

COMMON KYC FORM			
Premium Account 🗆	СКҮС		
Regular Account 🗆	KRA		
Simplified Account	DI	P CLIENT ID	
NSE, BSE, MCX dp-nsdl / cdsl	TRADING CL	IENT CODE	
Farsight Secu	rities I	.td.	

## FARSIGHT : A DECADE OF GLORIOUS MOMENTS



1. Dr. NC Maheshwari explaining "Growing Asia - its Promising Markets". 2. Participating in discussing new Union Budget. 3. Discussing financial market in India. 4. Farsight in Social Responsibility. 5. Chairman inaugurating the conference. 6. Momento presented by SEBI to Chairman in Indian Trade Fair, New Delhi for his splendor work in investor's education. As Per SEBI Circular No. CIR/MIRSD/13/2013

#### ACCOUNT OPENING KIT

	Dated Dec 26, 2013											
S. No.	Name of Document	Brief Significance of the Document	Page No.									
	MANDATORY	DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES										
1.	Account Opening Form	A. CKYC form - Document captures the basic information about the constituent and instruction/check list.	IND 1-2									
		B. Document captures the additional information about the constituent relevant to trading account and instruction/check list.	ADDL 1-5									
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)	separate booklet (As per format									
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	annexure 4, 5 & 6) as per SEBI									
4.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Circular: CIR/ MIRSD/64/2016 dt. 12-07-2016 also available on website and on demand									
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	P&P 1-4									
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	TARIFF 1-2									

#### 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	LOA 1
8.	Declaration	Declaration	
9.	Name Mismatch Self Declaration	Declaration	
10.	Disclosure to Client	Disclosure to Client for Pro Trading.	DECL 1
11.	Ghoshna	Ghoshna for Hindi	
12.	Power of Attorney	Instructions for Automatic Pay-In (POA)	POA 1
13.	Declaration by HUF	Declaration	HUF 1
		For Non Individual	
14.	Non Individual Form	Documents captures the Basic Information about the Non-Individual	
15.	FATCA Declaration	Details of Ultimate Beneficial Owner (OBO) Including FATCA & CRS details	CORP 1-4
16.	Mutual Fund Form	Registration for Online Investment for Mutual Fund	MF 1

\* SOFT COPIES OF THE DOCUMENTS ARE AVAILABLE ON WWW.FARSIGHTSHARES.COM

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

	FOR OFFICE USE	ONLY	
KRA/CKYC NO		Upload/E	Download
Verified by		Brar	nch Code
UCC Code allotted to the Client	: DP IE	& CLIENT ID :	
	Documents verified	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			
Account Opened by	:		Date :
Exchange activated & Mapped by	:		Date :
Rechecked by			Date :
I / We undertake that we have ma	de the client aware of 'Policy and Pr	ocedures', tariff sheet and a	Il 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 Authorised Signatory

Date .....

Seal/Stamp Farsight Securities Limited

#### ADDITIONAL INSTRUCTIONS / CHECK LIST FOR F&O / CURRENCY / COMMODITIES ACTIVATION

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

- Copy of ITR Acknowledgement
- Copy of Annual Accounts
- In case of salary income Salary Slip, Copy of Form 16
- Net worth certificate
- Copy of demat account holding statement.
- Bank account statement for last 6 months
- Any other relevant documents substantiating ownership of assets.
- Self declaration with relevant supporting documents.
- In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
- 2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- 3. Demat master or recent holding statement issued by DP bearing name of the client.

#### 4. For Individuals

- a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/subbroker's office.
- b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

#### 5. For Non-Individuals

- a. Form need to be initialized by all the authorized signatories.
- b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.
- 6. If in the opinion of the broker, financial resources, experience are inadequate, trading in any derivative product can be declined.

#### FARSIGHT SECURITIES LIMITED

Trading	Mombor	NCE	DCE	MOV
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Know Your Customer (KYC) Application For	m Individual
For office use only (To be filled by com	pany officials only)
	ate KYC Number* (Mandatory for KYC update request)
Fields marked with* are mandatory fields.	
DP ID :- Client	
1. PERSONAL DETAILS	
Name* Prefix	
(Same as ID proof)	
Maiden Name (If any*)	
Father / Spouse Name*	
Mother Name*	
Date of Birth*	- M M - Y Y Y Y
Gender*	F- Female
Marital Status* Married	Unmarried Others Others (ISO 3166 Country Code)
Citizenship* INI Indian	
Residential Status* Resident Individual	Non Resident Indian         Please affix the recent
Foreign National	Person of Indian Origin passport size photograph
Occupation Type* Private Sector	Public Sector  Government Service  (Size 3.5 cm X 4.5 cm)
(Please Tick any One and give brief Professional	Student Retired
details)	
X- Not Categorised (brie	f details)
2. PROOF OF IDENTITY (Pol)*	
	g Proof of Identity[Pol] needs to be submitted)
A- Passport Number	Passport Expiry Date D D - M M - Y Y Y Y
B- Voter ID Card	
C- PAN Card	
	Exp. Date D D - M M - Y Y Y Y
E- UID (Aadhaar)	
F- NREGA Job Card	
Z- Others (any document notified by the central government)	Identification Number
S- Simplified Measures Account - Document Typ	
3. PROOF OF ADDRESS (PoA)*	
□ 3.1 CURRENT / PERMANENT / O	/ERSEAS ADDRESS DETAILS
(Certified copy of any one of the following Proc	of of Address [PoA] needs to be submitted)
Address Type*	ss Residential Business Registered Office Unspecified
Proof of Address*  Voter Identity Card	Driving Licence Passport NREGA Job Card UID (Aadhaar)
Address	
City / Town / Village*	District* Pin / Post Code*
State / U.T* Code	Country* Country Code* as per ISO 3166
<ul> <li>3.2 CORRESPONDENCE / LOCA</li> <li>Same as Current / Permanent / Overs</li> </ul>	
Address*	
City / Town / Village*	District*Post Code*
State / U.T * Code <sup>3</sup>	Country* Country Code* as per ISO 3166

4. CONTACT DE	TAI	LS	(A	ll c	comi	nur	icati	ons	will	be	se	ent o	n	prov	vid	ed M	obil	le r	no. /	Em	ail-	D)											
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14	IN	CASE OF NRI'S	3 / FOREIGN	NATI	ONALS						
	RE	31 Approval Refe	rence Numb	er			RBI Approva	l (Date)	DD	MMY	YYY
15	G	UARDIAN DETA	<b>ILS</b> (In case	the So	le Holder is a Mino	or) (Applicable for	Demat Acco	ount only):			
		ardian Name				,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,					
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16			ATION FOR	SAME							
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1		E NUMBER :				MAIL ID :					
1					E-Mail ID or Both						
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										Yes	No
	1.			e credit	s automatcally into	my/our DP acco	unt.				
	2.	•			ver of Attorney (PC	•					
	3.			0	are giving Power	,	A). Ensure t	hat			
					e KYC Application		,				
		Sr. No.		Ho	older						
		a)		Sc	ole / First Holder						
		b)		Se	econd Holder						
		c)			nird Holder						
	4.	I/We request you	u to enable m	ny/our [	OP account for Aut	to Pledge confirm	ation.				
	5.	I wish to avail fa	cility for Inter	net Tra	ding and Wireless	Technology					
	6.	I/We would like t	o share the e	email I	D with the RTA						
	7.	Mode of Receiv	ing Contract	Note,	Statement of Acc	count,	Physica	l Form	Ele	ctronic Fo	orm
			Standard KYC	Docun	nents & Other Docu	ments			(Read	Note 4 and ensur	re that email Id
		(tick any one)								ided in KYC Applic	
	8.	I/We would like t	o receive the	Annua	al Report		Physica	I Form	Ele	ctronic Fo	orm
	9.	Whether you wis	sh to receive	A. Rigl	nts & Obligations of	of Stock Broker, S	ub-Broker &	Client, B.	Right	s & Oblig	ations of
		Beneficial Owner	· & Depository	/ Partici	pants, C. Right & (	Obligations of men	nbers, AP ar	d clients as	s presc	ribed by S	SEBI and
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19	A	DDITIONAL DE	AILS								
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	•				Broker/Exchange	Yes No, If Ye	es provide d	etails			
	•		• ·		t Group/other Bro		· ·		vide de	tails	
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20	G										
	•	GST Number			•	GST Implementa	ation Location	on			

#### ARSIGHT SECURITIES LIMITED

21		RADING PR									
*Ple	ase	e sign in the re	elevant boxe	es where you w	vish to tra	de. The	segment not cl	nosen sho	uld be str	uck off by the clie	ent.
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22	P	AST ACTIO	NS								
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24	IN	ITRODUCEI	R DETAILS	(OPTIONAL	_)						
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(On	y fo	or CDSL DP C	Client)	Sole/First Ho	older Sign	ature	Second H	older Sign	ature	Third Hold	er Signature

#### **Nomination Form**

#### [Annexure A to SEBI circular no. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/23 dated February 24, 2022 on Nomination for Eligible Trading and Demat Accounts – Extension of timelines and relaxations for existing account holders]

17A/5: GURU NEW Websi Da I I	ARSIGHT SEC 5, TRIVENI PL/ UDWARA ROAI DELHI-110005, ite: www.farsigh ate D D /We wish to make	AZA, 3 <sup>rd</sup> FLOO D, KAROL BA PH:011450444 tshares.com M M Y e a nomination.	OR GH, i39,41 Y [As pet		ven belov	v]	I	ne filled	in by	indivi		plyir	ng singly Client	ID										
of No	We wish to make my / our death. omination can be ominees in the ac	e made upto th				ils of 1 <sup>st</sup> l							ominee				ils of 3							
1																								
2	Share of each	Equally			%											%								
	each     [If not equally, please specify percentage]       Any odd lot after division shall be transferred to the first nominee main from the first no											nentio	oned	in the	form.									
3	Relationship V (If Any)	With the Applic	cant																					
4	Address of No City / Place: State & Country																	_						
		PIN Cod	le																					
5	Mobile / Telep nominee(s) #	phone No. of																						
6	Email ID of no	ominee(s) #																						
7	[Please tick an and provide det □ Photograph & □ Aadhaar Sa	tification detai y one of follow tails of same] & Signature PA ving Bank acco ccount ID	ving N																					
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			{in																					
9       Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }         10       Address of Guardian(s)																								

-	f		8			1	,
	City / Place: State & Country:						
		PIN Code					
11	Mobile/ Telephor Guardian #	ne no. of					
12	Email ID of Gua	rdian#					
13	Relationship of ( nominee	Guardian with					
14	Guardian Identi [Please tick any and provide detai Photograph & S PAN Account i Identity Demat Account	one of following ils of same] Signature no. Proof of					
			Name(s) of ho	lder(s)		Signature(s)	of holder*
Sol	e / First Holder (Mr	:./Ms.)					
Se	econd Holder (Mr./M	Ms.)					
Tł	hird Holder (Mr./Ms	s.)					

\* 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)

	Name and Signature of Holder(s)*									
	123									
-	123									

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

#### 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]

То	Date		D	D	M	Μ	Υ	Y	Υ	Υ			
M/s. FARSIGHT SECURITIES LTD. 17A/55, TRIVENI PLAZA, 3 <sup>rd</sup> FLOOR GURUDWARA ROAD, KAROL BAGH, NEW DELHI-110005, PH:011- 45044439,41 Website: <u>www.farsightshares.com</u> Email ID – <u>demat@farsightshares.com</u>				I	I		I		I				
UCC/DP ID													
Client ID (only for Demat account)													
Sole/First Holder Name			•		·								
Second Holder Name	Second Holder Name												
Third Holder Name													
I / We hereby confirm that I / We do not w	ish to a	арро	int an	y nom	inee(s	s) in my	//our	tradi	ng / d	demat			
account and understand the issues involved	d in nor	n-app	pointn	nent o	f nom	inee(s)	and f	urthe	rare	aware			
that in case of death of all the account ho		-		-									
requisite documents / information for clai	-				•		-						
which may also include documents issued	•		other	such	comp	etent a	uthori	ty, ba	ised o	on the			
value of assets held in the trading / demat	accoun	t.											
Name and Signature of Holder(s)*													
12					3								

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

#### 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	
Sole / First Holder / Guardian (in case sole holder is minor)		<b>(</b> 5)	be used pturing
Second Holder		<u>k</u> o	Sign to for cap
Third Holder		<u>k</u> a	S

#### 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.

Stock broker is advising to the clients not to deal in penny securities and if client deals with the penny stocks, 100% margin will be taken from the client and these shares will not be taken to as Margin deposit. The stock broker shall have authority from time to time limit (quantity/ value) or refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies) or may require compulsory settlement / advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance / placement of order(s) as well, the order being for securities which are not in the permitted list of the stock broker / exchange(s) / SEBI or does not commensurate with the risk profile of the client as assessed by the broker. Decision of Broker will be binding on the client and will be final.

#### 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.).

It may be noted that in cash segment also upfront margin collection and reporting is compulsory. In absence thereof no sauda can be done. Similarly now margin may have to be reported on intra day position. Therefore exposure will not be allowed beyond one time unless expressly agreed to between the parties subject to regulations of SEBI/ exchanges

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.

The stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. Sometimes client's sauda may go to IOC (Immediate or Cancel) instead of normal bidding if broker terminal is on square off mode.

The Stock Broker at its sole discretion can give extra exposure or intraday limit to the client, such extra exposure will automatically be squared off by trading mechanism without any further reference to the client appx. 15 minutes before the scheduled closing. This is subject to Peak Margin Collection and Reporting Mechanism.

#### 3. Applicable Brokerage Rate:

a. 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 agreement between client and Farsight . The rate of Brokerage shall not exceed the maximum brokerage permissible under Exchange bye-laws.

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.

The brokerage shall however be exclusive of the following:

- DP Annual maintenance charges
- DP transaction charges / Pledge/Re-pledge/ Demat/ Re-mat Charges
- DP Inter settlement charges
- Account Opening Charges
- Delayed payment charges
- Penalties levied by Exchange
- Research advisory charges
- Courier charges
- Bank charges towards the cheques received unpaid
- DP, Bank and other processing charges towards periodic settlement of Funds/Securities on periodic basis.
- Statutory charges payable to Exchange/SEBI/Govt. Authorities etc.
- SEBI/Exchange/Clearing Member Turnover charges
- Other out of pocket and services related charges
- b. Advance Brokerage Model The company may covered with fixed monthly advance brokerage module depending upon various volume level. Such advance brokerage is not refundable if client has done any transaction during that

month. However, if there are no transaction, Farsight may allow one rollover to next month only.

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)

Client shall be liable to penalty and other charges on nonpayment of margin money, short selling of securities or units, failure on payment of auction, cheque bounce, nondelivery of shares, increase open position or on any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force as per Rules, Regulations, Guidelines and Circulars issued by SEBI and stock exchange time to time and client will be kept informed about the rate of such penalties & fines. Similarly in case of non receipt of full payment of value of delivery purchased, margin imposed (initial + MTM) interest will be charged at 21% p.a. calculated on daily basis on shortfall amount till the date of actual realization of money.

However, 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.

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

5. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues (This shall be limited to the extent of settlement/margin obligation)

FARSIGHT shall have right to sell client's securities, both unpaid as well as collaterals deposited towards margins, or close out clients 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 on same day.

- 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 Unpaid Securities Account (CUSA).

In case unpaid securities / remain unpaid for five days from pay in date. These will be liquidated compulsorily to clear his debit balance/incidental charges, as per the policy adopted by the broker from time to time. ii. Farsight may follow the LIFO or average method of liquidation of securities but in exceptional circumstances Farsight may use its own discretion.

#### 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 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+0 basis due to margin shortfall.

#### c. Intra-day Positions:-

FARSIGHT shall have the 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 2.00 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. However payout made through NEFT / RTGS would be accounted for, If proper bank UTR and debit proof is furnished.
- 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 from open market will not be done. Rate at which his transactions are auctioned / closed out by Exchange including STT, Taxes, Penalty etc will be debited for his sale and credited for his puchase separately.
- 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.

- 1. for non-payment or erosion of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities/ obligations.
- 2. When the brokers exposure is more than 85% in any segment.
- The client hereby authorizes the Stock Broker to square up all his outstanding positions at the discretion of the Stock Broker, which are not marked for delivery 15 minutes before the closing time of the normal market or if the client's cash margin is evaporated by 70% in any of exchanges,

Farsight reserves the right to square off positions. Therefore, it has been expressly explained and understood by the client that his intraday /existing position/addition position can be closed square off 70% of the margin in cash is evaporated or mark to mark loss at any point of the time reached 70% of the cash deposit, notwithstanding any other clause in this clause.

- Under certain market conditions, it may be difficult or 4. impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock hitting circuit filters or for any other reason as prescribed or instructed by SEBI. Therefore, it is expressly understood by the clients that squaring off / closing out the position of the clients in appropriate circumstances is a right but not an obligation of Broker. Similarly broker can rely upon clients (regular) as aware that he has transferred the funds. In all such cases where sauda could not be squared off or cloud out late, loss which can be more than the margin deposit will be on account of client and would be payable by him.
- 5. 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 committed a crime, fraud or 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 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 wit 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 more than 6 months
- 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.

#### 9. Deregistering a client

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- i. If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
- ii. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- iii. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the security transactions;
- iv. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- v. If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Stock broker;
- vi. If any covenant or warranty of the Client is incorrect or untrue in any material respect; However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Stock Broker.
- vii. If the client do not transact for a period exceeding 2 years, in such cases, fresh declaration/documents will be required and due diligence will be carried out before activating the Account.
- viii. If Net worth Certificate/ Balance sheet etc are not updated periodically.

#### **10. INACTIVE CLIENT ACCOUNT**

Any client who has not traded with Farsight Securities Ltd. for last 12 months across all exchanges or subject to such conditions as may be prescribed by SEBI/exchange/Farsight Securities Ltd from time to time would be termed as Inactive Client.

The inactive account shall be flagged as "Inactive" and further trading by such clients shall be activated only after

undertaking due diligence (including In Person Verification) and obtaining updated information related to KYC from the client. The funds/securities of the inactive client shall be settled in the manner prescribed. In case of non-traceability of client, every effort shall be taken to trace the clients to settle their funds and securities. However, in case the clients cannot be traced inspite of all efforts taken, then the funds/securities of such clients shall be set aside in a separate client bank/client collateral demat account and an audit trail for funds/securities transferred from/to such bank/demat account shall be maintained. In case of receipt of any claims from such clients, the settlement of accounts shall be done immediately by making the payment/delivery to the respective client's.

## Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through anyone or more means or methods such as post / speed post / courier / registered post / registered AD / facsimile / telegram / cable / e-mail / voice mails telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc.; or any other suitable or applicable mode or manner. I/we agree that the postal department / the courier company /newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail/voice mail service provider, etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me/ us and stock broker before any court of law / judicial / adjudicating authority including arbitrator/ mediator etc.

I further undertake to adhere to the procedures & code of ethics prescribed by SEBI / Exchanges in this regard. Broker shall not be responsible for any transactions entered by the client in their personal capacity with the employees of broker, if any.



		TARIFF SHEET						
Client Code :		Client Name : _						
CAPITAL MAR	RKET SEGMENT							
		NSE / E	BSE/MCX					
	in %age terms	5	M	nimum ₹ (per share)				
Intraday								
Delivery								
Trade to Trade								
FUTURES & (	OPTIONS SEGMENT		•					
	FU1	TURES		OPTIONS				
	in %age terms	Minimum	l ₹ (per lot)	₹ Per Lot				
NSE								
BSE								
МСХ								
CURRENCY D	DERIVATIVES SEGMENT							
	in %age terms	Minimum	l ₹ (per lot)	₹ Per Lot				
NSE								
BSE								
MCX								
MUTUAL FUN	IDS SEGMENT		·					
		NSE						
	in %age terms		Minimu	ım ₹ (per unit)				
* Transaction Char	rges, Service Tax/GST, STT, Stamp Du	uty, SEBI Fee, Other	Govt. Levies are ex	xtra.				
One Time Account	Opening Charges (Rs.)							
Technology Charge	es maximum 0.1% subject to volume.							
Recurring Charges	s: Monthly Quarterly	Half Yearly Y	early					
	Contract Note : Through Ordinary Po s years duplicate printout Rs. 200/- pe		urier Rs. 50/-	<b>2</b> (7)				
				ም- ግላህ <u>\` /</u>				

#### 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



### FARSIGHT SECURITIES LTD.

Depository Participant : NSDL, DP - ID - IN301766 CDSL, DP - ID - 12056300 SEBI Regn No. (NSDL, CDSL) : IN-DP-579-2021 17-A/55 Farsight Triveni Plaza, Gurudwara Road, Karol Bagh, New Delbi-1100

17-A/55, Farsight Triveni Plaza, Gurudwara Road, Karol Bagh, New Delhi–110005 EAPBX: 011-4504-4444 (30 Lines) Fax: 011-45044434 | E-mail : demat@farsightshares.com

SI. No.	PARTICULARS	CORPORATE	INDIVIDUAL/HUF									
<b>31. NO.</b>	PARTICULARS	CORPORATE	Α	В	С	BSDA						
1.	Account Opening	NIL	NIL	NIL	NIL	NIL						
2.	(i) Annual Maintenance	₹500/- Per Annum	₹1000/- Per Annum	₹300/- Per Annum	1st Year ₹999 Subsequent year NIL	Nil (Value of holding upto ₹50,000/-) ₹100/- p.a. (Value of holding from ₹50,001/- to ₹200,000/-)						
	(ii) Maintenance Charges By Depositories	₹500/- Per Annum	NIL	NIL	NIL	NIL						
	Transaction Charges											
2	Delivery In-coming	NIL		NI	-							
3.	Delivery Out-going (through Speed- E, POA)	₹18/- per Trxn	₹6/- per Trxn	₹18/- per Trxn	₹18/- per Trxn	₹30/- per Trxn						
4.	KRA/CKYC Modification	₹250/- per modification		₹100/-	per modificatio	on						
5.	Dematerialisation	₹20/- Plus ₹3/- per	Certifica	te (Posta	ge Charges ₹5	0/- Extra)						
6.	Rematerialisation	₹20/- per certif which ever is h				every 100 securities tra)						
7.	Instruction Booklet	₹25/- for 10 Leaves	s (Postag	e charges	s ₹50/- extra)							
8.	Pledge Creation/ Closure/ Invocation	₹50/- per Transacti	on									

N.B.:

- Any other services not specified above shall be charged extra.
- Rejection charges on failure of instruction ₹20/ 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 ₹20/- Per Request.
- Taxes and other government levies extra as applicable from time to

#### HOLDER'S SIGNATURES

**(8**)

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Second Holder

First Holder For Farsight Securities Ltd

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 ₹100/- per instruction will be charged in all scheme.
- Please Place my /our Account under Scheme

A \_\_\_\_\_/ B \_\_\_\_\_/ C \_\_\_\_\_/ BSDA \_\_\_\_\_/

Third holder

Received Copy	
<b>(b</b> - (0, 1)	
Client(s) Signature	

(Authorised Signatory)

#### VOLUNTARY

	Date :
To,	
Farsight Securities Ltd.	Client Code :
17-A/55, Farsight Triveni Plaza, Gurudwara Road, Karol Bagh, New Delhi–110005	
EAPBX: 011-4504-4444 (30 Lines) Fax: 011-45044434	Demat Client ID :
E-mail : contactus@farsightshares.com	

#### 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, interm 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 ofyou 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 changes 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.
- I further authorize Mr./Ms.\_\_\_\_\_S/0/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:

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.

\* [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,

(9)

**Client Signature** 

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

	DECL	ARATION	
	(To be signed in case trading account is	s to be mapped with joint bank/D	P account)
Dear Sir,			
	th reference to opening of trading account code	by Sh	
	ight Securities Ltd.	with	(name of bank)
	bank account No osed to be linked to the above mentioned trading accou	willi	(name of bank)
2. The	DP account No.	with	(name of DP)
propo	osed to be linked to the above mentioned trading accou	nt is in the joint name of	as the
	nolderas sec		
	nereby confirm that we have no objection with regard		
	ioned trading account. We also confirm that transfer of /DP account from the credit of this trading account. We		
	fer ro transactions. We further confirm that this account ve		
		-	~
<u>Æ</u> D	nature of Client Sec	ond Holder	Third holder
Sig			
	Self-Declaration with reference to	name in PAN and othe	er documents
Dear Sir/N	Madam,		
I wish to	open a trading/demat account with Farsight securities	s limited and for the same purp	pose, have signed and delivered an
account o	opening form to Farsight securities limited. I understand	I that there is a mismatch betwe	een my name appearing on my PAN
card (cop	y of which was given to Farsight securities limited along	with account opening form) and	the name given on other supporting
document	ts.With regards to the same, I undertake to state that I,		And
	pearing on pan card ) am/are one & the same person a		
	n the name appearing on Pan card.		. , , ,
	solely responsible for any consequences arising out o	of the difference in my name in	my pan , Income tax web-site ,bank
account a	and other supporting documents provided by me at the	time of opening an account.	
Thanking	you, Zn	1	d n
Yours fait	hfully, Signature of Client	Second Holder	Third holder
	DISCLOSUR		
To,	(Fill Olignt Name & Address)	To	
	(Fill Client Name & Address)	Farsight Securities Ltd. 17-A/55, Farsight Triveni Pla	aza Curudwara Baad
		Karol Bagh, New Delhi–110	
Sir,		Raior Bagn, New Denn-110	
	change notification, we hereby inform you that, we do	Dear Sir,	
	ed business and trading on our own account also.		ur information that you do client
	nd best regards	based business and Pro acc	
For Farsig	ht Securities Ltd.		
/			
(Authorize	ed Signatory)	(Client Signature)	
	घो	षणा	
में		· ─── /─── ↔ ↔ ↔ ·───	
	यह घोषण		।।इट ग्रुप म अपना शयर ट्राडग
	फओ/सीडीएस) का खाता खोला है। उसके लिए ए		
	किया है जोकि अंग्रेजी भाषा में है। मुझे इसका हिन्दी र		
	। हूँ। मुझे के.वाई.सी. फॉर्म की कॉपी, अनुच्छेद 4,5,6		प्रिवेशन ऑफ मनी लॉन्डरिंग) शीट
और अन्य	। स्वैच्छिक (voluntary) डाक्यूमेंट की कॉपी पावर ऑफ़	अटॉर्नी सहित मिल गई है।	

<u>(10)</u>

First Holder

<u>En</u> Second Holder

<u>L</u>1 Third holder

#### FARSIGHT SECURITIES LTD.

H.O.: 17A/55, WEA, TRIVENI PLAZA, GURUDWARA ROAD, KAROL BAGH, NEW DELHI – 110 005

#### SEBI/HO/MIRSD/DoP/P/CIR/2022/44

#### <u>'Demat Debit and Pledge Instruction' (DDPI) for transfer of Securities towards</u> <u>deliveries /Settlement Obligations and pledging/re-pledging of securities in</u> <u>favour of Farsight Securities Limited DPID - IN301766 and 12056300 SEBI</u> <u>single registration IN- DP-579-2021.</u>

Annexure-A

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	

#### Demat Debit and Pledge Instruction

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.

Name:

Client ID:

Place:

Date:

#### **DECLARATION BY HUF**

#### Farsight Securities Ltd.

Trading Member NSE, BSE, MCX

As our HUF firm wishes to open an account with you in the said name \_\_\_\_\_\_ We beg to say that the first signatory to this letter i.e. . \_\_\_\_\_\_ is the karta of the joint family and other signatories are the adult co-parceners of the said family. We authorize the KARTA to sign Account Opening Form and other KYC documents for opening and operating the said account.

We further confirm that the dealing in shares and securities of the said joint family is carried on mainly by the said karta as also by the other signatories here to in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the karta, including the share of minor co-parceners.

In view of the fact that ours is not a firm governed by the Indian partnership Act 1952. We have not got our said firm registered under the said Act.

We hereby undertake to inform you of the death of Karta or a co-parcener or birth of new co-parcener of any change occurring at any time in the membership of our joint family during the currency of the account.

Sr. No.	Name of Adult Co-parceners	Signature of Adult Co-parceners	Relation	DOB
1.		$\otimes$		
2.		$\otimes$		
3.		$\otimes$		
4.		$\otimes$		
5.		$\otimes$		
6.		$\otimes$		
7.		$\otimes$		

#### Name & Signature of adult co-parceners (use Annexure for additional Members)

#### Name & Date of Birth of Minor co-parceners (use Annexure for additional Members)

Sr. No.	Name of Minor Co-parceners	Date of Birth of Minor Co-parceners												
1.		D	D	M	M	Y	γ	Υ	Y					
2.		D	D	M	M	γ	Y	Υ	Y					
3.		D	D	M	M	γ	Y	γ	Y					
4.		D	D	Μ	Μ	Y	Y	Υ	Y					
5.		D	D	M	M	γ	Y	Υ	Υ					
6.		D	D	M	M	Y	Y	Υ	Y					

Name of Karta

Signature of Karta \_\_\_\_\_\_ with stamp

#### FARSIGHT SECURITIES LIMITED

Know Your Customer (KYC) Application Form											Non - Individual															
	C :				(	Client	ID	:-										PHOTOGRAPH Please affix the recent passport size photograph of Authorised Signatory & sign across it								
	ase fill this form in ENGLISH and i	in BL	.004	( LE	TTER												£	50	1	ı`	ize 3	.5 cr	n x	2.5	cm)	- I.
A)	IDENTITY DETAILS																									
1.	Name of the Applicant							Т	Τ		Т						Γ	Γ	Τ	Τ	Τ					
																				T						
2.	Date of Incorporation	DD	) —	Μ	M	YN		YY	7																	
	Place of Incorporation																									
3.	Date of Commencement	DD	) —	Μ	M	YN		YY	r																	
4.	a. PAN																									
	b. Registration No. (e.g. CIN)							-	1									Γ		Т						
5.	• • • • •	Priv	vate	l td	Co		] FI			HUF			1P;	artn	ers	hin			-	Go	vern	men	t Bo	odv		
		Pul					-			LLP			_	ocie				Γ			dy of					
							-	 OP		Bank	(					olea	ase	-			.,					
B)	ADDRESS DETAILS										-							-1		<i>,</i> ,						
1.																										
'.	Correspondence Address :																									
	City/Town/Village :		Р	in C	ode :					Sta	ate	:					Соι	untr	y:							
2.	Contact Details:																									
	Tel. (Off/Res) :			Fax	:						_ N	/lob	ile :							Т						
	E-mail Id :										Т							Ī		Ť						$\exists$
											1							$\uparrow$		╈						
3.	Specify the proof of address submit																									
4.	Registered Address (if different fror	m abo	ove.)	:																						
	City/Town/Village :		P	in C	ode .					Sta	ate						Coi	Intr	v ·							_
3.	Specify the proof of address submit																									
	OTHERS DETAILS			giste		101633	·																			
1.	Name, PAN, Residential Address	and	Phot	ogra	aphs c	of Pro	not	ters	/ Pa	artner	s /	Ka	arta	/												
	Trustees / Whole time directors and																									
2.	a. DIN of whole time directors																		1	As	per /	Anne	xur	e		
	b. Aadhar Number of Promoters/Pa	Irtners	s/Kai	rta																						
D)	DECLARATION																									
	e hereby declare that the details furn																									
	nform you of any change therein, im representing, I am/we are aware that								ove	Intor	ma	tior	I IS	TOU	ina	το	be	Tais	seo	or l	untru	e or	mi	siea	aing	, or
		,	may					·																		
<b>_</b>																		_	_	_		_				
	Signature o	of the	Aut	hori	sed S	ignato	ory(	(ies)						D	ate	:	D	D	_	- 1	1 M	_	Y	Y	Y	Y
					FOR	OFF	ICE	EUS	SE (	ONLY	1															
	Originals verified and Self-Attested	docu	men	t cop	oies re	ceived																				
Na	me of the Authorised Signatory																									
Da		Y	Fo	or Fa	arsigh	nt Seo	ur	ities	s Li	mited	b								Seal	115	tamp o	of the	Inte	rmedi	ary	
Pla	ce : Delhi		Si	gna	ture	of the	A	utho	oris	ed Si	ign	ato	ory													

ď	Details of Promoters/Partners/Karta/Trustees/Whole Time Directors ar	ustees/Whole Time Director	s and Authorised Signatory forming a part of Know Your Client (KYC) Applicaioon Form for Non-Individuals	part of Know Your Client (KY	C) Applicaioon Form for Non	-Individuals
N	Name of Applicant			PAN 0	PAN of the Applicant	
Sr. No.	PAN	NAME	DIN (For Directors)/Aadhar Number (For Others)	Residential/Registered Address	Relationship with Application (i.e. promoters, partners, Karta, whole time director Authorised Signatory etc.	Photograph
<del>.</del>						
<b>Ni</b> 21						
с						
4.						
	Signature of the Authorised Signatory(ies)	ed Signatory(ies)			Date : D D - M M -	

#### FARSIGHT SECURITIES LIMITED +<del>@</del>→Farsiqht

#### Trading Member NSE, BSE, MCX

Details of Ultimate Beneficial Owner (UBO) Including Additional FATCA & CRS Information (Refer to instructions) Declaration Form for											
(Please consult your professional tax adv		Non-Individuals									
1 APPLICANT Details											
Name of the entity											
Type of address given at KRA Address of tax residence would be taken Customer ID / Folio NO.			Residential of any change please		iness  Registered Office KRA and notify the changes						
	Dat	e of Incorporation		Y							
City of Incorporation Country of Incorporation Society AO											
Trust Liquidator Limited Liability Partnership Artificial Juridical Person Others Specify Please tick the applicable tax resident declaration											
Please tick the applicable tax resident declaration         Is "Entity" a tax resident of any country other than India?       Yes											
(If Yes, Please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)											
Country		Tax Identification	Number <sup>%</sup>	(TIN	Identification Type I or Other <sup>%</sup> , please specify)						
* In case Tax Identification Number is not available, kindly provide its functional equivalent. <sup>®</sup> In case TIN or its functional equivalent is notavailable, please provide Company Identification number or Global Entity Identification Number or GIN, etc.											
In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specifed U.S. Person, mention Entity's exemption code											
here											
2 FATCA & CRS Declaration (Pleas				juidance c	on FATCA & CRS classification)						
PART A (to be filled by Financial In	stitution	s or Direct Reporting NF	Es)								
1. We are a, GIIN											
Financial Institution <sup>6</sup> Note: If you do not have the GIIN but you are sponsored by another entity, please provide your or sponsor's GIIN above and indicate your sponsor's name below											
Direct reporting NFE <sup>7</sup>											
(please tick as appropriate)	e el opene										
GIIN not available	Applied for										
(please tick as applicable)	lot require	d to apply for - please specify	/ 2 digits sub-category	10							
	lot obtaine	d - Non-participating FI									
institution, PART B (please fill any one as app	ropriate	"to be filled by NFEs oth	er than Direct Rep	ortina NF	Es)						
1. Is the Entity a publicity traded compa	-	-			ich the stock is regularly traded)						
(that is a company whose shares are regula traded on a established securities market)	larly	Name of stock exchange									
<ol> <li>Is the Entity a related entity<sup>2</sup> of a publi traded company (a company whose sha are regularly traded on an establisi</li> </ol>	ares	Yes [ (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company									
securities market)	,nou	Nature of relation Sub									
		Name of stock exchange	-								
3. Is the Entity an active $NFE^3$		Yes [] (If yes, please fill U Nature of business		next sectior	ı.)						
		Please specify the sublicate		(N	Iention code -refer 2c of Part D)						
4. Is the entity a passive NFE <sup>4</sup>		Yes (If yes, please fill U Nature of business	BO declaration in the								
<sup>1</sup> Refer 2a, <sup>2</sup> Refer 2b, <sup>3</sup> Refer 2c, <sup>4</sup> Refer 3(i	ii), <sup>6</sup> Refer	, <sup>7</sup> Refer 3(vii), <sup>10</sup> Refer 1A of	Section 6.								

I

3 UBO Declaration										
Category (Please tick applicable category) :	Unlisted Company Partnership Firm									
Unincorporated association / body of individuals Public Charitable Trust										
Religious Trust Private Trust Other Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax										
Identification Numbers for EACH controlling person(s)	), confirming ALL countries of tax residency / permane ). Reporting Statement and Auditor's Letter with required d									
Name - Beneficial Owner / Controlling person	Tax ID Type - TIN or Other, please specify	Address - Include Stat, Country, PIN /								
Country - Tax Residency*	Beneficial Interest - in percentage	ZIP Code & Contact Details								
Tax ID No Or functional equivalent for each country	Type Code <sup>11</sup> - of Controlling	Address Type -								
Name:	Tax ID Type:	Address:								
Country:	Type Code:	Zip:								
Tax ID No. *	Address Type Residence Business	State:								
		Country:								
Name:	Tax ID Type:	Address:								
Country:	Type Code:	Zip:								
Tax ID No. *	Address Type Residence Business	State:								
	Registered Office	Country:								
Name:	Tax ID Type:	Address:								
Country:	Type Code:									
		Zip:								
Tax ID No. <sup>%</sup>	Address Type Residence Business	State:								
	Registered Office	Country:								
# If passive NFE, please provide below a										
PAN / Any other identification Number (PAN, Aadhar, Passport, Election ID, Govt. ID,	Occupation Type: Service, Business, Others Nationality:	DOB: Date of Birth Gender: Male, Female, Other								
Driving License NREGA Job Card, Others)	Father's Name: Mandatory if PAN is not available	Conder. Male, Fernale, Other								
City of Birth - Country of Birth										
1. PAN:	Occupation type:	Date of Birth: D D M M Y Y Y Y								
City of Birth:	Nationality:									
Country of Birth:	Father's Name:	Gender Male Female Others								
1. PAN:	Occupation type:	Date of Birth: D D M M Y Y Y Y								
City of Birth:	Nationality:									
Country of Birth:	Father's Name:	Gender Male Female Others								
1. PAN:	Occupation type:	Date of Birth: D D M M Y Y Y Y								
City of Birth:	Nationality:	Gender Male Female Others								
Country of Birth:	Father's Name:									
<sup>#</sup> Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green card in any country other than India:										
To include US, where controlling person is a US										
<sup>5</sup> In case Tax Identification Number is not available	e, kindly provide functional equivalent									
<ul> <li><sup>5</sup>Refer 3(vi),<sup>11</sup> Refer 3(iv) (A) of Section 6.</li> <li><b>4</b> FATCA - CRS Terms and Conditions</li> </ul>										
The Control Deand of Direct Tourse has notified Dules 11	4F to 114H, as part of the Income-tax rules, 1962, which F	Rules require Indian financial institutions to seek additional								
personal tax and beneficial owner information and cer reported to tax authorities/appointed agencies. Towards	tain certifications and documentation from all our accours compliance we may also be required to provide information	Cues require indian infanctial institutions to seek additional tholders. In relevant cases, information will have to be tion to any institutions such as withholding agents for the e any change in any information provided by you, please information if you have multiple relationships with Farsight eve you have already supplied any previously requested person of the entity is a U.S. Citizen or resident or green tion Number. It is mandatory to supply a TIN or functional s not yet been issued, please provide an explanation and								
purpose of ensuring appropriate withholding from the a	ccount or any proceeds in relation thereto. Should there b	e any change in any information provided by you, please								
Securities Ltd or its group entities. Therefore, it is imp	portant that you respond to our request, even if you belie	eve you have already supplied any previously requested								
card holder, please include United States in the foreign	country information held along with the US Tax Identification	tion Number. It is mandatory to supply a TIN or functional								
attach this to the form.	issues such as identifiers. If no TIN is yet available or has	s not yet been issued, please provide an explanation and								
5 Certification										
I/We have understood the information requirements of this Form is true, correct and complete. I/We also confirm that	s form (read along with the FATCA & CRS Instructions) and h I/We have read and understood the FATCA & CRS Terms and	ereby confirm that the information provided by me/us on this d Conditions above and hereby accept the same.								
Name	Place	Date								
Designation										
Sole/First Holder	Signature Second Holder Signature	e Third Holder Signature								

	F	Registration for Online Investment for Mutual Fund         After Registration, you may invest money in Mutual Fund through Stock Exchanges. Investor can view reports of Holding Portfolio, Comparison & Advisory. Investors can Calculate the Growth of different Plans & can switch of Plans/AMC. For all above points you need to provide us the following documents:         1. Account Opening Form (AOF) 2. Bank Mandate 3. PAN no 4. Aadhar no & Registered Mobile with aadhar 5. Cancelled Cheque         FARSIGHT SECURITIES LTD.         Broker/Agent Code :       ARN       ARN-114243																									
L <u>↑</u> G.	rsight	FARSIGH												5					AR			RN-'	· .	174	3		
	0	17-A/55, Farsight Triveni Plaza, Gurudwara Road,						ŀ		-Bro	-								EUI			166					
Name of th		•							5415										201		-	100	02	2			
PAN Numb										KY	'C							Dat	e of E	lirth							
Name of G																		-	PAN							<u> </u>	
Contact Ac																		r	AN								
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City Tel.(Off)					Tel.(F									Ema	-							Count	ТУ				
Fax.(Off)						-								Mobi													
Mode of H	alding				Fax.(	res)											1										
	5	l Annii cont												0ccu	patio	on											
		l Applicant																	( -								
PAN Numb										KY	Ϋ́C							Dat	e of E	Birth							
Name of th		pplicant																									
PAN Numb										KY	′C							Dat	e of E	Birth							
		Sole / 1st Ap	-	nt																							
Overseas A	Address (I	f investor is NR	1)																								
City					Pinco	ode								Cou	ntry												
Bank Ma	ndate D	etails																									
Name of B	ank																Branch	۱ I									
A/c No.						A	/с Тур	e									IFSC C	ode									
Bank Addr	ess																										
City	L. L				Pinco	ode								Stat	e						C	Count	ry				
Nominat	tion Det	ails Nominee	e Nar	ne	1									1				Rel	ation	ship							
Guardian Name (If nominee is minor)																									Τ		
Nominee A	Address																										
City					Pinco	ode								Stat	e												
-	ion and	l Signature			1		1								-												
		provided by me/us a	re true a	and co	rrect. Th	e ARN	holderh	nas dis	sclosed	l to me	e/us a	all the	comn	nission (i	n the f	form	oftrail	commis	ssion o	r any of	ther r	node),	, paya	ble to	him fc	or the	different
competing Sc	hemes of vai	ious Mutual Funds F	From an	nongst	t which t	he sch	emes be	ing re	comm	ended	to me	e/us.															
																		Dat	e :								
1st	Applican	ant Signature 2nd Applicant Sig							Signature 3rd Applicant Signat							ure		Plac	e								
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with Bank								IFS	С 🗌										or N	1ICR [							
an amount of	Rupees																										
FREQUENCY			H-Y	∕rly [	Yrly	$\checkmark$	As & \	when	prese	ented				_			l	DEBIT	TYPE		Fixed	J Amo	ount	$\checkmark$	Maxir	mum	Amoun
		Reference No.)												Phor	e No.												
		ent Code-UCC)												Emai		Ļ											
I agree for the PERIOD	e debit of n	nandate processii	ng cha	arges l	by the l	bank v	whom I	am a	author	izing	to de	ebit r	ny ac	count a	is pei	r late	est sch	edule	of cha	irges (	of th	e banl	К.				
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- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/ Corporate to debit my account, based on the instructions as agreed and signed by me. - I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit.

# पेंशन नहीं प्राण (PRAN) है ये!



# 😑 लाभ ही लाभ

#### नेशनल पेंशन स्कीम क्या है ?

नेशनल पेंशन स्कीम (NPS)को जनवरी 2004 में सरकारी कर्मचारियों के लिए शुरू किया गया था। इसे 2009 में सभी कैटगरी के लोगों के लिए खोल दिया गया। कोई भी व्यक्ति अपने कामकाजी जीवन के दौरान पेंशन खाते में नियमित रूप से योगदान दे सकता है। इकठ्ठा हुई धन राशि के एक हिस्से को वह एक बार में निकाल भी सकता है और बची हुई राशि का इस्तेमाल रिटायरमेंट के बाद नियमित आय प्राप्त करने के लिए कर सकता है। व्यक्ति के निवेश और उस पर मिलने वाले रिटर्न से NPS खाता बढता है।

#### एनपीएस से मिलने वाले लाभ कुछ इस प्रकार हैं:--

- निवेश करने की कोई अधिकतम सीमा नहीं और धारा 80C की 1,50,000 रु. की सीमा से ऊपर 80CCD(1b) के अंतर्गत 50,000 रु. की अतिरिक्त टैक्स बचत।
- सब्सक्राइबर / ग्राहक घर बैठे ओटीपी के माध्यम से नेशनल पेंशन सिस्टम (National Pension Scheme) में अपना खाता खुलवा सकते हैं।
- 3. अब 75 वर्ष की आयु तक उपलब्ध
- 5 लाख तक जमा रकम एक मुश्त निकालना संभव
- लगातार ज्यादा आय

#### NPS खाता कैसे खोलें

#### ऑफलाइन प्रक्रिया

- अपने नजदीकी PoP-Farsight Securities Ltd- से एक सब्सक्राइबर फॉर्म लीजिए और इसे KYC पेपर्स के साथ जमा करें।
- एक बार जब आप प्रारंभिक निवेश करते हैं (1,000 रुपये से कम नहीं), तो PoP आपको एक PRAN – स्थायी रिटायरमेंट खाता संख्या मेजेगा।
- इस संख्या और पासवर्ड की मदद से आप अपने खाते को चला सकते हैं।

#### ऑनलाइन प्रक्रिया

ऑनलाइन खाता खोलना बहुत ही आसान प्रक्रिया है। इसके लिए सब्सक्राइबर POP-Farsight की वेबसाइट www.farsightshare-com पर लॉगिन करके कुछ ही मिनट में अकाउंट खोल सकता है। इसमें किसी भी प्रकार की सहायता के लिए सपोर्ट टीम से संपर्क कर सकते है।

#### NPS से निकासी कैसे करें?

स्कीम का 40% हिस्सा एन्युटी में होता है। एन्युटी से नियमित आमदनी होती है। स्कीम से बाकी 60% पैसा एकमुश्त मिलेगा। तीसरे साल से आधी राशि निकाल सकते हैं। शादी, बच्चों की पढ़ाई, घर खरीदने के लिए NPS से निकासी निकाली जा सकती है। साथ ही कैंसर, किडनी फेलियर जैसी क्रिटिकल इलनेस के लिए निकासी की सुविधा दी जाती है।

NPS से सम्बंधित अधिक जानकारी या सहायता के लिए आप हमारे प्रतिनिधि 011-4504 4454 से संपर्क कर सकते है। आपकी सहायता करने में उन्हें खुशी होगी।



WE REWARD YOUR INVESTMENTS

FARSIGHT SECURITIES LIMITED Ph.: 011-45044454 • E-mail : nps@farsightshares.com PFRDA Regulation vide Certificate Regn No.: POP320092020



Dr. NC Maheshwari, Chairman-Farsight Securities Ltd, Member core team - 18th Asia Securities Forum



#### WE REWARD YOUR INVESTMENTS

**Compliance Officer's Details** : Pawan Joshi Name Phone No.: +91-011-45044442 E-mail Id : compliance@farsightshares.com

#### FARSIGHT SECURITIES LIMITED MEMBER

NSE, BSE, MCX Depository Paritcipant : NSDL, CDSL IN-DP-579-2021

SEBI REGN. NO .: INZ000169935

DATE: 23/03/2018 31/03/2021

Note: 1. Established in 1996 and registered with SEBI vide Certificate No.: INB230853732 Dated-13-03-1996 For NSE 2. NSDL DP activated in 2000 vide SEBI registration No.: IN-NSDL-148-2000 in Year 2000

#### **Corporate Office :**

17-A/55, Farsight Triveni Plaza, Gurudwara Road, Karol Bagh, New Delh EAPBX: 011-4504-4444 (30 Lines) | Fax: 011-45044434

E-mail: contactus@farsightshares.com | Website: www.farsights

#### **CEO's Details**

: Manju Maheshwari Name Phone No.: +91-011-45044444 E-mail Id : coo@farsightshares.com

#### **Regd. Office:**

17-A/55, Farsight Triveni Plaza, Gurudwara Road, Karol Bagh, New Delh EAPBX: 011-4504-4444 (30 Lines) | Fax: 011-45044434

#### E-mail: contactus@farsightshares.com | Website: www.farsightshares.com

For any grievance/dispute please contact FARSIGHT SECURITIES LIMITED at the above address or email id ig@farsightshares.com and Phone no. 011-4504-4442. In case not satisfied with the response, please contact the concerned exchange(s) at

**Exchange** Name National Stock Exchange of India Ltd. Bombay Stock Exchange Ltd. Multi Commodity Exchange of India Ltd. National Securities Depository Ltd. Central Depository Services (India) Ltd.

E-mail ID ignse@nse.co.in iscdelhi@bseindia.com grievance@mcxindia.com relations@nsdl.co.in complaints@cdslindia.com Phone No. 011-23344313 Toll Free : 1800 22 0058 (Toll Free) 011-41510481 022-66494070, 66494151 022-24994200 1800-22-5533