



# FARSIGHT SECURITIES LIMITED

Triveni Plaza, Gurudwara Road, Karol Bagh, New Delhi- 110005

EAPBX: 011-4504-4444 (30 Lines) | Fax: 011-45044434 | Customer Care Number: 9911522003

WhatsApp No. 859582996 | E-mail: customercare@farsightshares.com | Website: www.farsightshares.com

## ACCOUNT OPENING KIT E-KYC

PLEASE READ THIS DOCUMENT CAREFULLY BEFORE AGREEING TO ITS CONTENTS AND ENSURE ALL THE DETAILS PROVIDED ARE CORRECT.

For Account Opening Team Purpose			Sr. No.

Login ID:         LEAD ID:         Depository Services: CDSL ☐ NSDL ☐  
(Select any one)

CDSL-Client ID

NSDL-Client ID

1 2 0 5 6 3 0 0

I N 3 0 1 7 6 6

			NAME	CODE
Marketing Executive (E1)				
Relationship Manager (E2)				
Remise (if any)				
Branch/ FAN				
Referral Code				
Online software for trading.				
Process	Employee Code & Name	Process	Employee Code & Name	
Maker		Date		
Checker		Date		
Authorized By		Date		

Account Opened by: ..... Date: .....  
Exchange activated & Mapped by: ..... Date: .....  
Rechecked by: ..... Date: .....

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.

Name & Signature of the Authorized Signatory  
Date .....

Seal/Stamp  
**Farsight Securities Limited**

**INDEX OF DOCUMENTS\***

S. No.	Name of Document	Brief Significance of the Document	Page No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1.	Account Opening Form	A. CKYC form - Document captures the basic information about the constituent and instruction/check list and FATCA and CRS Information and declaration.	1 to 8
		B. Document captures the additional information about the constituent relevant to trading account and instruction/check LIST	
2.	Rights and Obligations (Trading & DP)	Document stating the Rights & Obligations of stock broker/trading member sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)	As per separate booklet (As per format annexure 4, 5 & 6) as per SEBI Circular: CIR/MIRSD/64/2016 dt. 12-07-2016 also available on website and on demand
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	9 to 10
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) and depository services	11 to 13

**VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER**

7.	Letter of Authority	To enable the trading member to act upon the clauses mentioned in the letter	14
8.	Power of Attorney	Additional Rights and Obligations regarding Power of Attorney or Demat Debit and Pledge Instruction	15

SEBI Registration No. : INZ000169935  
 Depository Participants : IN-DP-579-2021

Segment : NSE/BSE/MCX  
 NSDL/CDSL

Dated: 23/03/2018  
 Dated: 31/03/2021

\* SOFT COPIES OF THE DOCUMENTS ARE AVAILABLE ON [WWW.FARSIGHTSHARES.COM](http://WWW.FARSIGHTSHARES.COM)

Details of premium & simplified accounts special terms & conditions are also available on demand & on site.

**Know Your Customer (KYC) Application Form**
**Individual**
**For office use only** (To be filled by company officials only)

 Application Type\* ☐ New ☐ Update KYC Number\*

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Mandatory for KYC update request)

 Fields marked with\* are mandatory fields. Account Type ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

 DP ID :- 

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 Client ID :- 

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 UCC :- \_\_\_\_\_

**1. PERSONAL DETAILS**

 Name\* Prefix 

--	--	--

(Same as ID proof)

Maiden Name (If any\*)

Father / Spouse Name\*

Mother Name\*

Date of Birth\*

 Gender\* ☐ M-Male ☐ F-Female ☐ T-Transgender

 Marital Status\* ☐ Married ☐ Unmarried ☐ Others

 Citizenship\* ☐ IN-Indian ☐ Others (ISO 3166 Country Code) 

--	--

 Residential Status\* ☐ Resident Individual ☐ Non Resident Indian

☐ Foreign National ☐ Person of Indian Origin

 Occupation Type\* ☐ Private Sector ☐ Public Sector ☐ Government Service

 (Please Tick any one and give brief details) ☐ Professional ☐ Self Employed ☐ Retired

☐ Housewife ☐ Student ☐ B-Business

☐ Agriculturist ☐ X- Not Categorised (brief details) \_\_\_\_\_

 (1)

**2.PROOF OF IDENTITY (Pol)\***

I. Certified copy of OVD or equivalent e-Document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

- ☐ A- Passport Number  
☐ B- Voter ID Card  
☐ C- Driving License  
☐ D- NREGA Card  
☐ E- National Population Register  
☐ F-Proof of possession of Aadhaar  
☐ II - KYC Authentication  
☐ III - Offline Verification of Aadhaar



**3.Current Address Details** (Please refer to instruction B at the end)

Same as above mentioned address (in such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-Document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

- ☐ A- Passport Number  
☐ B- Voter ID Card  
☐ C- Driving License  
☐ D- NREGA Card  
☐ E- National Population Register  
☐ F-Proof of possession of Aadhaar  
☐ II - KYC Authentication  
☐ III - Offline Verification of Aadhaar


Address\* \_\_\_\_\_

 City / Town / Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin / Post Code\* 

--	--	--	--	--	--

 State / U.T\* \_\_\_\_\_ Code\* 

--	--

 Country\* \_\_\_\_\_ Country Code\* 

--	--

 as per ISO 3166

**4. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID)**

Tel.(Off/Res)	<input type="text"/>	Fax	<input type="text"/>
Mobile	<input type="text"/>	Mobile (2)	<input type="text"/>
Email ID	<input type="text"/>		

**5. FATCA / CRS Information**

Do you satisfy any of the criteria mentioned below:-

	Yes	NO
a. Citizen of any country other than India(dual/multiple) [including green card]		
b. Country of birth is any country other than India		
c. Tax resident of any country/ies other than India		
d. POA or a mandate holder who has an address outside India		
e. Address or telephone number outside India.		

If answer to any of the above questions is a YES or in case of NRI account .please fill the below details :-

Country#	Tax Identification Number	Identification Type(TIN or other*, please specify)

# to also include USA, where the individual is a citizen/green card holder of USA

\* In case Tax Identification Number is not available, kindly provide functional equivalent

**6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill below details)**☐ Addition of Related Person ☐ Deletion of Related Person

KYC Number of Related Person (If available\*)

Related Person Type ☐ Guardian of Minor ☐ Assignee ☐ Authorized RepresentativeName 

(If KYC number and name are provided, below details are optional)

Proof of Identity of Related Person

Identity Proof Submitted  Number  Exp. Date Other (any document notified by the Central Govt.)  Identification No. Simplified Measures Account-Document Type Code  Identification No. **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 mobile number / email address.

Subject to applicable laws, I hereby give consent to share my FATCA/CRS information with domestic/overseas regulators or tax authorities wherever necessary. I also declare and confirm that the FATCA/CRS details given as per point no-5 above are true, correct & complete. I further confirm that I have read and understand the FATCA/CRS terms and conditions and hereby accept the same.

Date : Place :  (2)

Signature / Thumb Impression of Applicant

Note : Separate KYC to be done for each client in case of more than one account holder (for Demat Account only).

**FOR OFFICE USE ONLY**

Details of Employee /AP/ Authorized Signatory	Documents Verified with Originals	Client Interviewed by & IN- Person Verification done by	DD / MM / YYYY Farsight Securities Limited Code - IN0242
Name			Seal / Stamp of the Intermediary
Designation/Code			
Date	DD / MM / YYYY	DD / MM / YYYY	
Signature			



<b>9. ADDITIONAL DETAILS :-</b> <input type="checkbox"/> NSDL / <input type="checkbox"/> CDSL <input type="checkbox"/> TRADING										
I / We request you to open a Demat NSDL / CDSL / Trading account in my/ our name as per the following details:										
<b>9.1 DETAILS OF ACCOUNT HOLDER(S) :- (For Demat Account Only)</b>										
Account Holder (s)	Sole / First Holder			Second Holder			Third Holder			
Name										
PAN										
UID (Aadhaar)										
<b>10 BANK DETAILS</b>										
<b>Default Bank (Through which payout transactions would generally be routed)</b>										
1. Bank Account type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRI/NRE/NRO <input type="checkbox"/> Others (Please specify)_____									
2. Bank Account No.										
3. Bank Name										
4. Bank Address										
	PIN Code									
5. MICR Code				6. IFSC Code						
Proof of Bank Submitted	<input type="checkbox"/> Bank Statement# <input type="checkbox"/> Cancelled Cheque (with client Name and A/c No. printed) <input type="checkbox"/> Bank Passbook## <input type="checkbox"/> Bank Verification Letter (Original)									
<b>Additional Bank</b>										
1. Bank Account type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRI/NRE/NRO <input type="checkbox"/> Others (Please specify)_____									
2. Bank Account No.										
3. Bank Name										
4. Bank Address										
	PIN Code									
5. MICR Code				6. IFSC Code						
Proof of Bank Submitted	<input type="checkbox"/> Bank Statement# <input type="checkbox"/> Cancelled Cheque (with client Name and A/c No. printed) <input type="checkbox"/> Bank Passbook## <input type="checkbox"/> Bank Verification Letter (Original)									
<b>11. DEPOSITORY ACCOUNT(S) DETAILS</b>										
Depository Name	DP Name		DP ID		Beneficiary Name			Beneficiary ID (BO ID)		
<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	Farsight Securities Ltd		<input type="checkbox"/> IN301766 <input type="checkbox"/> 12056300							
<b>12. OTHERS DETAILS (please tick any one)</b>										
1. Gross Annual Income Details	<input type="checkbox"/> Below ` 1 Lac <input type="checkbox"/> ` 1 - 5 Lac <input type="checkbox"/> ` 5 - 10 Lac <input type="checkbox"/> ` 10 - 15 Lac <input type="checkbox"/> More than ` 25 Lac									
Networth (Optional)	Amount (`)_____ As on (Date) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>									
(Networth should not be older than 1 Year)										
2. Type of Account (Please tick as Applicable)(For Demat A/c only)										
<b>Status</b>	<b>Sub -Status</b>									
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA)			<input type="checkbox"/> Individual Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others(specify)_____						
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts			<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others(specify)_____						
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National-Depository Receipts <input type="checkbox"/> Others(specify)_____									
3. Please tick, as applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> None (If PEP/RPEP ticked than please provide details in separate sheet)									
4. Educational Qualification	<input type="checkbox"/> Under Graduate <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional_____									
5. Any Other Information										
<b>13. For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the DP account is opened in the name of the natural persons, the name &amp; PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:</b>										
a) Name					b) PAN					

<b>14 IN CASE OF NRI'S / FOREIGN NATIONALS</b>																				
RBI Approval Reference Number		RBI Approval (Date)		<div style="border: 1px solid black; padding: 2px; display: inline-block;">             DDMMYYYY           </div>																
<b>15 AADHAR AUTHENTICATION CONSENT</b>																				
<p>"I/we hereby state that I/we have no objection in authenticating myself/ourselves with Aadhaar based authentication system through NSDL e-Governance Infrastructure Limited / CDSL Ventures Limited and give my/our consent to provide my Aadhaar Number, OTP, Demographic details or Biometric for Aadhaar based authentication. I/we also authorize NSDL e-Governance Infrastructure Limited / CDSL Ventures Limited to share the authentication details with Farsight Securities Limited for the purpose of carrying Aadhaar Authentication as required by PMLA guidelines, which shall not be further shared."</p>																				
<b>16 STANDING INSTRUCTION</b>			<b>Yes</b>	<b>No</b>																
1. I/We authorise you to receive credits automatically into my/our DP account.			<input type="checkbox"/>	<input type="checkbox"/>																
2. Account to be operated through Power of Attorney (POA)			<input type="checkbox"/>	<input type="checkbox"/>																
3. SMS Alert facility : [Mandatory if you are giving Power of Attorney (POA). Ensure that the mobile number is provided in the KYC Application Form]																				
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 20%;">Sr. No.</th> <th style="width: 60%;">Holder</th> <th style="width: 10%;"></th> <th style="width: 10%;"></th> </tr> <tr> <td>a)</td> <td>Sole / First Holder</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>b)</td> <td>Second Holder</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>c)</td> <td>Third Holder</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>			Sr. No.	Holder			a)	Sole / First Holder	<input type="checkbox"/>	<input type="checkbox"/>	b)	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>	c)	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>		
Sr. No.	Holder																			
a)	Sole / First Holder	<input type="checkbox"/>	<input type="checkbox"/>																	
b)	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>																	
c)	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>																	
4. I/We request you to enable my/our DP account for Auto Pledge confirmation.			<input type="checkbox"/>	<input type="checkbox"/>																
5. I wish to avail facility for Internet Trading and Wireless Technology			<input type="checkbox"/>	<input type="checkbox"/>																
6. I/We would like to share the email ID with the RTA			<input type="checkbox"/>	<input type="checkbox"/>																
7. Mode of Receiving Contract Note, Statement of Account, Margin Reports, Standard KYC Documents & Other Documents (tick any one)		Physical Form	Electronic Form <small>(Read Note 4 and ensure that email Id is provided in KYC Application Form)</small>																	
8. I/We would like to receive the Annual Report		Physical Form	Electronic Form																	
9. Whether you wish to receive A. Rights & Obligations of Stock Broker, Sub-Broker & Client, B. Rights & Obligations of Beneficial Owner & Depository Participants, C. Right & Obligations of members, AP and clients as prescribed by SEBI and Commodity Exchanges D. Unique Form Risk Disclosure Documents, E. Guidance Note Detailing Do's & Don't for Trading on Stock Exchanges. Physical or Electronic form Rights & Obligations Uniform Risk Disclosure & Guidance Note																				
<b>10 INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002</b>																				
<b>Gross Annual Income Details</b>		<input type="checkbox"/> Below ` 1 Lac <input type="checkbox"/> ` 1 - 5 Lac <input type="checkbox"/> ` 5 - 10 Lac <input type="checkbox"/> ` 10 - 25 Lac <input type="checkbox"/> More than ` 25 Lac																		
<b>OR Networth</b>		Amount (`) <small>(Networth should not be older than 1 Year)</small> As on (Date)																		
<b>Occupation</b> (Please tick)		<input type="checkbox"/> Govt Service <input type="checkbox"/> Professional <input type="checkbox"/> Private Sector <input type="checkbox"/> 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____ <small>(Pls Specify)</small>																		
<b>Nature of Business</b>		<input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others____(Pls Specify)																		
<b>Client Category Commercial Participant</b>		<input type="checkbox"/> Value Chain Participant <input type="checkbox"/> Exporter <input type="checkbox"/> Importer <input type="checkbox"/> Hedger																		
<b>Non Commercial Participant</b>		<input type="checkbox"/> Financial Participant            Trader            Arbitrager																		
<b>Is the Client Politically Exposed Person (PEP) or Related to a PEP</b>		<input type="checkbox"/> PEP <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not a PEP / RPEP																		



<b>17 ADDITIONAL DETAILS</b>																				
<ul style="list-style-type: none"> <li>Number of years of Investment/Trading Experience: _____</li> <li>Employee of Farsight Group/Other Broker/Exchange <input type="checkbox"/> Yes <input type="checkbox"/> No, If Yes provide details _____</li> <li>Relative of an Employee of Farsight Group/other Broker/Exchange <input type="checkbox"/> Yes <input type="checkbox"/> No, if yes provide details _____</li> <li>Any other information _____</li> </ul>																				
<b>18 GST DETAILS</b>																				
• GST Number <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> • GST Implementation Location <input type="text"/>																				
<b>19 TRADING PREFERENCES</b>																				
Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.																				
Exchanges		NSE, BSE & MSEI					MCX, NCDEX, BSE & NSE													
All Segments		Cash/Mutual Fund	F&O	Currency	Debt	Commodity Derivatives														
<input checked="" type="checkbox"/> (3) _____																				
If you do not wish to trade in any of segments / Mutual Fund, please mention here _____																				
<b>20 PAST ACTIONS</b>																				
• 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"/> Yes If Yes, Please Specify Details _____																				
<b>21 DEALINGS THROUGH OTHER STOCK BROKERS</b>																				
• Whether dealing with any other stock broker (in case dealing with multiple stock brokers, provide details of all) Stock Broker Name : _____ Client Code: _____ Exchange: _____																				
• Details of disputes/dues pending from/to such stock broker : _____																				
<b>22 INTRODUCER DETAILS (OPTIONAL)</b>																				
• Name of the Introducer _____ • Status of the Introducer <input type="checkbox"/> AP <input type="checkbox"/> Existing Client <input type="checkbox"/> Employee <input type="checkbox"/> Other, please specify _____ • Address of the Introducer _____ • Phone No. of the Introducer _____ Signature of the Introducer : _____																				
<b>23 ONLY FOR CDSL DEMAT CLIENTS</b>																				
<b>SMS Alerts Facility</b> Refer to Terms & Conditions given as Annexure 2.4	Mobile No.	+	9	1																
	<b>[(Mandatory , if you are giving Power of Attorney ( POA)]</b> <b>(If POA is not granted &amp; you do not wish to avail of this facility, cancel this option).</b>																		<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Transactions Using Secured Texting Facility (TRUST)</b> Refer to Terms and Conditions Annexure - 2.6	I wish to avail the 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.																			<input type="checkbox"/> Yes <input type="checkbox"/> No
	I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST																			
	Stock Exchange Name / ID					Clearing Member Name					Clearing Member ID (Optional)									
		To register for easi, please visit our website : www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.																		<input type="checkbox"/> Yes <input type="checkbox"/> No
Place: _____										Date: _____										
(4)										Only for CDSL DP Client    Only for CDSL DP Client    Only for CDSL DP Client										
(Only for CDSL DP Client)										Signature of Client    First Holder    Second Holder										



<input type="checkbox"/> I/We wish to make a Nomination [As per details given below]	<input type="checkbox"/> Demat <input type="checkbox"/> Trading	<input type="checkbox"/> I/We do not wish to make a nomination [Strike off the nomination details below]	<input type="checkbox"/> Demat <input type="checkbox"/> Trading
<b>Nomination Details</b>			
I / We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities/Funds held in the depository / Trading account by me/us in the said beneficiary owner/trading account in the event of my/our death.			
<b>Nomination Registrations No.</b>		<b>Date</b>	
		<div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">D</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">D</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">M</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">M</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">Y</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">Y</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">Y</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">Y</div> </div>	
<b>Nomination can be made upto three nominees in the account.</b>		<b>Details of 1<sup>st</sup> Nominee</b>	<b>Details of 2<sup>nd</sup> Nominee</b>
1. Name of the nominee(s) (Mr./Ms.)			
2. Share of each nominee Equally <input type="checkbox"/> <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)			
<div style="display: flex; justify-content: space-between;"> <div style="width: 40%;">City/Place:</div> <div style="width: 40%;">State &amp; Country</div> <div style="width: 20%;"></div> </div> <div style="display: flex; justify-content: space-between;"> <div style="width: 40%;">Pin Code</div> <div style="width: 40%;"></div> <div style="width: 20%;"></div> </div>			
5. Mobile/Telephone No. of Nominee(s)#			
6. Email ID of Nominee(s)#			
7. Nominee Identification details# <small>[Please tick any one of following and provide details of same]</small> <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account <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)}			
		<div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">D</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">D</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">M</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">M</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">Y</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">Y</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">Y</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">Y</div> </div>	<div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">D</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">D</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">M</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">M</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">Y</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">Y</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">Y</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center;">Y</div> </div>
9. Name of Guardian (Mr./Ms.) {in case of minor Nominee(s)}			
10. Address of Guardian(s)			
<div style="display: flex; justify-content: space-between;"> <div style="width: 40%;">City/Place:</div> <div style="width: 40%;">State &amp; Country</div> <div style="width: 20%;"></div> </div> <div style="display: flex; justify-content: space-between;"> <div style="width: 40%;">Pin Code</div> <div style="width: 40%;"></div> <div style="width: 20%;"></div> </div>			
11. Mobile/Telephone No. of Guardian#			
12. Email ID of Guardian#			
13. Relationship of Guardian with Nominee			
14. Guardian Identification details# <small>[Please tick any one of following and provide details of same]</small> <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
<b>Name(s) of holder(s)</b>			<b>Signature(s) of holder*</b>
Client (Mr./Ms.)			(5)
First Holder (Mr./Ms.)			
Second Holder (Mr./Ms.)			
* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature # Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory) 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

<b>To,</b> <b>M/S. FARSIGHT SECURITIES LTD.</b> 17A/55, Triveni Plaza, 3rd Floor Gurudwara Road, Karol Bagh, New Delhi-110005, Ph.: +91-11- 45044439,41 Website: www.farsightshares.com	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%;"><b>DATE</b></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> </tr> </table>	<b>DATE</b>									
<b>DATE</b>											
<b>UCC/DP ID</b>											
<b>Client ID (only for Demat account)</b>											
<b>Sole/First Holder Name</b>											
<b>Second Holder Name</b>											
<b>Third Holder Name</b>											
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.											
<b>Name(s) of holder(s)</b>	<b>Signature(s) of holder*</b>										
<b>Client (Mr./Ms.)</b>	(6) _____										
<b>First Holder (Mr./Ms.)</b>	_____										
<b>Second Holder (Mr./Ms.)</b>	_____										




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

## FATCA & CRS Declaration

FATCA & CRS Declaration (Please consult your professional tax advisor for further guidance on FATCA & CRS classification)	
<b>PART A (to be filled by Financial Institutions or Direct Reporting NFEs)</b>	
1. We are a, financial Institution <sup>6</sup> <input type="checkbox"/> or Direct reporting NFE <sup>7</sup> <input type="checkbox"/> (please tick as appropriate) GIIN not available (please tick as applicable) If the entity is a financial institution,	GIIN <table border="1" style="display: inline-table; width: 150px; height: 15px; vertical-align: middle;"></table> Note: If you do not have the GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity <table border="1" style="display: inline-table; width: 250px; height: 20px; vertical-align: middle;"></table> <div style="margin-top: 10px;"> <input type="checkbox"/> Applied for  <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <sup>10</sup> <table border="1" style="display: inline-table; width: 40px; height: 15px; vertical-align: middle;"></table>  <input type="checkbox"/> Not obtained - Non-participating FI         </div> <div style="margin-top: 20px;">  (7) _____         </div>

## Declaration

The rules and regulations of the Depository and Depository participant pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that I/we maybe held liable for it. In case of nonresident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we further confirm having read/been explained and understood the contents of Right and obligation of the beneficial owner and depository participant/stock brokers & clients, risk Disclosure document, Policies & procedures, schedule of charges/Tariff sheet and acknowledge the receipt of copy of the same. I/we do hereby agree to be bound by such provision 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.

	Name(s) of holder(s)	Signature(s) of holder	Sign to be used
Client / Guardian (in case sole holder is minor)		 (8)	
First Holder			
Second Holder			

### Notes:

1. All communication shall be sent at the address of the Sole / First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or Notary Public or a Special Executive Magistrate.
3. Instructions related to nomination are as below:
  - I. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
  - II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
  - III. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
  - IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
  - V. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
  - VI. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
  - VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
  - VIII. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
  - IX. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
  - X. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
  - XI. DP ID and client ID shall be provided where demat details is required to be provided.
4. For receiving Statement of Account in electronic Form:
  - (i) Client must ensure the confidentiality of Password of the email account. (ii) Client must promptly inform the participant if the email address has changed. (iii) Client may opt to terminate this facility by giving 10 days prior notice. Similarly participant may terminate this facility by giving 10 days prior notice.
5. Strike off whichever is not applicable.

**1. Refusal of orders For Penny Stock(s):**

Farsight shall have the absolute discretion to accept, refuse or partially accept any buy or sell order for execution from a client in respect of penny stock, illiquid stocks having low liquidity, illiquid "options", far month "option" writing of "options", stocks in GSM/Z, T, TS, S, B, BE, IL, BT, EQ Category and any other contracts which as per the perception of stock Broker are extremely volatile or subject to market manipulation.

**2. Setting Up Client's Exposure Limits:**

The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time. The client is aware and agrees that the stock broker may need to vary or reduce or impose new limits urgently on the basis of the stock broker's risk perception, risk profile of the client and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/limits (such as broker level/ market level limits in security specific / volume specific exposures etc.).

In case margin is kept in securities, Broker would value these securities after applying such haircut as it deems appropriate which would not be less than 20% in approved securities. Similarly, for providing exposure to client, Broker can pledge such securities in favor of clearing member/ Clearing Corporation or Bank under margin re-pledge system. Presently, the exchanges are requiring securities/ cash margin in equal ratio and total margin exposure provided by the clearing corporation is 90% of the total value. Therefore, the exposure will be allowed as permitted from time to time by clearing corporation / exchanges.

**3. Applicable Brokerage Rate:**

Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration of the client and/or subsequently through a written communication between client and Farsight. The rate of Brokerage shall not exceed the maximum brokerage permissible under Exchange bye-laws or Rs. 20/- per contract note whichever is lower. The brokerage is exclusive of various charges payable to Exchange/SEBI/Govt. Authorities/DP/delayed payment charges, penalty arises solely because of client etc. such details are available on website.

The slab rates of brokerage fixed by FARSIGHT are function of the quality and cost of services provided to the client and the volume and revenue expected from an account. It shall be reviewed by the FARSIGHT from time to time and may be increased with prospective effect at a notice of 15 Days sent to the E-mail address or postal address of the client registered with FARSIGHT.

**4. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period (This****must not result in funding by the broker in contravention of the applicable laws)**

As per prevalent regulations, no shortage in upfront margin / peak margin is allowed. However, there may be cases where shortage in margin arises because of visions solely attributed to clients. In such case, penalty levied by the exchanges will be debited to the client. In addition, the interest on margin blocked of the broker by clearing corporation will be charged to the client at 21% p.a. Broker will not pay any interest on unutilized margin or balance in trading account of the clients. In case of repeated violation by client, additional penalty (as disclosed on website) will be levied by the Exchanges.

All fines/penalties and charges levied upon the Client due to its acts / deeds or transactions will be recovered by the Stock Broker directly from the client's account.

**5. The right to sell clients' securities re-pledged as margin or close clients' positions, without giving notice to the client, on account of non-payment of client's dues**

FARSIGHT shall have right to sell client's securities, both unpaid as well as collaterals deposited towards margins, or close out client's open positions, without giving notice to the client where there is a delay/failure of the client to meet the pay-in obligations and /or there is a failure of the client to bring additional margin to cover the increase in risk in the dynamic market conditions.

**a) Unpaid Securities in Capital Market:-**

(i) In case any shares/securities purchased by the client remained unpaid on the date of pay in these will be transferred compulsorily to client account but marked as pledge to CUSPA account unpaid securities account (CUSA).

Farsight may follow the LIFO or average method of liquidation for sale of these securities without any further notice to the client.

**b. The Margin Shortfall in F&O:-**

- i Positions of the client may be closed out to the extent of margin shortfall on the T+1 basis.
- ii While computing margin shortfall, Value of unapproved securities shall not be considered.
- iii As per the current Exchange requirements, the member Broker is required to maintain a 50:50 ratio between cash and collaterals margin deposited with the Exchange. FARSIGHT shall therefore have the prerogative to insist for at least 50% of margin in cash and may not consider the value of securities over and above the cash component for the purpose of calculating margins shortfall and close out the F&O Position wherever it finds the deviation. However, sales made in capital market segment shall not be considered

while closing F&O Positions on T+1 basis due to margin shortfall.

**c. Intra-day Positions:-**

FARSIGHT shall have right to close out any intra-day Positions taken by the client after a defined " Cut-off" time (Presently 20 minutes before close of market).

**d. General**

- i While selling the securities/ closing the clients positions, FARSIGHT may take into account the sales made by the client, Positions closed by the client or collections received from the client till cut-off time (Presently 12.00 pm).
- ii While selling the Securities/ Closing the clients positions, FARSIGHT may not take into consideration cheques/Bank Drafts/ Pay orders deposited by the client with FARSIGHT until clear proceeds of such instruments are received by FARSIGHT in its bank account.
- iii. FARSIGHT shall have the right to sell client's securities or close out client's open positions but it shall not be under any obligations to undertake this exercise compulsorily. FARSIGHT shall therefore not be under any obligation to compensate/or provide reasons of any delay or omission on its part to sell client's securities or close open positions of the client.
- iv The client would make good the short fall, if any post liquidation, immediately. But refund such excess to clients, if so demanded by clients, by next working day.

**6. Shortages in obligations arising out of internal netting of trades**

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a. The securities delivered short are purchased from market in code of defaulting clients only on T+2 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes, levies and penalty) is debited to the short delivering seller client. However, if the buyer has already sold the shares in anticipation of his incoming delivery, purchase for open market will not be done. Rate at which his transactions are auctioned / closed out by Exchange or internal shortage mechanism will be changed to defaulting sell etc. including STT, taxes, penalty etc.
- b. If securities cannot be purchased from market due to any reason, the short delivering seller is debited at the closing rate on T+2 day or Auction day on Exchange +10% and buyer will be given credit. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/ credits shall be as per Exchange Debits and Credits after deducting exchange penalties.
- c. In case of securities having corporate actions all cases

of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction.

**7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.**

The stock broker may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker/exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The stock broker is entitled to disable / freeze the account or trading facility / any other service if, in the opinion of the stock broker, the client has acted in contradiction of this agreement or / evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

Any profit/loss arising out of these transactions shall be at the risk of and borne by the client.

**8. Temporarily suspending / deregistering or closing a client's account at the client's request-**

Client may instruct the member to close out the account or suspend the trading through client's account for the period as specified in the request in written and duly signed by him. The stock broker can with-hold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

FARSIGHT may carry a periodic review of the client accounts and may suspend the accounts from Trading in the following circumstances:-

- Where the client is inactive for a period as specified by the exchanges from time to time. The account can be reactivated and can be allowed trading once by compliance requirement and fresh c-KYC is done.
- Physical contract notes are received back undelivered due to reasons like "no such person", "addressee left", refusal to accept mails, POD's signed by the third persons, signature mismatch on POD's or other reasons which may create suspicion.
- ECN failed (Bounced email) on more than 3 instances until client submits a valid explanation.
- Client can also send an email from designated mail id for reactive request.

**Client Acceptance of Policies and Procedures stated hereinabove:**

I/We have fully understood the above mentioned policies and procedures and do hereby signify my consent for the same.

 (9)

# STANDARD TARIFF SHEET - TRADING

Client Code : \_\_\_\_\_ Client Name : \_\_\_\_\_

CAPITAL MARKET SEGMENT		
NSE / BSE / MCX		
	in %age terms	Minimum ` (per share)
Intraday	0.03	3 Paisa
Delivery	0.3	5 Paisa
Trade to Trade	0.3	5 Paisa
GSM Other Categories	0.5	10 Paisa

FUTURES & OPTIONS SEGMENT			
	FUTURES		OPTIONS
	in %age terms	Minimum ` (per lot)	` Per Lot
NSE	0.02	30 INR	30 INR
BSE	0.02	30 INR	30 INR
MCX	0.02	30 INR	30 INR

CURRENCY DERIVATIVES SEGMENT			
	in %age terms	Minimum ` (per lot)	` Per Lot
NSE	0.02	30 INR	30 INR
BSE	0.02	30 INR	30 INR
MCX	0.02	30 INR	30 INR
	0.02	30 INR	30 INR

MUTUAL FUNDS SEGMENT	
NSE / BSE / ETF	
in %age terms	Minimum ` (per unit)
0.3	3 Paisa

\* Transaction Charges, Service Tax/GST, STT, Stamp Duty, SEBI Fee, Other Govt. Levies are extra.

Technology Charges maximum – NIL subject to volume.

Recurring Charges : Monthly – NIL Quarterly – NIL Half Yearly – NIL Year– NIL

**Note :** Dispatch of Contract Note : Through Ordinary Post Free. Through Courier Rs. 50/-  
In case of previous years duplicate printout Rs. 100/- per statement.

 (10)

## CLEARING MEMBER DETAILS

### NSE Equity Derivatives

**FARSIGHT SECURITIES LTD.** - SEBI Regn. No.: INZ000169935

Regd. Office: 17-A/55, Farsight Triveni Plaza, Gurudwara Road, Karol Bagh, New Delhi-110005

### NSE Currency Derivatives & MCX Commodity Derivative Markets

**SMC GLOBAL SECURITIES LTD.** | SEBI Regn. No.: INZ000199438

Regd. Office: 11/6B, Shanti Chamber, Pusa Road, New Delhi-110005



# DP TARIFF FOR NSDL/CDSL ACCOUNT


## PLAN A – ONE TIME PAYMENT

Sl. No.	PARTICULARS	ONLINE ACCOUNT OPENING
1.	Account Opening	NIL
2.	(i) Annual Maintenance	1st Year - `1100/- + Rs.171/- KRA + GST Rs. 229/- Total Rs.1500/- Subsequent year - NIL
	(ii) Maintenance Charges By Depositories	NIL
3.	Transaction Charges	
	(i.) Delivery In-coming	NIL
	(ii.) Delivery Out-going (through Speed- E, POA)	`18/- per Trxn
4.	KRA/CKYC Modification	`100/- per modification
	KRA / CKYC Registration	`200/-
5.	Dematerialisation	`100/- Plus `3/- per Certificate (Postage Charges `50/- Extra)
6.	Rematerialisation	`100/- per certificate or `20/- for every certificate every 100 securities whichever is higher (Postage Charges `50/- Extra)
7.	Instruction Booklet	`50/- for 10 Leaves (Postage charges `50/- extra)
8.	Pledge Creation/ Closure/ Invocation	`50/- per Transaction

N.B. :

- Any other services not specified above shall be charged extra.
- Rejection charges on failure of instruction `50/ per instruction shall be charged.
- Non - execution of delivery instruction due to any problem / error `50/- per communication / dispatch.
- Physical DIS execution charges `10/- per slip extra.
- Charges / Services standards are subject to revision at Depository Participants discretion after giving 30 days notice.
- In case of Demat rejection postage shall be charged @ 50/- for dispatch to the Client for removal of objection.
- In case of Non-Payment of the bill within 30 days from the date of bill, Interest @ 1.5% p.m. will be charged.
- The depository services are liable to be discontinued on such default. The renewal charges will be `100/-.
- Statements of accounts will be mailed by ordinary post only, at free of cost. Statements can be provided by courier with extra charges of `50/- per dispatch.
- Amount charged by NSDL/CDSL for CAS will be charge extra.
- Client Master Charge `50/- Per Request.
- GST/ Taxes and other government levies extra as applicable from time to time.
- Charges for transaction value from `5 to 20 lac `50/- and transaction value above 20 lac `80/- per Instruction extra.
- DP reserves the right not to execute the delivery instruction in case where service charges are outstanding.
- Client will maintain minimum `200/- as an advance payment which will be adjusted against future bills.
- `10/- per page for holding / transaction / financial accounts for extra statements.
- In case the value of the holdings in the BSDA account exceeds the prescribed criteria of `2,00,000/- at any point of time; the regular tariff applicable to non BSDA accounts would be charged from that date onwards.
- The Annual Maintenance Charges are levied in advance at the beginning of the billing cycle.
- Margin Pledge transactions charge `50/- per instruction will be charged in all scheme.

### HOLDER'S SIGNATURES

 (11)

Signature of Client

## DP TARIFF FOR NSDL/CDSL ACCOUNT PLAN – B - ANNUAL MAINTENANCE PLAN

Sl. No.	PARTICULARS	ONLINE ACCOUNT OPENING
1.	Account Opening	NIL
2.	(i) Annual Maintenance	1st Year - `300/- + 200/- for KRA GST-90/- Total – 590/- Subsequent year - 300/- + GST
	(ii) Maintenance Charges By Depositories	NIL
3.	Transaction Charges	
	(iii.) Delivery In-coming	NIL
	(iv.) Delivery Out-going (through Speed-E, POA)	`18/- per Trxn
4.	KRA/CKYC Modification	`100/- per modification
	KRA / CKYC Registration	`200/-
5.	Dematerialisation	`100/- Plus `3/- per Certificate (Postage Charges `50/- Extra)
6.	Rematerialisation	`100/- per certificate or `20/- for every certificate every 100 securities whichever is higher (Postage Charges `50/- Extra)
7.	Instruction Booklet	`50/- for 10 Leaves (Postage charges `50/- extra)
8.	Pledge Creation/ Closure/ Invocation	`50/- per Transaction

N.B.:

- Any other services not specified above shall be charged extra.
- Rejection charges on failure of instruction `50/ per instruction shall be charged.
- Non - execution of delivery instruction due to any problem / error `50/- per communication / dispatch.
- Physical DIS execution charges `10/- per slip extra.
- Charges / Services standards are subject to revision at Depository Participants discretion after giving 30 days notice.
- In case of Demat rejection postage shall be charged @ 50/- for dispatch to the Client for removal of objection.
- In case of Non-Payment of the bill within 30 days from the date of bill, Interest @ 1.5% p.m. will be charged.
- The depository services are liable to be discontinued on such default. The renewal charges will be `100/-.
- Statements of accounts will be mailed by ordinary post only, at free of cost. Statements can be provided by courier with extra charges of `50/- per dispatch.
- Amount charged by NSDL/CDSL for CAS will be charge extra.
- Client Master Charge `50/- Per Request.
- GST/ Taxes and other government levies extra as applicable from time to time.
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- Margin Pledge transactions charge `50/- per instruction will be charged in all scheme.

### HOLDER'S SIGNATURES

 (11)

Signature of Client



## VOLUNTARY

To,  
**Farsight Securities Ltd.**

Date : .....

17-A/55, Farsight Triveni Plaza, Gurudwara Road, Karol Bagh, New Delhi-110005  
Phone: 011-4504-4444 Fax: 011-45044434  
E-mail : contactus@farsightshares.com

Client Code : .....

Demat Client ID : .....

### Sub : Letter of Authority - NSE / BSE / MCX (All Segment)

I/We am/are dealing in securities with you at NSE/BSE/MCX Capital Market Segment, Derivatives Segment, Commodities Segment and Currency Segment. In order to facilitate ease of operations, we authorize you as under:

#### 1. Running Account

We authorize you to settle our running account, in term of SEBI/Exchange regulations or modification thereof:

☐ Quarterly ☐ Monthly

#### 2. Telephonic Conversation & Verbal Order:

I/We request you to consider my/our oral or telephonic instructions for order placing/order modification /order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you. I/We authorize you to record the telephonic conversations, if you so require. I / We understand the risk associated with verbal orders and accept the same. In case of any confusion, however the day end confirmation sent by exchange or broker will be final, if not disputed on the same day.

#### 3. Electronic On-Line Trading:

Trading in exchanges is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of you and may result in delay in processing or not processing buy or sell orders either in part or in full. I agree that I shall be fully liable and responsible for any such problems glitch. The sauda or position shown by Exchange main ID - terminal or as uploaded by Exchanges in the evening in obligation file would be deemed to be final.

#### 4. Fines & Penalties:

All fines/penalties and charges levied upon you by exchanges/regulator due to my acts / deeds or transactions may be recovered by you from my account.

#### 5. I/We have a trading as well as depository relationship with Farsight Group. Please debit the charges relating to depository services and courier charges for sending physical documents [including my family members] to my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my/our trading account/pay adequate advance fee.

#### 6. I further authorize Mr./Ms. \_\_\_\_\_ S/O/D/o \_\_\_\_\_ Age \_\_\_\_\_ R/o \_\_\_\_\_ who is my [Relation] to operate and perform necessary act in relation to this account such as purchase/sale signing confirmation to accept Contract Note documents from Farsight Securities Ltd. He/She is further authorized to make, receive and accept telephone calls relating to operation in this account.

#### 7. SMS/e-mail/TRRYITT:

My email id is\* \_\_\_\_\_ has been created by me and not by someone else. The guidelines on ECN have 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. I am aware that exchanges are sending SMS/e-mails providing trade confirmation and details. In case I do not get any details or discover any discrepancy, I shall report to the broker in writing. I further undertake to inform the broker in writing in case there are any changes in given mobile/telephone number and e-mail id. Similarly, I am aware that shares scanning facility from TRRYITT is just an opinion and not binding or with any obligation on your part.

\* [The email id must be written in handwriting of the client in case of commodity trading]

\* Strike off the clauses not relevant to you.

Thanking you,




Yours faithfully,

 (12) \_\_\_\_\_  
Signature of Client

Place : \_\_\_\_\_

## Demat Debit and Pledge Instruction

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

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	 _____
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.	 _____
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	 _____
4.	Tendering shares in open offers through Stock Exchange platforms	

**Note:** This is required to be stamped as Power of Attorney and to be signed by all joint holders. This is valid for transfer of shares for transactions executed in Farsight only.

 (13) \_\_\_\_\_

**Signature of Client**

Place: \_\_\_\_\_

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

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