KYC - APPLICATION FORM FOR TRADING AND DEMAT A/C - NON-INDIVIDUAL

Please fill this form in ENGLISH and in BLOCK LETTERS. (Use black ink)

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A. IDENTITY DETAILS

| | | |

DETAILS OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLETIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC)

Annexure A

Name of Applicant | PAN

Form should be filled in English and in Block Letters (Use Black ink only)

S.N.	Particulars	Photograph	Signature with Stamp
1	Name Residential Address Designation PAN	Dt. of Birth DIN/UID Contact No. Aadhar No.	Affix recent passport size Photograph and Sign across it
2	Name Residential Address Designation PAN	Dt. of Birth DIN/UID Contact No. Aadhar No.	Affix recent passport size Photograph and Sign across it
3	Name Residential Address Designation PAN	Dt. of Birth DIN/UID Contact No. Aadhar No.	Affix recent passport size Photograph and Sign across it
4	Name Residential Address Designation PAN	Dt. of Birth DIN/UID Contact No. Aadhar No.	Affix recent passport size Photograph and Sign across it
5	Name Residential Address Designation PAN	Dt. of Birth DIN/UID Contact No. Aadhar No.	Affix recent passport size Photograph and Sign across it

4 First Signatory	Second Signatory	Third Signatory

Place | **Name and signature with Stamp of the Authorised Signatory(ies)** | Date D D M M Y Y

AMC / INTERMEDIARY NAME & CODE : Proficient Equities Pvt. Ltd. • CVL POS Code : 1401347536

KYC APPLICATION FORM for DEMAT and TRADING ACCOUNT

FOR DEMAT ACCOUNT ONLY

DETAILS REQUIRED FOR DEMAT ACCOUNT

For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust etc., although the DEMAT account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. should be mentioned below :

a. Name		b. PAN	

Demat Account Preference (Please tick in relevant boxes)

Segment ☐ Central Depository Services Limited (CDSL) ☐ National Securities Depository Limited (NSDL)

Type of DEMAT Account

NSDL DP A/c

For Individual Accounts			For Non-Individual Accounts			
☐ Ordinary Resident	☐ Margin	☐ Foreign National	☐ Body Corporate	☐ FI	☐ Trust	☐ HUF
☐ NRI Repartiable	☐ Promoter	☐ QFI	☐ Mutual Fund	☐ FII	☐ Clearing Member	
☐ NRI-Non Repartiable	☐ Others (pl. specify) _____		☐ Bank	☐ QFI	☐ Others, plz specify_____	

CDSL DP A/c

For Individual Accounts		For NRI / FOREIGN NATIONAL Accounts		For Non-Individual Accounts	
☐ Resident	☐ Director	☐ Repatriable	☐ F.N. Depository Receipts	☐ Body Corporate	☐ FI
☐ Minor	☐ Director's Relative	☐ Non-Repatriable	☐ Foreign National	☐ Bank	☐ FII
☐ HUF/AOP	☐ Margin Trading (MANTRA)	☐ Repatriable-Promoter	☐ Depo. Receipts	☐ Mutual Fund	☐ Clearing House
☐ Promoter		☐ Non Repatriable-Promoter		☐ Trust	☐ Clearing Member
☐ Others (Plz specify) _____		☐ Others (Plz. specify) _____		☐ OCB	☐ Others _____

In case of NRI / Foreign Nationals / FII / Others (as may be applicable)

RBI Approval Reference No.		RBI Approval Date	D D M M Y Y Y Y
SEBI Regn. No. (for FIIs only)			

Standing Instructions

1	I/We authorise you to receive credits automatically into my/our Demat account	☐ Yes ☐ No
2	Account to be operated through Power of Attorney	☐ Yes ☐ No
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 also.)	
	Sole / First Holder ☐ Yes ☐ No	**Second Holder** ☐ Yes ☐ No; **Third Holder** ☐ Yes ☐ No
	0	0; 0
4	Mobile No. belongs to ☐ Self ☐ Family Member	
5	Account Statement Requirement ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly ☐ As per SEBI Regulations	
6	I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID_____	☐ Yes ☐ No
7	Email ID belongs to ☐ Self ☐ Family Member	
8	Do you wish to receive dividend / interest directly in to your bank account given below through ECS? (If not marked, the default option would be `Yes') [ECS is mandatory for locations notified by SEBI from time to time]	☐ Yes ☐ No
9	Pledge Processing Flag ☐ Yes ☐ No	10 Basic Services Demat A/c ☐ Yes ☐ No; 11 Email Download by RTAS ☐ Yes ☐ No
12	Rajiv Gandhi Equity Saving Scheme ☐ Yes ☐ No	13 Annual Reports From RTAS ☐ Physically ☐ Electronic ☐ Both

Clearing Member Details (to be filled up by Clearing Members only) - Non-Individual DEMAT Account

1	Name of Stock Exchange		2	Name of Clg. Corpn./Clg. House	
3	Clearing Member ID		4	SEBI Regn. No.	
5	Trade Name				
6	CM-BP ID (to be filled up by DP)		7	TM ID (to be filled up by DP)	

Transaction using Secured Texting Facility (TRUST). Refer to Terms and Conditions	I wish to avail the TRUST facility using the mobile number registered for SMS Facility. I have read and understand the Terms and Conditions prescribed by CDSL for the same. ☐ Yes ☐ No I/ We wish to register the following clearing member IDs under my/our mentioned BO ID registered for the TRUST

Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

Easi	To register for easi , please visit our website www.cdslindia.com. Easi allow a BO to view his ISIN balance, transactions and value of the portfolio online.

Signature

BANK DETAILS (Mandatory)

	Primary	Secondary, if any
Bank Account Type	☐ Savings ☐ Current ☐ Others, in case of NRI, NRE/NRO (Plz specify)	☐ Savings ☐ Current ☐ Others, in case of NRI, NRE/NRO (Plz specify)
Bank Account No.		
Bank Name		
Branch Address		
MICR Code		
IFSC Code		
Proof Provided	☐ Yes ☐ No	☐ Yes ☐ No

TARIFF STRUCTURE

I/We would like to subscribe for given below brokerage plan. I/We am ready to pay the charges as per the terms and conditions of Proficient Equities Pvt. Ltd., member of NSE and BSE. I hereby authorize Proficient Equities Pvt. Ltd to debit my ledger accordingly.

BROKERAGE PLAN – PLEASE SELECT ANY ONE

☐ **Flat 15 –** Pay only Rs 15/- per executed order in Equity & Currency

☐ **Fixed EQ 6999 –** Pay monthly Rs 6999/- and Trade Unlimited in Equity & Currency

☐ **Flexible Plan** - Customized your brokerage by paying according to your volume.

Segment	Delivery	Sq Off	Per lot
Equity			N .A
Future & Option	N. A		
Currency	N. A		

Please fill brokerage above for each segment to be charged per crore

	Particulars	Charges
	Account Opening Charges	Rs 250/- (Additional Rs 150/- if requested through courier)
	Annual Maintenance for Trading Account	Free
	Call N Trade services charges for Flat & Fixed plans	Rs 20/- per executed order
1.	Physical Contract Note	Rs 25/- per contract note plus courier charges extra
2.	Any physical statements	Rs 25/- for first 5 pages there on Rs 2 per page, speed post/courier charges extra
3.	Cheque Dishonor charges	Rs 250/- per instance
	Any Penalty	As per exchange
	KRA Modification Charges	Rs 20/- plus service tax
	Fund Transfer Charges	Rs 8/- plus service tax
	Delayed Payment	18% P.A
	Minimum Brokerage Charges	2.5% (for Flat Plan)
		0.02 paise per share not exceeding 2.5% (for Flexible Plan)

*** Other Charges applicable ifany**

Terms & Conditions

1. Fixed Brokerage Plan Charges is non refundable & cannot be used as margin.
2. Fixed Brokerage Plan Charges shall be valid on calendar month basis and cannot be carried forwarded or refunded or applied on a pro rate basis.
3. Fixed Brokerage plans will be automatically renewed every month.
4. Flat & Fixed Brokerage Plans cannot be combined with any other Proficient promotion or scheme running during the period.
5. Others charges (Stamp Duty, Turnover Charges, SEBI Charges, Transaction Charges Etc.) shall be levied as extra & shall be subject to revision consequent to the amendment in various rules/regulations/byelaws or as per circulars issued by the exchange from time to time.
6. Margin shall be acceptable in the form of clear ledger credit balance only.
7. Digital Contract notes and all other statements would be sent via email only.
8. Margin should comprise of liquid cash component only
9. Service tax on will be charged extra as applicable
10. Above Flat & Fixed plans is applicable for trading only through our (Net.Net) web version platform.
11. This scheme shall be subject to regulatory norms in force and may discontinue under any regulatory directions or for any other reason, without giving prior intimation to the client.

☐ Please tick this box if you wish to pay account opening charges from your initial margin money.

I / We hereby declare that I have read and understood the terms and conditions governing Proficient Equities Pvt. Ltd. as per brokerage plan mentioned herewith. I do hereby wish to avail the brokerage plan as selected by me.

Date: Client's Signature

Charges for Depository Services (Schedule 'A')

Schedule of charges forms an integral part of the DP - Client Agreement

FOR DEMAT ACCOUNT

Particulars	Rate (in Rs.) Regular	One Time	
Account Opening Charges	Free	Free	
Account Maintenance Charges	300/-	999/-	One Time AMC not applicable for Flat & Fixed Plans
Additional Yearly Charges for Corporates	700/-	500/-	
Account Maintenance Charges for BSDA Accounts			
If Stock Valuation (Rs.)			
< Rs. 50,000/-	Nil	N.A	
Rs. 50,001/- to 2,00,000/-	100/-	N.A	
> Rs.2,00,000/-	300/-	N.A	
Transaction Charges			**Maximum Payable (Which ever is higher)**
Off Market Insutruction for POA Clients	15/-	15/-	or 0.01% of value of transaction
Off Market Instructions for Non POA Clients	20/-	20/-	or 0.02% of value of transaction
Market Instruction for POA Clients (To PEPL Payin)	15/-	10/-	or 0.01% of value of transaction
Market Instruction for Non POA Clients (To PEPL Payin)	20/-	20/	or 0.02% of value of transaction
Pledge			
All kinds of Pledge/Hypothecation request	Rs. 50/-		Per instruction
All kinds of Lending/Borrowing request	Rs. 50/-		Per instruction
Remat / Demat			
Rematerialisation	A Fee of Rs. 50/- for every 100 securities or part thereof; subject to maximum fee of 5,00,000 (INR) or a flat fee of Rs. 20/- per certificate, whichever is higher.		
Dematerialisation	Rs. 5/- per certificate plus courier charges of Rs. 50/- for every 25 certificate and part thereof.		
DIS Book Charges	50/- for DIS and Courier Charges as Applicable.		
Other Charges			
Cheque / ECS Dishonour Charges	Rs. 250/-		
For Clients under 999/scheme			
Request for Physical Statement Print	Rs. 25/- upto 5 pages and Rs. 2/- per page thereafter. Speed post charges extra as applicable.		

Contd.

Notes:

Any service, which is not mentioned above, will be charged separately as per the rates applicable from time to time

Holding statement, Transaction statement, changes request conformation and Bills may be sent to the email ID of the client, registered in our system and details of transaction, holding, bills and other statement related to your depository account are also available on your online backoffice at http://www.proficientgroup.in/.

POA, Email agreement and debit authority letter is mandatory to avail the scheme of Rs. 999/

For BSDA (Circular No. CIR/MRD/DP/22/2012 dated August 27, 2012):

(a) The individual shall have only one BSDA in his/her name across all depositories (CDSL&NSDL).
(b) Value of securities held in BSDA shall not exceed 2,00,000/- (Rupees Two Lakhs) at any point of time.
(c) If the value of holding in such BSDA exceeds the prescribed criteria at any date, the DPs may levy charges as applicable to regular accounts (non BSDA) from that date onwards.
(d) All BOs opting for the facility of BSDA, shall register their mobile number for availing the SMS alert facility for debit transactions.
(e) In case the individual already has BSDA or open a new BSDA on a later date, then status of this demat account as BSDA will ceased to exist.
f) Refer 'BSDA Terms and Conditions' for more details.

Stamp Charges for execution of agreement will be charged separately as applicable.

Service Tax, Statutory Charges and other charges if any shall be levied as per the stipulation of the concerned authorities.

Delayed Payment Charges will be levied @ 18% p.a. if payment for the billing month is not received by the end of next month

Only 1st Year's Annual Account Maintenance Charges are collected at the time of account opening. All other charges are billed on a monthly basis for any transaction during the month.

In case of non payment of charges, the demat account may be frozen for all operations till such time all dues are cleared.

"All market instructions for transfer must be received latest by 4.00 P.M. on the previous working day prior to the Payin Day as per SEBI Guidelines. All off market instructions for transfer must be received at least 24hours before the execution date. Late instructions would be accepted at the account holder's sole risk and responsibility''.

Charges are subject to revision at the Company's sole discretion and as per the revisions in the Depository Charges.

Any service not quoted will be charged separately.

Tick the appropriate category clearly:

☐ Regular ☐ BSDA ☐ 999 Scheme

Sole/First Holder Signature	Second Holder Signature	Third Holder Signature

POA-DEMAT A/C

TO ALL TO WHOM THESE PRESENTS SHALL COME, I/We _____

S/o, D/o, W/o_____, residing at/having registered

office at _____

_____

hold a Beneficiary Account No. ..... (BO-ID) with Central Depository Services (India) Ltd.

(DPID 12082100) through Proficient Equities Private Limited).

AND WHEREAS I am / We are investor engaged in buying, selling and trading of securities / units through Proficient Equities Private Limited

a member of National Stock Exchange of India Limited bearing SEBI Registration No. INB231347536, INF231347536, INE231313136 and

member of BSE bearingh SEBI Registration No. INZ010008134 under Trading Client No. .....

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I/We THE ABOVE-NAMED DO HEREBY NOMINATE, CONSTITUTE/ AND APPOINT M/s Proficient Equities Private Limited, as my/our true and lawful attorney (hereinafter referred to as the attorney) for me/us and on my/our behalf and in my/our name to do the following:

1. To debit my/our aforesaid beneficiary account and to transfer securities/units there-out for the purpose of delivering / pledging the same to the clearing house of the recognized stock exchange in any segment to discharge my/our settlement obligations in respect of securities/unit sold by me/us or for the purpose of providing margins in respect of the trading positions taken up by me/us.
2. To apply for and subscribe to, on my/our instructions, Initial Public Offerings made by any company registered under the provisions of the Companies Act, 1956 through online/offline bidding platform and to perform, do, undertake, discharge all incidental and ancillary acts, deeds, matters, things, functions and obligations in connection therewith.
3. To apply, on my/our instructions, for Mutual Funds of various asset management companies through online / offline platform and to perform, do, undertake, discharge all incidental and ancillary acts, deeds, matters, things, functions and obligations in connection therewith.
4. I/we authorize my/our said Attorney to send me/us consolidated summary of scrip wise buy and sell positions, subscriptions to IPOs and Mutual Funds by way of short messaging services or e-mails on a daily basis.
5. The said Attorney shall return to me/us the Securities/units that may have been received by it erroneously or that it was not entitled to receive.
6. I/we do hereby ratify and confirm and agree to ratify and confirm whatsoever my/our said Attorney shall have lawfully done or may lawfully do or cause to be done by virtue of or in exercise of any power hereby granted, given authorised or implied or intended to be so granted, given or authorised and also all lawful acts, deeds, matters and things done by the said Attorney of the nature mentioned above or incidental or relating thereto or arising there-from or deemed by my/our Attorney to be requisite or expedient to be done or performed in exercise of any power herein.
7. I/we further agree and confirm that the powers and authorities conferred by this POA shall continue to be good, valid and effective until revoked by me/us in writing given to my Attorney and that the POA shall not be affected by lapse of time. This POA shall continue in full force and effect until my/our Attorney shall receive written notice of revocation thereof, signed by me/us; or, in the event of termination thereof by my/our death, until my/our Attorney shall have received actual notice thereof, and such revocation or termination shall in no way affect the validity of this POA with reference to any transactions initiated by my/our Attorney, prior to the actual receipt by the Attorney of the notice of such revocation or termination, as above provided. Further, without prejudice to the generality of the aforesaid, such revocation of this POA, in so far as any

Signature of Third Holder

Signature of Second Holder

Signature of First Holder

_____	_____	_____
Signature of Sole / 1st Holder	Signature of 2nd Holder	Signature of 3rd Holder

transaction, settlement of which is pending on the date of receipt of notice of revocation by my/ourAttorney is concerned, shall become effective only after all pending obligations in respect of such transactions are settled on the respective settlement dates and all dues owing by me/us in connection therewith have been fully paid by me/us to the Stock Broker. Further, such revocation of the power and authority given to my/our Attorney hereby shall in no way affect the validity of any acts, deeds or things done or action taken by my/our Attorney for discharging any of my/our settlement obligations in respect of any transactions settlement of which is pending on the date of receipt of the notice of revocation by the Attorney.

8. As per SEBI circular dated 23rdAugust 2010, the list of demat a/c's where securities can move is listed as per schedule I.

IN WITNESS WHEREOF I/We hereunto set and subscribes my/our respective hands to these present

on this _____ __day of_____ 20_____.

Signed and delivered for and on behalf of the Client,

First Holder

Second Holder

Third Holder

Witness for the Client,

Name _____

Address _____

Signature ☞ _____

In case of HUF all adult Co-Parceners should sign _____

Signed and delivered for and on behalf of the Depository Participant

For **Proficient Equities Pvt. Ltd.**

(Director / Authorised Signatory)

Witness for the Depository Participant,

Name _____

Address _____

Signature ☞ _____

SCHEDULE - I

DP	DP ID / CM BP ID	Client ID	Maintained with
NSE (CD) MARGIN A/C	12082100	00000151	CDSL
NSE CDSL POOL A/C	12082100	00000073	CDSL
BSE CDSL POOL A/C	12082100	00000088	CDSL
NSE NSDL POOL A/C	IN567150	10690756	NSDL
BSE NSDL POOL A/C	IN639026	10717726	NSDL
NSE (F & O) MARGIN A/C	12082100	00000113	CDSL
BSE (CD) MARGIN A/C	12082100	00000166	CDSL
BSE (F & O) MARGIN A/C	12082100	00000128	CDSL
NSE HOLD BACK A/C	12082100	00000132	CDSL
BSE HOLD BACK A/C	12082100	00000147	CDSL
BSE EARLY PAYIN A/C	11000010	00023671	CDSL
NSE EARLY PAYIN A/C	11000011	00019625	CDSL

E-STATEMENT AGREEMENT

AGREEMENT BETWEEN THE PARTICIPANT AND THE CLIENT FOR PROVIDING THE TRANSACTION STATEMENT THROUGH INTERNET

This agreement made and entered into this ..... day of ..... between .....

..... having his/her office/residence address at .....

.....

(hereinafter called 'the client') and proficient Equities Pvt. Ltd. a body corporate constituted under the companies ACT, 1956 having at 23 R.N. Mukherjee Road BNCCI House 4th Floor, Kolkata - 700 001 (hereinafter called 'the Participant')

Witnesseth

WHEREAS the Client has permitted the Participant to provide the transaction statement through internet (web-based and/or email).

NOW THEREFORE in consideration of the Participant having agreed to provide the transaction statement through internet (web-based and/or email), both the parties to the agreement hereby covenant and agree as follows:

General :

1. BO/Client(s) is/are aware that Transaction statements will not be received in the paper form. It will be received by email or on website.
2. The Client(s) shall immediately inform the DP about change in email address, if any.
3. BO/Client(s) will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.
4. BO/Client(s) is/are aware that the transaction statement may be accessed by other entities in case the confidentially/secrecy of the login name and password is compounded.
5. If the Client(s) is/are desirous of receiving transaction statement in paper form, DP shall be duty bound to provide the same.

E-mail :

1. The transaction statements shall be digitally signed in accordance with the Information Technology Act, 2000.
2. The transaction statements will be password protected.

Website :

1. DP must implement Secure Socket Layer (SSL) security for their Internet facility featuring site authentication, encrypted communication and appropriate client authentication so as to restrict the access of transaction statements only to the Client. The transaction statements made available on website should be digitally signed in accordance with the Information Technology, 2000.
2. DP will be required to send a consolidated transaction statement in paper form or in accordance form (e-mail) for the entire financial year and the same shall be dispatched before 15th May of every year.
3. The transaction statement will be available on the website for a period of atleast 12 months.

DP and Client(s) will have the right to terminate such service provided a written notice is given atleast 10 days in advance to the other party.

IN WITNESS WHEREOF the Participant and the Client has caused these presents to be executed as of the day and year first above written.

E-mail ID : .....

(Please write only ONE valid e-mail ID on which communication; if any, is to be sent)

Signed and delivered for and on behalf of the Client,	***Witness for the Client,***
First Holder	*Name*
Second Holder	*Address*
Third Holder	*Signature*

Signed and delivered for and on behalf of the Depository Participant	***Witness for the Depository Participant,***
For **Proficient Equities Pvt. Ltd.**	*Name*
(Director / Authorised Signatory)	*Address*
	Signature

ECN MANDATE NON MANDATORY

MANDATE TO ISSUE CONTRACT NOTES, DAILY MARGIN STATEMENT AND QUARTERLY STATEMENT IN ELECTRONIC FORMAT

(Required if client opts for ECN & Compulsory for Currency Segment)

To
M/s. Proficient Equities Pvt. Ltd.
"BNCCI House"
23, R.N. Mukherjee Road
4th Floor, Kolkata - 700 001

Date : _____

Dear Sir,

I/We hereby agree and consent to accept the contract notes, daily margin statement and the quarterly statements of funds and securities (herein after referred to as quarterly statements) issued by you electronically in accordance with the terms and conditions specified herein below and the same shall be binding on me/us. This instruction to issue digital contract notes, daily margin statement & quarterly statements is applicable with immediate effect.

The mandate is subject to terms and conditions mentioned herein below :

Yours faithfully,

_____
Client's Signature

Client Name_____

Mobile _____

Email Id. _____

Terms and conditions :

Terms and conditions for availing the facility of the electronic Contract Notes, Daily margin statement & Quarterly statements digitally signed are as follows.

1. The Client will ensure availability of the above mentioned e-mail ID at all times.
2. That the non-receipt of bounced e-mail notification by ASBL once ECNs / Quarterly statement / Margin statement are sent to Client's above-mentioned e-mail ID can be safely taken of having been received.
3. The Client shall update for any change in e-mail ID through a duly executed physical letter.
4. The Contract Notes, Daily margin statement & Quarterly statements will be issued in electronic form in compliance with the guidelines issued by SEBI / Exchange from time to time.
5. Electronic Contract Notes, Daily margin statement & Quarterly statements will also be available on URL **https:/www.proficientgroup.in**
6. Clients can view the electronic Contract Notes, Daily margin statement & Quarterly statements on URL by using the username & Password.
7. Electronic Contract Notes will be archived at an interval of 15 days. If the client intends to view the electronic Contract Notes for a period prior to 15 days, client may request for the same in writing.
8. In case of any failure in system or errors in electronic Contract Notes, daily margin statement and quarterly statements, will be issued in physical form, which shall be binding on the client.
9. Any changes in the terms and conditions shall be intimated from time to time.

DECLARATION (if Internet Trading is required) NON MANDATORY

To
Proficient Equities Pvt. Ltd.

Sub :- Internet Trading

I/We wish to trade through internet in various segments of NSE/BSE/MSEI and confirm that I am / we are fully aware of and understands the risk associated with availing of a service of routing orders through internet including the risk of misuse and unauthorized use of my/our Username and/or Password by a third party and the risk of a person hacking into our account on your ITORS system and unauthorized routing order on behalf of us through the system. I/we agree that we shall be fully liable and responsible for any and all unauthorized use and misuse of my/our Password and /or Username and also for any and all acts done by any person through your ITORS system on our Username in any manner whatsoever.

I/We hereby confirm you to send our Username and Password on the below mentioned e-mail address.

Email Address : _____

The non receipt of bounced email notification by you shall not be construed as a ground for dispute in the future.

Thanks and best regard

Signature_____

Name_____

Trading Code _____

Mobile No:-_____

DECLARATION PURSUANT TO PMLA

NON MANDATORY

I/We have entered into a Member Client Agreement with you for dealing in Cash, F&O and Currency Segment of National Stock Exchange of India Limited (NSE), Bombay Stock Exchange Limited (BSE) and Metropolitan Stock Exchange of India Limited (MSEI) (hereinafter referred as Exchanges).

I / We hereby declare the following:

- I am / We are a regular investor in the stock markets in India. I am / We are conversant with the laws, practices, rules, regulations, guidelines, circulars, etc. prescribed by the Securities and Exchange Board of India (SEBI) and the Exchanges.
- I / We will not receive or give any monies in cash or in kind for completing the settlement obligation to the Exchanges.
- I / We am aware of the illegal practices which are prevalent in the securities market.
- I / We will not carry out any unfair trade practices such as Synchronized deals, Structured deals, Circular Trading.
- I / We will not place any order on the exchanges, which will reflect as an arrangement for profit or loss transactions. All the orders placed on the exchange will be in the normal market where there is corresponding underlying Shares/Securities positions in the Cash and F&O segment of the respective Exchange.
- I / We will not introduce any kind of money acquired illegally in the financial system.
- I / We will submit the necessary documents / information required under the PMLA and/ or any other statute.
- I am / We are aware of the following provisions of laws applicable to the Shares/Securities Market :

A)Section 11 of the SEBI Act, 1992 read with 11B interalia prescribed that :

i) 11(4) Without prejudice to the provisions contained in sub–section (1) (2) (2A) and (3) of 11 B, the Board may, by order for reasons to be recorded in writing, in the interest of investors of Shares/Securities market, take any of the following measures, either pending investigation or inquiry or on completions of such investigation or inquiry, namely:

ii) restrain person from accessing the Shares/Securities market and prohibit any person associated with Shares/Securities market to buy, sell or deal in Shares/Securities.

B) Section 4 Prohibition of manipulative, fraudulent and unfair trade practices

i) Without prejudice to the provisions of regulation 3, no person shall indulge in a fraudulent or an unfair trade practices in Shares/Securities.

ii) Dealings in Shares/Securities shall be deemed to be a fraudulent or an unfair trade practices if it involves fraud and may include all or any of the following namely:

a) indulging in an act which creates false or misleading appearance of trading in the Shares/Securities market;

b) dealing in a security not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of such security for wrongful gain or avoidance of loss;

c) advancing or agreeing to advance any money to any person thereby inducing any other person to offer to buy any security in any issue only with the intention of securing the minimum subscription to such issue;

d) paying, offering or agreeing to pay or offer, directly or indirectly, to any person any money or money's worth for inducing such person for dealing in any security with the object of inflating, depressing, maintaining or causing fluctuation in the price of such security;

e) any act or omission amounting to manipulation of the price of a security;

f) publishing or causing to publish or reporting or causing to report by any person dealing in Shares/Securities any information which is not true or which he does not believe to be true prior to or in the course of dealing in Shares/Securities;

g) entering into a transaction in Shares/Securities without intention of performing it or without intention of change of ownership of such security;

h) selling, dealing or pledging of stolen or counterfeit security whether in physical or dematerialized form;

i) an intermediary promising a certain price in respect of buying or selling of a security to a client and waiting till a discrepancy arises in the price of such security and retaining the difference in prices as profit for him/herself;

j) an intermediary providing his clients with such information relating to a security as cannot be verified by the clients before their dealing in such security; viding his clients with such information relating to a security as cannot be verified by the clients before their dealing in such security;

k) an advertisement that is misleading or that contains information in a distorted manner and which may influence the decision of the investors;

contd.

l) an intermediary reporting trading transactions to his clients entered into on their behalf in an inflated manner in order to increase his commission and brokerage;

m) an intermediary not disclosing to his client transactions interceded into on his behalf including taking an option position;

n) circular transactions in respect of a security entered into between intermediaries in order to increase commission to provide a false appearance of trading in such security or to inflate or depress or cause fluctuation in the price of such security;

o) encouraging the clients by an intermediary to dealing in Shares/Securities solely with the object of enhancing his brokerage or commission;

p) an intermediary predating or otherwise falsifying records such as contract notes;

q) an intermediary buying and selling Shares/Securities in advance of a substantial client order or whereby a future or option position is taken about an impending transaction in same or related futures or options contract;

r) planting false or misleading news which may induce sale or purchase of Shares/Securities.

I / We hereby declare that I / We will not indulge either directly or indirectly in any of the above mentioned fraudulent or unfair trade practices either individually or in concert with other persons/entities. In the event of any of the above fraudulent or unfair trade practices is noticed by the Exchange or regulatory authorities, then I/we shall be solely responsible for acts as noticed and you shall not be responsible for my illegal and fraudulent and unfair trade practices in the Cash and F&O segment of the exchanges.

I / We hereby give this declaration to you without any coercion, with sound mind and voluntarily which shall be a part of my Client Registration form and Member Client Agreement executed.

✍ _____

AUTHORIZATIONS NON MANDATORY

I/We further authorize Proficient Equities Pvt. Ltd. here as under :

1. I/We hereby authorize PEPL to hold the shares against my/our purchases for future delivery/margin for my/our transactions with PEPL.

2. I/We hereby also authorize PEPL to deliver these shares against my/our subsequent sales in subsequent settlements.

3. I/We agree to abide by client level position limit and authorize you not to increase my/our open position beyond the stipulated limit, and if inadvertently exceeded, to actually reduce and bring it within acceptable limits. I/We further authorize you to debit my/our for any penalty imposed on you for my/our violation towards position limit or for not reporting open position to the relevant Exchange(s) where ever required by me/us.

4. I/We hereby authorize you to accept my/our authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/We understand the risk associated with verbal orders and accept the same.

5. I/We do not require any Trade Confirmation slip generated by system. PEPL is therefore, requested not to generate the same for me/us. Only the contract notes in the prescribed form may please be sent to me/us at the appropriate time in appropriate manner.

6. I/We also hereby authorize PEPL with whom both the beneficiary demat account and trading account for investment & trading purpose is operated, to debit the trading account for any charges payable to PEPL as Depository Participant for providing Depository Services. Any such amount debited to my/our account shall be binding on me/us.

7. I/We hereby authorise PEPL to meet the Pay-in / Pay-out obligations arising at NSE, BSE and MSEI without transferring the same to my/our Demat Account as and when such inter exchange obligations arise in the Security(ies)/ Contract(s) traded by me/us across Exchanges.

✍ _____

(Client's Signature)

(Please strike off the non-acceptable clause(s))

UNDERTAKINGS NON MANDATORY

I/We hereby further undertake in favor of Proficient Equities Pvt. Ltd. here as under :

1. I/We shall extend all co-operation to PEPL in their endeavor towards Anti-Money Laundering. PEPL may initiate any enquiry against me/us and/or my/our transactions any time without any legal implication whatsoever against them. I/We understand that information about me/us and my/our transactions may be reported by PEPL to FIU and / or concerned authorities without any intimation to me/us and have no objection to the same.
2. I/We hereby declare that I/we do not have any link directly or indirectly with promoter of any of the companies as far as these transactions are concerned. Also I/we do not have any involvement, whatsoever, with regards to the increase or decrease in the price of shares dealt by me/us.
3. I/We undertake that if the shares purchased by me/us are transferred to hold back account with you, the same shall be released to my DP Account only on my/our written request.
4. I/We undertake that if any claim or dispute arises between us in respect of any transactions, contracts, etc. entered into on my/our account or in relation to any Stock Exchange matter, I/We shall be bound to refer it to Arbitration as per the Rules, Bye-Laws and Regulations and conventions of the SEBI and/or exchange(s) which are applicable to me/us.
5. I/We hereby agree that if I/we fail to make payment of consideration to you in respect of any one or more securities purchased by me/us, before the pay in date, notified by Exchange from time to time, then you shall be at liberty to sell the securities received in pay-out at any time or exchange not later than fifth trading day reckoned from date of pay in.
6. I/We further agree that if I/we fail to deliver any one or more securities to your pool account in respect of securities sold by me/us before pay in date notified by Exchange from time to time. Such undisputed obligation in relation to securities shall be deemed to have been closed out at auction price or close out price.
7. I/We undertake that I/we shall not hold PEPL, its Directors or Officers towards my/our acceptance of any lucrative offer of fixed return on investment made by any of their representative (verbal/ written) without the knowledge of the Company and the onus to bring the same to the notice of the Company lies with me/us.
8. It shall be my/our responsibility to check the data provided through SMS Alert Service with the actual Contract Notes/Financial Ledgers given by PEPL. The messages flashed shall be merely reminders for my/our convenience and I/we agree not to hold you liable for any incompleteness/inaccuracy in the messages sent and that I/we shall take all my/our actions based on the normal confirmation received by me/us. I/we agree to inform you of any changes in the mobile number on which the updates are required.
9. I/We do hereby confirm that extra charges will be levy on the physical issuance of the contract note as an extra service apart from the ECN is duly acceptable.
10. I/We do hereby confirm that I/we shall not deposit any third party cheque towards meeting my/our obligation for the trades executed by me/us and hence shall not hold PEPL against any such credit.

✍ _____

(Client's Signature) (Please strike off the non-acceptable clause(s))

DECLARATION NON MANDATORY

I/we wish to state that I/we have understood the changes brought in by SEBI through Securities and Exchange Board of India (Stock Brokers and Sub-brokers) Amendments Regulations, 2003 by its Notification in the Official Gazette as on 23d September, 2003 read with NSE's circular no. 379 dated 26th December, 2003 and BSE's circular no.20040114-18 dated 14th Jan, 2004 and I do hereby declare and undertake that :

a) I am an / We are investor/s and would not do any sub-broking business for shares and stock and undertake not to do any act or business which would amount to sub-broking of shares and securities
b) The delivery of Securities and the payment of funds relating to the transactions shall be directly between ASBL and me/us.
c) I/We assure to make all delivery of shares sold by me/us to PEPL from my own depository account only and not from the depository account(s) of any of my relatives, friends, associates or any third party's depository account(s) under any circumstances.
d) I/We shall not issue contracts nor bills nor any confirmation memo for shares and securities in my/our own name
e) I/We undertake to abide by the Rules and Regulations of SEBI/NSE/BSE and other relevant authorities and any modification/amendment thereof and in case any discrepancies / irregularities are found, PEPL reserves the right to stop doing business with me without assigning or explaining any reasons thereto

✍ _____

AUTHORITY LETTER FOR RUNNING ACCOUNT OF FUNDS AND SECURITIES **NON MANDATORY**

To
Proficient Equities Pvt. Ltd.
Head Office :
BNCCI House, 23 R.N. Mukherjee
Road 4th Floor, Kolkata - 700 001 Date :

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds and securities on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain all amounts and securities receivable by me/us until specifically requested by me/us to be settled or to be dealt with in any other manner.
2. I/we understand and agree that no interest will be payable to me/us on the amounts or securities so retained with you.
3. I/we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard I/we hereby authorize PEPL to act at its discretion of adjusting any credit balance under my/ our various accounts against the debit in any account across segments/ Exchange, without taking any further instruction from me/us.
4. I/We also confirm that the securities lying in my/our hold back A/c should be considered as margin deposit /collateral.
5. I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
6. I/we hereby authorize you to pledge my / our securities deposited as margin or withheld by you as, permitted in the running account and to deposit my / our funds deposited as margin to Exchanges / Clearing Corporation towards margin.
7. I/we may revoke the authorization at any time by issuing a physical letter for the effect.
8. I/we also agree that the actual settlement of fund and securities shall be done by me/us, at least once in a

   Tick your preference (Default is Quarterly Settlement)

Calendar quarter ☐	Calendar month ☐

9. I/we shall bring any dispute arising from the statement of account or settlement so made to the notice of ASBL within 7 working days from the date of receipt of statement.
10. There shall be no inter-client adjustment for the purpose of settlement of the 'running account'.
11. For any outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

Thanking you,

Yours truly,

_____
Signature of the Client

AUTHORITY-CUM-DECLARATION IN CASE OF HUF AND JOINT FAMILY

(To be obtained on Pre-Printed Letter Head of the Firm)

To

Date:_____

Proficient Equities Pvt. Ltd.
"BNCCI House", 4th Floor
Kolkata - 700 001

As our HUF wishes to open a Trading and / or Demat account with your company in the name of _____ _____, we hereby state that the first signatory to this letter, i.e. _____ is the Karta of the joint family and other signatories are adult coparceners of the said family.

We hereby authorize the said Karta to open a Trading and / or Beneficiary Demat Account with Proficient Equities Pvt. Ltd. in the name and on behalf of the HUF. He is further authorized to sign, execute and submit such applications, undertakings and other requisite documents, writings and deeds as may be deemed necessary to expedient to open such account and give effect to this purpose. Proficient Equities Pvt. Ltd. is hereby authorized to honor all instructions oral or written, given on behalf of HUF by the said Karta.

We further confirm that the business of the said Joint family is carried on mainly by the said Karta in the interest and benefit of the entire body of coparceners and members of the joint family. We all undertake that claims due to Proficient Equities Pvt. Ltd.,cLfrom the said family shall be recoverable personally from all or any of us and also from the entire family properties of which the first signatory is the Karta, including the share of minor coparceners.

In view of the fact that ours is not a firm governed by the Indian Partnership Act, 1932, we have not got our said Family registered under the said Act. We hereby undertake to inform Proficient Equities Pvt. Ltd. of the death or birth of any coparcener or any change occurring at any time in the membership of our Joint Family during the currency of the account.

List of current members of the said HUF is as under noted,

Sr.#	Name	Designation 1. Karta 2. Coparcener 3. Adult Member 4. Minor Member	PAN Compulsory for Karta Coparceners & Adult Members For Minor member(s) mention their respective Date of Birth	Signature Compulsory for Karta, Coparceners & Adult Members For Minor members mention NA
1				
2				
3				
4				
5				

_____
Stamped and signed by Karta of the said HUF

FORMATS

DECLARATION FORM BY PARTNERS FOR PARTNERSHIP FIRM (For DEMAT A/c)

(To be obtained on Pre-Printed Letter Head of the Firm)

To,
PROFICIENT EQUITIES PVT. LTD.
"BNCCI HOUSE", 23 R.N. Mukherjee Road
4th Floor, Kolkata - 700 001

1. I / We have submitted an application for opening a joint account in the name(s) of _____, _____ and _____ for opening a Beneficial Owner [BO] account in the category "INDIVIDUAL' for holding and carrying out transactions in respect of securities belonging to our firm, as per the clarification issued by the Department of Company Affairs vide its Circular No. 5/75 (8/18/75-CL-V) dated March 31, 1975, Partnership Firm is not capable of being a member within the meaning of Section 41 of The Companies Act, 1956.
2. We represent the firm.
3. In consideration of you having agreed to accept the Permanent Account Number [PAN] issued by the Income Tax Department [ITD] to the firm along with our individual identity documents, we acknowledge and undertake as under :-
   a) the acceptance of the PAN number of our firm does not amount to you having taken notice of trust or recognize our firm
   b) we shall continue to be responsible for complying with the relevant provisions of The Companies Act, 1956 and the Rules made thereunder and other applicable Laws, failing which we shall be responsible for the consequences thereof

Yours faithfully,

Signature	Signature	Signature
Partner's Name	Partner's Name	Partner's Name

FORMATS

DECLARATION TO BE GIVEN BY PARTNERSHIP (For Trading A/c)

(To be obtained on Pre-Printed Letter Head of the Firm)

To
Proficient Equities Pvt. Ltd.
Head Office :BNCCI House, 23 R.N. Mukherjee
Road, 4th Floor, Kolkata - 700 001 Dated :

Dear Sir,

We refer to the trading account opened with you in the name of ..... and declare and authorize you as under:

We recognize that a beneficiary account can not be opened with a Depository Participant in the name of the partnership firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations, pursuant to the trading operations, we authorize you to recognize the beneficiary account No. ..... With Depository .....: having DP ID ..... opened as a joint account in the names of the partners of the firm.

We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfers to/from the above-mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Name of the Partners	*Signature*
_____	✓_____
_____	✓_____
_____	✓_____

Instructions : Should be signed by all partners of the firm.

In case of Partnership / LLP Accounts

FORMATS

AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER/(S)

(To be obtained on Pre-Printed Letter Head of the Firm)

We the partners of M/s ....., a partnership firm, having its office at ..... (office address) City ..... State .....hereby authorize Mr./Ms. ..... And Mr./Ms. ..... to open a securities trading account in Capital Market segment, F&O segment, Currency Derivative Segment and Debt Market segment on behalf of the firm M/s ..... with the Trading Member M/s Proficient Equities Pvt. LTD. for sale and purchase of shares/debentures/derivative instruments in Capital Market segment(CM) and or Futures and Options segment(F&O) and/or Retail Debt Market segments (DM) or any other segment that may be introduced by NSE/BSE/MSEI in future. He/She/They is/are **singly** authorized on behalf of the firm to deal in equities, derivatives, debentures, debt products and the said Trading Member is hereby authorized to honor all instructions oral or written, given on behalf of the firm by him/her/them.

Mr./Ms..... and Mr./Ms..... is/are authorized to sell, purchase, transfer, endorse, negotiate documents and /or/ otherwise deal through PROFICIENT EQUITIES PVT. LTD. on behalf of the firm M/s. ..... . He/She/They is/are also authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

However any partner/authorized signatory(ies) can issue cheques from bank account(s) in favor of Proficient Equities Pvt. Ltd. for credit to share trading account of the of the firm with M/s PROFICIENT EQUITIES PVT. LTD.,even though his/their signatures may not be available on the records of Proficient Equities Pvt. Ltd. These cheques may either be from the account of partnership firm or from individual account, the said amount so given shall be solely/ exclusively for the account of the firm maintained with Proficient Equities Pvt. Ltd.

Name of the Partners	*Signature*
	✓
	✓
	✓

Note : Please affix rubber stamp of the firm for each signature

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RESOLUTION IN CASE OF LLP(for Demat A/c)

FORMATS

(To be obtained on Pre-printed Letter Head of the LLP)

We the partners of M/s ..... (Name of LLP) a partnership firm, having its office .....hereby authorize one of the partner Mr. .....or Mr..... to open a Demat account with Proficient Equities Pvt. Ltd. Depository Participant of Central Depository Services (I) Ltd., on behalf of the firm Ms/ ..... (Name of LLP) and to complete all account opening formalities, issue receipt/delivery instructions, Demat/Remat requests, cancellation of the aforesaid and all other acts as may be necessary for operations of the account and a copy of the said resolution to be delivered to Proficient Equities Pvt. Ltd. for their reference and record."

RESOLVED FURTHER THAT Mr..... Or Mr....., designated partners are authorized to transfer, endorse, negotiate documents and/or otherwise deal with PROFICIENT EQUITIES PRIVATE LIMITED on behalf of the firm M/s .....(name of LLP). They are also **singly** authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

However any partner/authorized signatories can issue cheques from bank account in favor of Ashika Stock Broking Limited for credit to Share trading account of the firm with M/s PROFICIENT EQUITIES PRIVATE LIMITED, even though their signatures may not be available on the records of Proficient Equities Pvt. Ltd. These cheques may either be form the account of partnership firm or from individual account the said amount so given shall be solely / exclusively for the account of the firm maintained with Proficient Equities Private Limited.

For ..... (Name of LLP)

Partners/authorized signatory

Name of Authorized signatory Signature with seal

1. 2.

BOARD RESOLUTION IN CASE OF CORPORATE / REGISTERED TRUST (For Demat A/c)

FORMATS

To be typed on company's letter head and signed by majority of directors of the company.

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF BOARD OF DIRECTORS OF _____(Company Name)_____ HAVING ITS REGISTERED OFFICE AT _____(Company Address)_____ HELD ON _____(Meeting Date)_____.

"Resolved that a **(CDSL / NSDL)** depository account of the company be opened in the name and style of _____(name of the account)_____ with M/s. Proficient Equities Pvt. Ltd. **[DPID : (CDSL) 12082100]** and Mr./Mrs. _____ and Mr./Mrs. _____ **Director(s) / Authorized Signatory(ies)** are hereby **singly** authorized to complete all account opening formalities, issue receipt/delivery instructions, Demat/Remat requests, inter-settlement transfers, account closures/shifting/freeze/defreeze requests, pledge/hypothecation instructions, cancellation of the aforesaid and all other action as may be necessary for operations of the account and a copy of the said resolution to be delivered to "M/s. Proficient Equities Private Limited" for their reference and record."

For, {Company Name)

Chairman/Company Secretary

Directors	Signatures

Note : Please carefully use the **BOLD** matter

BOARD RESOLUTION IN CASE OF CORPORATE / TRUST (For Trading A/c)

FORMATS

(To be obtained on Pre-Printed Letter Head of the Company)

Extracts of the Minutes of the Meeting of the Board of Directors of «COMPANY/TRUST NAME» at its Registered Office at _____ on _____.

"RESOLVED THAT the company/trust may invest / trade in Securities / Derivatives Market and be registered as CLIENT with Proficient Equities Pvt. Ltd., a Member of NSE, BSE and MSEI, for the purpose of dealing/trading in equities, equity derivatives, currency derivatives, debentures, debt products in NSE/BSE/MSEI and the said member be and is hereby authorized to honor all instructions oral or written, given on behalf of the Company by any one of the under-noted authorized signatories:-

1. «Name of the authorised signatory» - «Designation»
2. «Name of the authorised signatory» - «Designation»

who are authorized to sell, purchase, transfer, endorse, negotiate and/or otherwise deal with Proficient Equities Pvt. Ltd. on behalf of the Company/Trust.

RESOLVED FURTHER THAT «Authorised Signatory(ies), Designation» of the Company/Trust be and are hereby , **singly** authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution.

RESOLVED FURTHER THAT «Authorised Signatory» is hereby authorized to submit the above resolution to Proficient Equities Pvt. Ltd.

Specimen Signatures of the above noted Authorised Signatory(ies)

For
Chairman/Company Secretary

Name	Signature

Please Note: Attach list of Directors/Trustees' as on date

FORMATS

Declaration of Beneficial Ownership

Applicable for Unlisted Company/Partnership firm/Association of Persons(AoP)/Body of Individuals (BoI)

(on the letter head)

Date:-

To
The Director
Proficient Equities Pvt. Ltd.

Name of the Client & Code :- _____

(Section I & II to be ticked and filled up)

Section I (A)

I/We the undersigned hereby declare the below details of persons having controlling ownership * in the captioned Company/ Firm/AoP/BoI/Trust.

Sr. No.	Name	PEP (Y/N)	% of Capital /Profit	PAN No. #	Address & (in case of company) Name of the Stock Exchange in which the Company is registered

Section I (B)

(Applicable only if there is /are non individual (s) having controlling ownership as declared in Sec I above)

The following person(s), having controlling ownership* in beneficial owner of the captioned entity (as declared in section I (A) above)

Sr. No.	Name of the Beneficial Owner	Mention if Shareholder/Senior Manager/Beneficiary/trustee/ Settler/Grantor/Protector^	% of shareholding/capital /profit	PAN No. #	Address & (in case of company) Name of the Stock Exchange in which the Company is registered

OR

Section II

(Applicable if no person is having controlling ownership* in excess of the prescribed threshold as declared in Sec I)

We declare that no person /entity holds controlling ownership* in the captioned entity in excess of the threshold limit prescribed below.

For _____ (name of the entity)

_____ Signature & Designation (with Stamp)

Refer to the following instructions while filling details in the format above:-

a) For the columns marked with #:-
   i. PAN No. to be provided for the resident individuals. In absence of PAN, valid ID documents to be submitted. If Minor, then age proof to be provided.
   ii. Passport Number to be provided for the Foreign National /NRI for not having PAN Number.

b) PEP :-Whether politically exposed or not, applicable for individuals only.

c) Address mentioned should be of residence for individuals and registered office for non individuals only.

d) If the space in one declaration format is not sufficient to mention details of all beneficial owners, please use separate declaration.

*Explanation on who is a Beneficial Owner, where client is an Unlisted company/Firm/Unincorporated Association /Body of Individuals

A) Controlling ownership interest means ownership of /entitlement to more than 25 percent of shares or capital or profits of the juridical person, where the juridical person is a company ; ownership of /entitlement to more than 15 percent of capital or profits of the juridical person, where the juridical person is a partnership; or, ownership of/ entitlement to more than 15% of the property or capital or profits of the juridical person where the juridical person is an in incorporated association or body of Individuals.

B) Where no natural person is identified under I & II above, the beneficial owner is the relevant natural person who holds the position of the senior managing official.

C) Where client or owner of the controlling interest is a company listed on a stock exchange, or is a subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies.

ACKNOWLEDGEMENT FOR THE RECEIPT OF DOCUMETS

From, Date :_____

_____

_____

_____

To,
PROFICIENT EQUITIES PRIVATE LIMITED
Regd Office : 23, R.N. Mukherjee Road, 4th Floor,
BNCCI House, Kolkata 700001

Dear Sir / Madam,

Ref.: Acknowledgement for the receipt of documents.

This is to acknowledge the receipt of a copy of the following documents viz.,

- A copy of Client Registration Form (KYC), duly executed.
- Instruction & Check list
- Risk Disclosure Document
- Policies & Procedures.
- Rights & Obligations.
- Schedule of charges.
- Do's & Don't for the investor.

Thanking You,
Yours Faithfully

_____
Signature of the client