in any outstanding open interest in any contract,

because the market exposure of the client in the contract, individually, or taken together with that of related parties, exceeds the maximum allowable open position prescribed by the Exchange for an individual client or for all clients of PBSPL in the contract, PBSPL may square off the open market positions of the client in the contract as directed by the Exchange. client also agrees that, though PBSPL may on a best effort basis inform the client of the direction given by the Exchange, it is under no obligation to inform the client and/or obtain client's consent prior to squaring off the positions under this clause and all losses, if any, arising from such squaring off shall be to the account of the client.

4. Payment of Full Contract Value:

Client agrees to pay PBSPL for all open buy positions, excepting both side option contract positions, full contract value less the free surplus fund of the client, if any, already with PBSPL, one day prior to the commencement of the tender period for the respective contract, and if that day is a bank holiday, on the day immediately preceding that day which is bank working day. If the Client makes a default in making payment as above, PBSPL at its discretion may square off all or part of the open positions of the Client and all and any losses arising thereout shall be to the account of the client.

5. Execute / Self / Wash / Match trades:

Orders of buy and sell placed at such rates and within such time intervals / frequencies, and particularly in contracts considered illiquid, may be rejected or cancelled by PBSPL without prejudice to its other rights to impose penalty on the client and/or deregister the client. PBSPL may also report such instances to the Exchange or the Regulator for appropriate action at their end.

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

Client Signature

FH 20/28

First Holder

Voluntary Authorisation Letter

From: _____

Client Code: _____

Date: _____

DP Client Code: _____

Prudent Broking Services Pvt. Ltd.,
401, Sears Towers, Gulbai Tekra, Off C G Road, Ahmedabad - 380006.

By ticking on YES you authorize PBSPL to maintain the Trading Account as Running Account thereby adjusting any obligations and receivables.

Dear Sir,

Subject : Voluntary Authorisation letter

1. Authorization relating to retain/adjust the shares/securities/ funds and Running Account Maintenance:- ☐ Yes ☐ No
- a. You can maintain my account on a running account basis and adjust any securities and/or amounts receivable from me against any credits standing into my account or from my forthcoming payouts payable by me to Prudent Broking Services Pvt Ltd, where I am registered with you as a Client.
- b. I request you to keep my securities, margins and/or funds with you to meet my pay in obligations in the succeeding settlements in the same segment as well as other segments of BSE and/or NSE / MCX and/or NCDEX where I am registered with you as a Client.
- c. Further it is observed that many times the date on which payment is due to me from you and the date which I am required to make payment to you are very close and therefore exchange of cheques become unnecessary paper work. Hence, I request you to maintain the running account facility with you. I agree that you shall not be required to pay any interest/ charges/ cost in respect of funds or securities so held by you on a running account basis.
- d. Further, I hereby give my consent to you to maintain my account on a RUNNING ACCOUNT basis instead of on a daily settlement-to-settlement basis. The securities lying in the pool/ beneficiary's accounts of the Prudent Broking Services Pvt Ltd, should be considered as margin deposits from me.
- e. However my preference for compulsory periodic settlement of funds/securities as follows:
☐ Monthly ☐ Quarterly
- f. I understand that in respect of derivative market transaction, apart from margin liability as on the date of settlement, trading member may retain additional margins (maximum up to 125% of margin requirement on the day of settlement) to take care of any margin obligation arising in next days.
- g. I declare that this authorisation is revocable by me at any time without giving any prior notice of such revocation to Prudent Broking Services Pvt Ltd.
- h. agree that in case, I desire to take any pay outs from my trading account, I specifically shall intimate about the same and Prudent Broking Services Pvt Ltd, shall upon due scrutiny of my account and upon adherence to its policy/procedure, shall release eligible amount to me.
- i. I further agree that this authorisation shall have an equal binding effect to the successors, executors and assigns of Prudent Broking Services Pvt Ltd.
- j. I hereby authorise you to transfer/adjust all the additional funds/securities lying in my ledger account after meeting my obligations/dues, to the collateral account to avail exposure or keep all funds/securities in your margin account with you to meet my margin obligations or keep the same with any exchange and/or with clearing member in the form of fixed deposit or any other form to avail exposure/meet margin requirements. I understand that there would not be any interest/commission payable to me in the event of above arrangement. This arrangement would be without any consideration or the fund/securities so moved will not bear any interest/commission payable to me/is in the event of above arrangement.
2. Authorization for receiving ECN's and any documents/communications in electronic form by E-mail from Stock Broker/ Commodity Broker and Depository Participant display on Website:- ☐ Yes ☐ No

By ticking on YES you authorize PBSPL to send all important

I am registered as a Client and having the captioned trading account with PBSPL & Depository account with PBSPL and hereby authorize PBSPL for the following:

- a. I/we authorize PBSPL to issue me/us electronic contract notes (ECN's), bills, trade confirmations, ledgers, daily margin statements, statement of accounts for periodical settlement of funds and securities, any notices, circulars, amendments and such other correspondence or communication related to my/our trading account (hereinafter referred to as "Documents") and wherever required duly authenticated by means of a digital signature as specified in the information technology Act, 2000 and the rules made there under to the E-mail ID as mentioned hereunder:
- b. I/We understand that the documents received on e-mail/displayed on website are for my/our convenience. I/we will take all the necessary steps to ensure confidentiality and secrecy of the login name & password of the internet/email account.

Email Address

Client Signature

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First Holder

Voluntary Authorisation Letter

- c. I/We is/are aware that the documents as may be accessed by other entities in case the confidentiality/ secrecy of the login name and password is compromised.
- d. I/We shall verify the authenticity of the e-mails which I/we shall receive. PBSPL shall not be responsible, if I/we do not receive the documents due to incorrect email ID and/or technical reasons.
- e. I authorize PBSPL to issue me bills, ledgers, monthly/quarterly/yearly demat transaction cum holding statements, any notices, circulars, amendments and such other correspondence or communication related to my demat account (hereinafter referred to as "Documents") and wherever required duly authenticated by means of a digital signature as specified in the information technology Act, 2000 .
- f. I understand that wherever the e-mails have not been delivered to me or has been rejected (bouncing of mails) from the e-mail ID of mine, PBSPL would send physical document to me. I further hereby agree that PBSPL have fulfilled the legal obligation, if the above documents are sent electronically to the above-mentioned e-mail ID. I agree that PBSPL will not be responsible for non receipt of documents sent via electronic delivery due to change in email address or for any other reason which inter alia include my email/inbox running out of capacity, malfunction of my computer system/server/internet connection, mails received by frauds/imposters etc. I also agree that PBSPL shall not take cognizance of out-of office/ out-of station auto replies and I shall be deemed to have received such electronic mails.
- g. I shall inform PBSPL in writing if there is any change in my registered e-mail ID.
3. Authorisation for debiting various charges:- ☐ Yes ☐ No

By ticking on YES you authorize PBSPL to send all important

- a. I hereby give my consent/authority to debit/recover all types of depository charges viz annual maintenance charges, inter settlement charges, any type of transaction charges as is levied on me for the transactions carried out in my demat account including any statutory levies, services tax or any other tax/charges/fees in/from my trading ledger having the captioned client code as maintained with PBSPL. I understand and agree that such depository charges will be debited in my trading ledger maintained with PBSPL irrespective of the ledger balance on periodically and/or as per the details provided by PBSPL.
- b. I instruct PBSPL to provide the requisite information periodically and/or on occasion basis of such charges levied on me to PBSPL with whom I have opened the trading account.

By ticking on YES you express your approval and interest in receiving information on various other financial products/services that WSAPL has to offer. You also allow WSAPL to share your preferences with other allied businesses.

Email Address

Client Signature

 FH 22/28	First Holder
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**A.****CLIENT DECLARATION - OPEN INTEREST POSITION**

I/We, the undersigned, have taken cognizance of circulars issued by SEBI / Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I / We hereby declare and undertake that I/we will not exceed the position limits prescribed from time to time by Commodity Exchanges or SEBI and such position limits will be calculated in accordance with the circulars on position limits as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners / directors /karta / trustee or any of the partnership firms /companies/ HUFs/ Trusts in which I or any of above such person is a partner/ director/ karta/ trustee, takes or holds any position in any commodity forward contract/commodity derivative or Exchanges through or through any other member(s) or Exchanges, to enable you to restrict our position limit as prescribed by the above referred circular of Exchanges as modified from time to time.

I/We confirm that you have agreed to enter order in commodity forward contracts/commodity derivatives for me/us as your clients on Commodity Exchanges only on the basis of our above assurances and undertaking.

I/We further undertake to bear any liable/penalty/charges levied by Commodity Exchanges/SEBI.

Client Signature:

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First Holder

**B.****CONSENT FOR ELECTRONIC CONTRACT NOTE (ECN) - DECLARATION FOR COMMODITY**

I, _____ Client Code, _____
PAN _____ Registered with you as a client of Multi Commodity Exchange of India Ltd (MCX), and/or National Commodity & Derivative Exchange Ltd (NCDEX), undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- My email id is. _____ (the email id must be written in own handwriting). This has been created by me and not by someone else.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- I am aware that this declaration form should be in English or in any other Indian language known to me.

I am 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 has been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same)

Verification of the client signature done by,

Authorised Signatory of Member:



Designation: _____

Date: _____

Client Signature:

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Date: _____

Place: _____

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the Internet Based Trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Website provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers /suspects discrepancies/unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the Transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non execution of his orders due to any link/system failure at the Client /Stock brokers / Exchange end for any reason beyond the control of the stock broker/Exchanges.

Declaration for Online Trading & Demat Account Opening through ESIGN

I/We hereby declare that the details provided through the online portal are true and correct to the best of my/our knowledge and belief. I/We also agree and undertake to inform you of any change(s) therein, immediately.

I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document' & set of documents has been displayed for information on the designated website, www.prudentbroking.com

I/We confirm having read & understood copy of Rights and Obligations of the Beneficial Owner and Depository Participant and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We agree and undertake to inform you of any change(s) in the details/particulars mentioned by me/us in this form.

I/ We have read, received, been explained and understood all the voluntary and non-voluntary documents issued by Prudent Broking Services Pvt. Ltd.

I/We also request you to consider the uploaded Specimen Signature for any physical correspondence from my/our side.

I/We hereby confirm and agree to open Trading & Demat Account with Prudent Broking Services Pvt. Ltd. through AADHAAR based E Signature mode.

First Holder



Second Holder



Third Holder



Place _____

Date _____

VOLUNTARY POWER OF ATTORNEY (TO ALL TO WHOM THESE PRESENTS SHALL COME)

I/We, _____ (an individual/
a sole proprietor / a partnership firm / an HUF / A company / a trust / a society / an Association), executed through
Mr./Ms. _____ (proprietor / partners in case of partnership firm / karta
in case of H.U.F. / Authorized person in case of Company / Trustee(s) in the case of a trust / members of an Association),
residing / having office / registered office at _____
_____ SENDS GREETINGS.

WHEREAS

1. I / We hold Beneficiary owner account no. (s) 12063800 _____ with Central Depository Services (India) Limited, through Prudent Broking Services Private Limited, a Depository Participant bearing DP-ID12063800.
2. I / We am / are an investor(s) engaged in buying and selling of securities / commodities vide client code / trading code no. _____ through Prudent Broking Services Private Limited, a member of NSE in cash, _____ FO & CD segment; a member of BSE in cash, FO & CD segment; a member of MSEI in cash, FO & CD segment; a member of MCX & NCDEX in commodity segment; agent / attorney to operate the aforesaid beneficiary account(s) on my / our behalf.
3. Due to exigency and paucity of time, I / We am / are desirous of appointing an limited purpose in the manner here in after appearing:

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT

I/We the above named in, without any restriction of my operating the above said beneficiary account, do here by Nominate, - constitute and appoint Prudent Broking Services Private Limited a member of NSE/ BSE/ MSEI / MCX & NCDEX as my/our true and lawful attorneys (hereinafter referred to as the Attorneys) for me/us and on my/our behalf and in my/our name to do instruct the aforesaid Depository Participant to operate my above mentioned beneficial account, to do and/or cause to be done the following acts, deed and things:

1. Transfer of Securities/ Commodity held in the my/our aforesaid beneficial owner account(s) towards Recognized Stock Exchanges/ Commodity Exchanges Clearing house of the Recognized Stock Exchanges/ Commodity Exchanges related margin / delivery obligations arising out of trades executed by me/ us on the said Recognized Stock Exchanges/ Commodity Exchanges through Prudent Broking Services Private Limited.
2. Pledge the Securities/Commodity held in the my / our aforesaid beneficial owner account(s) in favour of Recognized Stock Exchanges/ Commodity Exchanges Clearing house of the Recognized Stock Exchanges/ Commodity Exchanges for the limited purpose of meeting the margin requirements in connection with the trades executed by me / us on the said Recognized Stock Exchanges/ Commodity Exchanges through Prudent Broking Services Private Limited.
3. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. pursuant to my instructions)
4. To send consolidated summary my scrip-wise buy and sell positions taken with average rates to the client by way of SMS / email on a daily basis, not with standing any other document to be disseminated as specified by SEBI from time to time.

For the purpose of execution of the above, I / We authorize the Attorney to debit securities for transfer / pledge, as the case may be from my aforesaid beneficial account to below mentioned beneficial account owners:

Sr. No	Name of the transferee	Details of beneficiary demat account	Relation with the party
1	Prudent Broking Services Pvt. Ltd	1206380000434980	NSE - CLIENT UNPAID SECURITIES ACCOUNT
2	Prudent Broking Services Pvt. Ltd	1206380000434995	BSE - CLIENT UNPAID SECURITIES ACCOUNT
3	Prudent Broking Services Pvt. Ltd	1206380000013981	BSE - TM - POOL ACCOUNT
4	Prudent Broking Services Pvt. Ltd	1100001000022435	BSE EARLY PAY-IN ACCOUNT
5	Prudent Broking Services Pvt. Ltd	IN655996 - 11510038	BSE - TM - POOL ACCOUNT
6	Prudent Broking Services Pvt. Ltd	1206380000022857	NSE - TM - POOL ACCOUNT
7	Prudent Broking Services Pvt. Ltd	1100001100018391	NSE EARLY PAY-IN ACCOUNT
8	Prudent Broking Services Pvt. Ltd	IN515172 - 11483089	NSE - TM - POOL ACCOUNT
9	Prudent Broking Services Pvt. Ltd	1206380000475086	CORPORATE-TM/CM CMPA

First Holder

First Holder

Second Holder

Second Holder

Third Holder

Third Holder

In addition to the above, the Attorney agrees to return me / us, the securities that may have been transferred / received by the Attorney erroneously or those securities/ commodity that it was not entitled to receive from me / us. I / We shall ratify the instructions given by the Attorney to the Depository Participant named herein above in the manner specified therein.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until I/ We have given to the Depository Participant instruction in writing for revocation of the aforesaid Power of Attorney.

Signed and delivered
By the within named beneficial Owner(s)

1.

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 First Holder
2.

SH 9/10

 Second Holder
3.

TH 9/10

 Third Holder

Witness's Signature and Name

Name: _____

Address: _____

In the presence of witness

Date: _____

Place: _____

In case of HUF Please Take Name and signature of CO-parceners below.

Sr. No.	Name of Family Member	Gender	Relationship with KARTA	Date Of Birth	Signature
1					
2					
3					
4					
5					
6					
7					

NOMINATION FORM

Nominee Registration Number

Date

Prudent Broking Services Pvt. Ltd.,

401, Sears Towers, Gulbai Tekra,
Off C G Road, Ahmedabad - 380006.

FORM FOR NOMINATION

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

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 here by 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 1 st Nominee	Details of 2 nd Nominee	Details of 3 rd Nominee	Trading Nominee
1	Name of the nominee(s) (Mr./Ms.)				
2	Share of each Nominee	Equally <small>[If not equally, please specify percentage]</small>	%	%	%
		Any odd lot after division shall be transferred to the first nominee mentioned in the form.			
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 account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID				

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

8	Date of Birth {in case of minor nominee(s)}				
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }				
10	Address of Guardian(s)				
	City / Place: State & Country:				
	PIN Code				

NOMINATION FORM

11	Mobile/Telephone No. of Guardian				
12	Email ID of Guardian				
13	Relationship of Guardian with Nominee				
14	Guardian Identification details (Please tick any one of following and provide details of same) <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID				

Name(s) of holder(s)	Signature(s) of holder*
Sole / First Holder (Mr./Ms.)	<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">FH 28/28</div> <div style="border-bottom: 1px solid black; flex-grow: 1;"></div> </div>
Second Holder (Mr./Ms.)	<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">SH 10/10</div> <div style="border-bottom: 1px solid black; flex-grow: 1;"></div> </div>
Third Holder (Mr./Ms.)	<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">TH 10/10</div> <div style="border-bottom: 1px solid black; flex-grow: 1;"></div> </div>

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

To

Prudent Broking Services Pvt. Ltd.,

401, Sears Towers, Gulbai Tekra, Off C G Road, Ahmedabad - 380006.

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

UCC										DP ID	1	2	0	6	3	8	0	0	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.

Signature of Holder(s)

First Holder

FH 28/28

Second Holder

SH 10/10

Third Holder

TH 10/10

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

HUF DECLARATION

Name: _____

Address: _____

Date: _____

To,
M/s Prudent Broking Services Pvt. Ltd.,
401, Sears Towers, Gulbai Tekra, Off C G Road, Ahmedabad - 380006.

Dear Sir,
We, the undersigned members of _____
(HUF) are desirous of opening a Trading / Demat Account in the above-mentioned name with you. The said account will be
operated by _____ (Karta) on
behalf of _____ (HUF).

We hereby undertake that all the transactions undertaken by the said HUF shall be binding not only on the present members of the said joint family (both adults and minors) but also on all future members thereof (both adults and minors) and all persons entitled to a share therein and ourselves personally.

Also that whenever any change occurs in the management or in the constitution of the said joint family of whatsoever nature, we undertake to give notice thereof to you.

Sr. No.	Name of Family Member	Designation	Relationship	Date Of Birth	Signature
1		Karta			
2		Co-Parcener			
3		Co-Parcener			
4		Co-Parcener			
5		Co-Parcener			
6		Co-Parcener			
7		Co-Parcener			

Thanking You,
Yours faithfully,

(HUF Stamp & Sign)

Details to be filled by Branch

Branch Name:	
RM Code:	
Dealer Code:	
Introducer's Name:	
Franchisee Code / Remisor's Code:	
Sent Date:	
Received Date:	
Receiver's Sign:	
Checked by:	
Activated by:	
Date of Activation:	
Approved by:	

F & O: MCX ☐ NCDEX ☐ **Currency:** NSE ☐ MSEI ☐ **IBT:** DIET ☐ Net.Net ☐

Prudent Broking
 Money through wisdom

Registered Office
 401, Sears Tower, Gulbai Tekra, Off C.G. Road,
 Ahmedabad - 380 006. Gujarat. India.
 Phone: 079-61600900
 Email: info@prudentbroking.com

www.prudentbroking.com • www.prudentcorporate.com • www.prudentproperties.in

Wealth Management | Mutual Fund | Stock Broking | Commodity | Currency | Insurance | Property

SEBI REGISTRATION NOS: BSE Cash | BSE F&O | BSE CURRENCY | NSE Cash | NSE F&O | NSE CURRENCY
 MSEI CASH | MSEI F&O | MSEI CURRENCY | MCX | NCDEX | : INZ000166234
 CDSL: IN-DP-06-2015 | CDSL DP NO : 12063800

DECEMBER 2021