



**MEMBER: BSE, NSE**

# BOOKLET-1

## CLIENT REGISTRATION FORM

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

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

PAN No.:

Form No.:

## INSTRUCTIONS / CHECK LIST

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/sub-broker'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.

**THIS INFORMATION IS THE SOLE PROPERTY OF THE TRADING MEMBER/ BROKERAGE HOUSE AND WOULD NOT BE DISCLOSED TO ANYONE UNLESS REQUIRED BY LAW OR EXCEPT WITH THE EXPRESS PERMISSION OF CLIENTS.**

**Upmove Financial Technologies Services is engaged in client based business as well as in proprietary trading.**

This disclosure is made in pursuance of SEBI Circular No. SEBI/MRD/SE/ Cir-42/2003 dated Nov 19, 2003

## INDEX

Sr. No.	Name of the Document	Brief Significance of the Document	Pg. No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1.	Account Opening Form	<p><b>A.</b> KYC form - Document captures the basic information about the constituent and an instruction/check list.</p> <p><b>B.</b> Document captures the additional information for Trading and Demat Account along with Terms and Conditions receiving SMS alert from CDSL.</p>	1-12
2.	Tariff sheet	Document detailing the demat fee schedule & rate/ amount of brokerage charges levied on the client for trading on the stock.	8-12
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
3.	Declaration	Receipt & read of Rights & Obligation, Guidance Note, RDD, Policies & Procedure & PMLA	13
4.	Letter For Authorised Person All Exchanges	Letter of Authority for Trading & Settlement Account	14
5.	Consent to receive trade/transaction alerts	A facility provided by Exchanges to receive Trade/ Transaction alerts through e-mails/SMS	15
6.	Consent to receive the Contract Note trade confirmations	A mandatory by the client to receive Contract Notes, trade confirmations in electronic form instead of physical form	16
7.	Authority to retain securities and funds	An authority given by the client to member to hold his/her securities and funds payout beyond statutory time limit for operational convenience	17
8.	Request & Authority for Placement & Withdrawal of Securities Collateral	An authority given by the client to hold his/her securities as collateral	18
9.	HUF Declaration	Forms of Declaration to be given by Karta of HUF	19
10.	Document for Mutual Fund Service System	To avail MFSS facility	20-21
11.	FACTCA/ CRS Declaration Form	Foreign Account Tax Compliance Act Declaration/ Common Reporting Standard	23-28
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
12.	Rights and Obligations	Rights & Obligations of stock broker/trading member, sub-broker and client	1-6
13.	Risk Disclosure Document (RDD)	Document detailing Risks associated with dealing in the securities market	7-10
14.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors	11-12
15.	Policies & Procedures	Various policies and procedures applied by the Member	13-15
16.	Information on Prevention of Money Laundering Act 2002, (PMLA)	Brief note on PMLA for Client Information	16-17
17.	Format of Declarations	Format of Declaration to be given by Partnership Firm/ Proprietorship Firm/ HUF	18
18.	Format of Board Resolution in case of Corporate	Format of Board Resolution in case of Corporate	19

## DETAILS OF THE TRADING MEMBER

Name of the Stock Broker/ Trading Member	<b>Upmove Financial Technologies Services</b>			
SEBI Registration No. and Date	BSE	INZ000158323 Dated: 3/11/2017		
	NSE			
Member ID & Clearing No.	BSE	Capital Market	6694	Dated: 10/7/2018
	NSE	Capital Market	90120	Dated: 2/2/2018
		Future & Options	90120	Dated: 16/3/2018
Name of the Clearing Member	SMC Global Securities Limited CM ID - M50504 SEBI Registration No. INZ000199438			
Registered Office	Address	501, B-wing, East Point Bldg., 90ft Road, Next Ganesh Mandir, Pant Nagar, Ghatkopar (E), Mumbai - 400 077		
	Phone	89289 99541		
	Email	helpdesk@upmovefintech.in		
Corporate Office	Address	1201, B-wing, East Point Bldg., 90 ft Road, Next to Ganesh Mandir, Pant Nagar, Ghatkopar (E), Mumbai - 400 077		
	Phone	022 3538 6600		
	Email	swaroop.panakkada@1fcode.com		
Details of Compliance Officer	Name	Mr. Swaroop Panakkada		
	Phone	90290 75122		
	Email	s_panakkada@hotmail.com		
Details of CEO	Name	Mr. Rishabh Shah		
	Phone	9081590816		
	Email	rishabh.shah@1fcode.com info@1fcode.com		

For any grievance/dispute please contact **Upmove Financial Technologies Services** on the above address or email at [grievancecell@upmovefintech.in](mailto:grievancecell@upmovefintech.in) or call on 89289 99541

In case you are not satisfied with our response, you may contact the concerned Stock Exchange/ Depository at the following:

Exchange	Web Address	Contact No.	Web Address
BSE	<a href="http://www.bseindia.com">www.bseindia.com</a>	91-22-22728097	<a href="mailto:is@bseindia.com">is@bseindia.com</a>
NSE	<a href="http://www.nseindia.com">www.nseindia.com</a>	1800 22 0051	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>

You can also lodge your grievances with SEBI at <https://scores.sebi.gov.in/>

For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575/ 1800 266 7575

**Know Your Client (KYC)  
Application Form (For Individuals Only)**



First Holder

Please fill in ENGLISH and in BLOCK LETTERS

Application No. :

**A. Identity Details (please see guidelines overleaf)**

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender  Male  Female    B. Marital status  Single  Married    C. Date of Birth

3. Nationality  Indian  Other (Please specify) \_\_\_\_\_

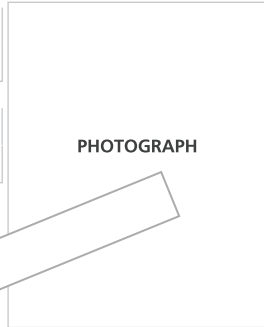
4. Status Please tick (✓)  Resident Individual  Non Resident  Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN  Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any: \_\_\_\_\_

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

UID (Aadhaar)  Passport  Voter ID  Driving Licence  Others  (Please see guideline 'D' overleaf)



**B. Address Details (please see guidelines overleaf)**

1. Address for Residence/Correspondence

City / Town / Village		Pin Code
State	Country	

2. Contact Details

Tel. (Off.) (ISD) (STD)	Tel. (Res.) (ISD) (STD)
Mobile (ISD) (STD)	Fax (ISD) (STD)
E-Mail Id.	

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify) \_\_\_\_\_

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted \_\_\_\_\_

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village		Pin Code
State	Country	

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify) \_\_\_\_\_

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted \_\_\_\_\_

6. Any other information: \_\_\_\_\_

**DECLARATION**

**SIGNATURE OF APPLICANT**

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Place:

Date:



**FOR OFFICE USE ONLY**

IPV Done  on dd / mm / yyyy

AMC/Intermediary name OR code \_\_\_\_\_

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain  
 Staff Name  
 Designation  
 Name of the Organization  
 Signature  
 Date

Seal/Stamp of the intermediary should contain  
 Staff Name  
 Designation  
 Name of the Organization  
 Signature  
 Date

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity( POI): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA): List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN

#### (\*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

**Know Your Client (KYC)  
Application Form (For Individuals Only)**

Please fill in ENGLISH and in BLOCK LETTERS

CVL



Application No. \_\_\_\_\_

**A. Identity Details (please see guidelines overleaf)**

**1. Name of Applicant** (As appearing in supporting identification document).  
Name

Father's/Spouse Name

**2. Gender**  Male  Female **B. Marital status**  Single  Married **C. Date of Birth**

**3. Nationality**  Indian  Other

**4. Status** Please tick (✓)  Resident Individual  Non Resident  Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

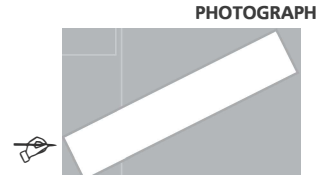
**5. PAN** Please enclose a duly attested copy of your PAN Card

**Aadhaar Number**, if any:

**6. Proof of Identity submitted for PAN exempt cases** Please Tick (✓)

UID (Aadhaar)  Passport  Voter ID  Driving Licence  Others

(Please see guideline 'D' overleaf)



**B. Address Details (please see guidelines overleaf)**

**1. Address for Residence/Correspondence**

City / Town / Village  
State

Country

Pin Code

**2. Contact Details**

Tel. (Off.)  
Mobile  
E-Mail Id.

Tel. (Res.)  
Fax

**3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**

Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify)

\*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** / /

**4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant**

City / Town / Village  
State

Country

Pin Code

**5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**

Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify)

\*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted**

**6. Any other information:**

**DECLARATION**

**SIGNATURE OF APPLICANT**

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Place:

Date:

**FOR OFFICE USE ONLY**

**IPV Done**  on / /

AMC/Intermediary name **OR** code

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary





Please fill in ENGLISH and in BLOCK LETTERS

Application No. :

### A. Identity Details (please see guidelines overleaf)

1. **Name of Applicant** (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

2. **Date of Incorporation**   /   /     **Place of Incorporation**

3. **Registration No. (e.g. CIN)**  **Date of commencement of business**   /   /

4. **Status** Please tick (✓)  Private Ltd. Co.  Public Ltd. Co.  Body Corporate  Partnership  Trust / Charities / NGOs  HUF  FI  FII  
 FPI Category I  FPI Category II  FPI Category III  AOP  Bank  Government Body  Non-Government Organisation  
 Defence Establishment  Body of Individuals  Society  LLP  Others (Please specify) \_\_\_\_\_

5. **Permanent Account Number (PAN) (MANDATORY)**  Please enclose a duly attested copy of your PAN Card

### B. Address Details (please see guidelines overleaf)

1. **Address for Correspondence**

City / Town / Village										Postal Code				
State					Country									

2. **Contact Details**

Tel. (Off.) (ISD) (STD)			Tel. (Res.) (ISD) (STD)		
Mobile (ISD) (STD)			Fax (ISD) (STD)		
E-Mail Id. <input type="text"/>					

3. **Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Bank Account Statement  Registered Lease / Sale Agreement of Office Premises  
 Any other proof of address document (as listed overleaf). (Please specify) \_\_\_\_\_

\*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted**   /   /

4. **Registered Address (if different from above)**

City / Town / Village										Postal Code				
State					Country									

5. **Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Bank Account Statement  Registered Lease / Sale Agreement of Office Premises  
 Any other proof of address document (as listed overleaf). (Please specify) \_\_\_\_\_

\*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted**   /   /

### C. Other Details (please see guidelines overleaf)

1. **Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors** (Please use the Annexure to fill in the details)

2. **Any other information:** \_\_\_\_\_

#### DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Place:

Date:

**NAME & SIGNATURE(S)  
OF AUTHORISED  
PERSON(S)**


#### FOR OFFICE USE ONLY

AMC/Intermediary name OR code \_\_\_\_\_

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Seal/Stamp of the intermediary should contain  
 Staff Name  
 Designation  
 Name of the Organization  
 Signature  
 Date

**A. IMPORTANT POINTS:**

- Self attested copy of PAN card is mandatory for all clients.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor or photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

**B. Proof of Identity (POI):** List of documents admissible as Proof of Identity:

- PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

**C. Proof of Address (POA):** List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission.)

- Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

Residence/Driving License/Flat Maintenance bill/Insurance Copy.

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

**D. Exemptions/clarifications to PAN**

(\*Sufficient documentary evidence in support of such claims to be collected.)

- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

**E. List of people authorized to attest the documents:**

- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

**F. In case of Non-Individuals, additional documents to be obtained from Non-individuals, over & above the POI & POA, as mentioned below:**

Types of entity	Documentary requirements
<b>Corporate</b>	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year)</li> <li>Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations</li> <li>Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly</li> <li>Copies of the Memorandum and Articles of Association and certificate of incorporation</li> <li>Copy of the Board Resolution for investment in securities market</li> <li>Authorised signatories list with specimen signatures</li> </ul>
<b>Partnership firm</b>	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>Certificate of registration (for registered partnership firms only)</li> <li>Copy of partnership deed</li> <li>Authorised signatories list with specimen signatures</li> <li>Photograph, POI, POA, PAN of Partners</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>Certificate of registration (for registered trust only). Copy of Trust deed</li> <li>List of trustees certified by managing trustees/CA</li> <li>Photograph, POI, POA, PAN of Trustees</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>PAN of HUF</li> <li>Deed of declaration of HUF/List of coparceners</li> <li>Bank pass-book/bank statement in the name of HUF</li> <li>Photograph, POI, POA, PAN of Karta</li> </ul>
<b>Unincorporated Association or a body of individuals</b>	<ul style="list-style-type: none"> <li>Proof of Existence/Constitution document</li> <li>Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf</li> <li>Authorized signatories list with specimen signatures</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years</li> <li>Authorized signatories list with specimen signatures</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>Copy of SEBI registration certificate</li> <li>Authorized signatories list with specimen signatures</li> </ul>
<b>Army/Government Bodies</b>	<ul style="list-style-type: none"> <li>Self-certification on letterhead</li> <li>Authorized signatories list with specimen signatures</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>Copy of Registration Certificate under Societies Registration Act</li> <li>List of Managing Committee members</li> <li>Committee resolution for persons authorised to act as authorised signatories with specimen signatures</li> <li>True copy of Society Rules and Bye Laws certified by the Chairman/Secretary</li> </ul>



## TRADING RELATED ACCOUNT DETAILS

### TRADING PREFERENCE

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

Exchanges	NSE <input type="checkbox"/>	BSE <input type="checkbox"/>		
All Segment	Cash / Mutual Fund	F&O	Cash / Mutual Fund	F&O
X ☞	☞	☞	☞	☞

If you do not wish to trade in any of segments / Mutual Fund, please mention here

Whether you wish to avail of the facility of internet trading / wireless technology (Please Specify)  Yes  No

### BROKERAGE DETAILS

Brokerage Scheme

Cash  F&O  Currency

	Cash Segment		Derivative			Currency Derivative		
	Trading	Delivery	Future	Option		Future	Option	
	% / Min. / % / Min.		% / Min. / % / Min.		Mini Per Lot	% / Min. / % / Min.		Mini Per Lot
1st Leg	FLAT ₹ 1. BROKERAGE FOR EVERY EXECUTED ORDER.		FLAT 1 RS. BROKERAGE PER LOT IN FUTURE & OPTION					
2nd Leg								

### ADDITIONAL DETAILS

Contract Note	Whether you wish to receive <input type="checkbox"/> Electronic Contract Note (ECN) <input type="checkbox"/> Physical Contract Note			
Educational Qualification	<input type="checkbox"/> High School	<input type="checkbox"/> Graduate	<input type="checkbox"/> Post Graduate	<input type="checkbox"/> Professional
Investment/ Trading Experience	<input type="checkbox"/> _____ Years in Stock	<input type="checkbox"/> _____ Years in Derivatives	<input type="checkbox"/> _____ No Prior Experience	
Primary purpose of dealing	In Equities:	<input type="checkbox"/> Intraday	<input type="checkbox"/> Positional	<input type="checkbox"/> Investment
	In Derivatives:	<input type="checkbox"/> Trading	<input type="checkbox"/> Hedging	
Stock Portfolio	<input type="checkbox"/> NIL	<input type="checkbox"/> <5 Lacs	<input type="checkbox"/> 5-20 Lacs	<input type="checkbox"/> 20-50 Lacs <input type="checkbox"/> >50 Lacs
Any other information	<input style="width: 100%; height: 20px;" type="text"/>			

### PAST ACTIONS

Details of any action/ proceedings initiated/ pending/ taken by SEBI/ Stock Exchange/ any other authority against the applicant/ constituent or its Partners, Promoters/ Whole Time Directors/ Authorized persons in charge of dealing in securities during the last 3 years, whether in terms of criminal or civil proceedings by any enforcement agency worldwide.

### DEALING THROUGH OTHER STOCK BROKERS

If You are dealing with any other stock broker/ Sub broker/ Authorised Person, provide the following details: (in case dealing with multiple stock broker/ Sub broker/ Authorised Person, provide details of all)

Name of Stock broker _____	Client Code _____
Name of Sub broker _____	Exchange _____
Authorised Person Details of disputes/ dues pending from/ to such stock broker/ Sub broker/ Authorised Person _____	

# COMMON DETAILS FOR TRADING AND DEMAT



## OTHER DETAILS

<b>Gross Annual Income details</b>	<b>Income range per annum</b> <input type="checkbox"/> Upto Rs.1,00,000/- <input type="checkbox"/> Rs.1,00,000/- to Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,000/-to Rs. 10,00,000/- <input type="checkbox"/> Rs.10,00,000/- to Rs.25,00,000/- <input type="checkbox"/> Rs. 25,00,000/- to Rs. 1,00,00,000/- <input type="checkbox"/> More than Rs. 1,00,00,000/-
Net worth as on Date: _____ Rs. _____ (Net worth should not be older than 1 year)	
<b>Occupation</b>	<input type="checkbox"/> Private/Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____
<b>Please tick, if applicable</b>	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Not Applicable
<b>Any other information</b>	

## ADDITIONAL INFORMATION RELATED TO TRADING ACCOUNT

### A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank Account No.	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others ..... In case of NRI: <input type="checkbox"/> NRE <input type="checkbox"/> NRO		
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others ..... In case of NRI: <input type="checkbox"/> NRE <input type="checkbox"/> NRO		

### B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

(You may attach separate sheet for DP details, Please tick default ID for BSE / NSE transactions)

<b>Status</b>										
<input type="checkbox"/> Body Corporate		<input type="checkbox"/> Banks		<input type="checkbox"/> Trust		<input type="checkbox"/> Mutual Funds		<input type="checkbox"/> OCB		<input type="checkbox"/> FIT
<input type="checkbox"/> CM		<input type="checkbox"/> FI		<input type="checkbox"/> Cleaning House		<input type="checkbox"/> Other (Specify) _____				
<b>Corporate Sub-Status</b>		<input type="checkbox"/> Domestic <input type="checkbox"/> Foreign Body <input type="checkbox"/> Group Company <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Other _____								
<b>Place of Incorporation</b>		<b>Date of Incorporation</b>								
		<b>Date of Commencement of Business</b>								
<b>SEBI Registration No.</b>		<b>SEBI Registration Date</b>								
<b>ROC Registration No.</b>		<b>ROC Registration Date</b>								
<b>RBI Registration No.</b>		<b>RBI Registration Date</b>								
<b>CIN No.</b>										
<b>Nationality</b>		<input type="checkbox"/> Indian <input type="checkbox"/> Other (Specify) _____								

### DEALING THROUGH REGISTERED SUB BROKER / AUTHORISED PERSON

If you are dealing through Upmove Financial Technologies Services / Authorised Person, provide the following details :



Name			BSE SEBI Regn. No.	
Regd. Off. Address			NSE SEBI Regn. No.	
			MCX-SX SEBI Regn. No.	
Signature (Sub-broker/AP) 	Tel. No		Remisier/AP _____	
	Fax. No		Remisier/AP _____	
	Website		Remisier/AP _____	

### DEALING THROUGH REGISTERED SUB BROKER / AUTHORISED PERSON

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting. I am/we are aware that I/we are aware that I/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' Document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website, if any.

### FOR OFFICE USE ONLY

UCC Code allotted to the Client : \_\_\_\_\_

	Documents verified with Originals	In-Person Verification done by
Name of the Employee		
Designation of the Employee		
Date		
Signature 		

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

Date \_\_\_\_\_

Signature of Authorised Signatory  \_\_\_\_\_

# NOMINATION DETAILS (For Individual Only)



I/We wish to make a nomination. [As per details given below]				
<b>Nomination Details</b>				
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.				
<b>Nomination can be made upto three nominees in the account.</b>		<b>Details of 1<sup>st</sup> Nominee</b>	<b>Details of 2<sup>nd</sup> Nominee</b>	<b>Details of 3<sup>rd</sup> Nominee</b>
<b>Mandatory Details</b>				
<b>1</b>	<b>Name of the nominee(s) (Mr./Ms.)*</b>			
<b>2</b>	<b>Share of each Nominee</b>	Equally <small>[[If not equally, please specify percentage]</small>	%	%
		<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>		
<b>3</b>	<b>Relationship With the Applicant ( If Any)</b>			
* Date of Birth and Name of Guardian to be provided in case of minor nominee(s)				
<b>Non-mandatory Details</b>				
<b>4</b>	<b>Address of Nominee(s)/ Guardian in case of Minor</b>			
		City / Place:		
		State & Country:		
		PIN Code		
<b>5</b>	<b>Mobile / Telephone No. of nominee(s)/ Guardian in case of Minor</b>			
<b>6</b>	<b>Email ID of nominee(s)/ Guardian in case of Minor</b>			
<b>7</b>	<b>Nominee/ Guardian (in case of Minor) Identification details – [Please tick any one of following and provide details of same]</b>			
		<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN		
		<input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID		
<b>Name(s) of holder(s)</b>				<b>Signature(s) of holder*</b>

Sole / First Holder (Mr. / Ms.)		<input checked="" type="checkbox"/>
Second Holder (Mr. / Ms.)		<input type="checkbox"/>
Third Holder (Mr. / Ms.)		<input type="checkbox"/>

## DECLARATION FORM FOR OPTING OUT OF NOMINATION

UCC ID ALLOTTED TO CLIENT \_\_\_\_\_

CLIENT NAME \_\_\_\_\_

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

### **Name and Signature of Holder(s)\***

1. <sup>x</sup>\_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_

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

Voluntary

## DECLARATION

To  
**Upmove Financial Technologies Services**  
501,B-wing, East Point Bldg.,90ft Road,  
Next to Ganesh Mandir,Pant Nagar,  
Ghatkoper (E) Mumbai - 400077

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

Dear Sir/ Madam,

I/ We hereby state and declare that I have received, read and understood the below mentioned documents to my satisfaction and understood the voluntary clauses mutually agreed between us.

1. I/ We have received and read the 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).
2. I/ We have received and read the document detailing the Risks associated with dealing in the securities market in the Risk Disclosure Document.
3. I/ We have received and read the document the Guidance note detailing do's and don'ts for trading on exchanges, for the education of the investors.
4. I/ We have received and read the document describing significant policies and procedures of the stock broker and also the tariff structure.

I have got clear idea about all brokerages, commissions, fees and other charges levied by the Upmove Financial Technologies Services for trading as per the relevant provisions/ guidelines specified by the SEBI/ Stock Exchanges.

I hereby acknowledge the same.

Signature:  \_\_\_\_\_

## LETTER FOR AUTHORITY - ALL EXCHANGES

To  
**Upmove Financial Technologies Services**  
501,B-wing, East Point Bldg.,90ft Road,  
Next to Ganesh Mandir,Pant Nagar,  
Ghatkoper (E) Mumbai - 400077

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

Dear Sir/ Madam,

**Sub: Letter for authority for trading and settlement on My/ Our Behalf**

Kindly find below a list of authorized person to represent me/ us, their authority restricted to following.

1. To sell, purchase, subscribe for, effect deliver of, transfer, dispose, endorse, negotiate and/ or otherwise deal in all types of securities and instruments including units of mutual funds (hereinafter referred to as 'securities') for all the Exchange(s) and Segment(s).
2. To receive advice/ instructions for payment of margins, including margin calls.
3. To receive communication regarding squaring up of existing open positions, in case of shortfall of margin or otherwise.
4. To sign execute and submit such documents as may be required to effectuate any of the above in accordance and subject to the regulatory requirement from time to time.

Name of the Person(s)	Relation, if any
1. _____	_____
2. _____	_____
3. _____	_____

Any instruction given to or received from the Authorized Representative in connection with the said trading account will be treated as an instruction given to or received from me/ us expect your obligation under SEBI/ Exchange guidelines. I/ We hereby agree to confirm all transactions, trade and dealings done by the Authorized Representative.

Signature:  \_\_\_\_\_

Voluntary

## CONSENT FORM FOR RECEIVING TRADE/ TRANSACTION ALERTS THROUGH SMS AND/ OF E-MAIL

To  
**Upmove Financial Technologies Services**  
501,B-wing, East Point Bldg.,90ft Road,  
Next to Ganesh Mandir,Pant Nagar,  
Ghatkoper (E) Mumbai - 400077

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

Dear Sir/ Madam,

I/ We, \_\_\_\_\_ a client with Upmove Financial Technologies Services, Member of BSE, NSE and any other Stock Exchange in future, undertakes as follows:

1. I/ We are aware that BSE, NSE provides the details of the trades executed on their trading platforms to the concerned clients/ constituents through SMS and Email alerts.
2. I/ We are aware that the Member (Upmove) has to provide the trade details through SMS/ Email alerts for my/ our convenience at my/ our request only.

3. I/ We hereby confirm that I / We wish to receive the trade alerts through:

SMS  E-mail  SMS & E-mail

4. I/We hereby confirm and request you that the trade alerts should be sent on:

Mobile Number: \_\_\_\_\_

belongs to  Self  Spouse  Dependent Children  Dependent Parents

E-mail Address: \_\_\_\_\_

belongs to  Self  Spouse  Dependent Children  Dependent Parents

I/ We hereby agree to the terms and conditions specified by the BSE vide Circular No. 20110809-19 dated August 9, 2011, NSE vide Circular No. 686/2011 dated November 18, 2011 and circulars/ clarifications issued by the Exchanges from time to time in this regard. I/ We am/ are also aware that this is an additional facility provided by the Exchanges and I/ We shall not solely rely on use such data for any [purpose and Exchanges shall not be liable for any direct or indirect loss of any nature because of providing this additional facility to me/ us.

Signature:  \_\_\_\_\_

Voluntary

## CONSENT TO RECEIVE CONTRACT NOTE, TRADE CONFIRMATIONS BY E-MAIL

To  
**Upmove Financial Technologies Services**  
501,B-wing, East Point Bldg.,90ft Road,  
Next to Ganesh Mandir,Pant Nagar,  
Ghatkoper (E) Mumbai - 400077

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

Dear Sir/ Madam,

I/ We hereby consent to receive the contract notes/ trade confirmations of the trades executed by me/ us bill & account statements thereof, notices, circulars, amendments and such other correspondence or documents in electronic form duly authenticated by means of a digital signature such as specified in the Information Technology Act 2000 and the rules made there under, to any of myself created E-mail Ids mentioned below:

<b>Email Id-1</b>	
<b>Email Id-2</b>	
<b>Email Id-3</b>	

I/ We further hereby consent to the following:

1. The Member shall fulfill its legal obligation if the aforesaid documents are sent electronically to an one of the said e-mail ids.
2. I/ We shall communicate the change in e-mail id, if any, to you through a duly signed physical letter.
3. I/ We undertake to check contract notes and transaction statements, bills on regular basis and bring the discrepancies to your notice preferably within 48 hours of the execution of the trade or on receipt of the said statements.
4. Non verification or not accessing the contract notes/ transaction statements on regular basis from my /our part shall not be a reason for disputing the contract note or transaction statements at any time.
5. The Member will not be responsible for non receipt of documents sent via electronic delivery due to change in email address as mentioned above or for any other reason beyond the control of TM which inter alia include the malfunction of my/ our computer system/ server/ internet connection etc.
6. The non receipt of bounced mail notification by Upmove shall amount to delivery of the documents at my/ our E-mail Id.
7. The member shall not take cognizance of out of office/ out of station auto replies and I/ We shall be deemed to have received such electronic emails.
8. I/ We also acknowledge the upload of Contract Note/ Bills, Statement of Accounts/ Ledgers and other Statements/ Documents for trading on BSE & NSE on your website [www.upmovefintech.in](http://www.upmovefintech.in)
9. In case of bounced mail, Contract Note will be sent in physical mode.

Yours Faithfully,

Signature:  \_\_\_\_\_ X

To  
**Upmove Financial Technologies Services**  
 501,B-wing, East Point Bldg.,90ft Road, Next  
 to Ganesh Mandir,Pant Nagar,  
 Ghatkopar (E) Mumbai - 400077

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

Dear Sir/ Madam,

**Sub: Authority Letter for Running Account (Client Code \_\_\_\_\_)**

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 so retained with you.
3. I/We hereby authorize Upmove Financial Technologies Services to act at its discretion of adjusting any credit balance under my/ our various accounts against the debit in any account across Exchange, without taking any further instruction from me/us.
4. 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.
5. I/We may revoke the authorization at any time by issuing a physical letter for the effect.
6. I/We also agree that the actual settlement of fund shall be done by me/us, at least once in a  
 (Tick your preference)  
 Every Calendar Quarter    or     Every Calendar Month
7. There shall be no inter-client adjustment for the purpose of settlement of the 'running account'.
8. You may retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the Exchanges.
9. At the time of settlement you may retain an amount of upto Rs. 10,000/-.
10. I/ We shall bring any dispute arising from the statement of account or settlement to your notice preferably within 7 working days from the date of receipt of funds/ securities or statement as the case may be.

Yours Faithfully,

Signature:  \_\_\_\_\_

Voluntary

## REQUEST & AUTHORITY FOR PLACEMENT OF SECURITIES COLLATERAL & WITHDRAWAL

**TO**  
**Upmove Financial Technologies Services**  
501, B-wing, East Point Bldg., 90ft Road,  
Next to Ganesh Mandir, Pant Nagar,  
Ghatkoper (E), Mumbai- 400077

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

Dear Sir/ Madam,


In order to facilitate operations and to abide by the statutory requirements as laid down from time to time, I/ We wish to keep transferring the securities to yours designated demat account from time to time as collaterals towards margin deposit for Cash/ Derivatives Segments of the Exchanges for which you may please to exempt me/ us to give you separate individual instructions every time. Such collateral securities so transferred to your designated demat accounts should be credited to my/ our account and margin benefits be given to me/ us accordingly.

I/ We also wish to avail exposure against stock lying in my/ our DP account maintained with your Depository Participant and authorize you to transfer the securities so lying in my/ our demat account(s) to yours designated demat account for the purpose of exposure and/ or any margin and/ or payin and/ or early payin and/ or pre payin obligations that arise/ may arise on my/ our trade position in any exchange segment.

I/ We also request & authorize you to directly deliver such collateral securities to the Stock Exchanges towards my/ our payin/ early payin/ pre payin margin obligations without any reference to me/ us.

I/ We further confirm that all the Demat Charges in this regard would be borne by me/ us.

Yours Faithfully,

Signature:  X \_\_\_\_\_

Voluntary

## DECLARATION BY THE KARTA (in case of HUF)

To  
Upmove Financial Technologies Services  
501,B-wing, East Point Bldg.,90ft Road,  
Next to Ganesh Mandir,Pant Nagar,  
Ghatkopar (E) Mumbai - 400077

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

The undersigned and the Karta of \_\_\_\_\_ (HUF)  
hereby, disclose the following details of our HUF and all its coparceners.

Name	Date Of Birth	Relationship	Signature

I hereby, state that details mentioned as above are true and any changes therein would be intimated to you immediately in writing.

Yours Faithfully,

Name of Karta : \_\_\_\_\_

Signature of the Karta along with Stamp:  \_\_\_\_\_

Voluntary

## MUTUAL FUND SERVICE SYSTEM FACILITY

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

To

**Upmove Financial Technologies Services**

501,B-wing, East Point Bldg.,90ft Road,  
Next to Ganesh Mandir,Pant Nagar,  
Ghatkopar (E) Mumbai - 400077

### Sub: Mutual Fund Service System (MFSS) Facility

Dear Sir/ Madam,

I/We \_\_\_\_\_ am/are registered as your client with Client Code No. \_\_\_\_\_ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd (Exchange).

I/We am/are interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS facility of the Exchange.

For the purpose of availing the MFSS facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS facility and I/We further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular No. NSE/ MFSS/ 003/ 2009 dated November 24, 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/ We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the MFSS.

Yours Faithfully,

Signature:  \_\_\_\_\_

## DETAIL OF TERMS & CONDITIONS FOR THE INVESTOR / CLIENT FOR USING NEW MFSS FACILITY

1. **Pre-requisites for becoming Investor/ Client for the New MFSS facility.**
  - 1.1 The client who is desirous of investing in units of mutual fund schemes through the New MFSS.
  - 1.2 The client intends to execute his instruction for the subscription/ redemption of units of Mutual Fund Schemes Through the Participant of the New MFSS.
  - 1.3 The client has satisfied itself of the of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transacting through the Participant.
  - 1.4 The Client has approached to the Participant with the application for availing the New MFSS facility.
  - 1.5 The client has submitted relevant KYC (Know You Client) details to the Participants.
2. **Terms and Conditions**
  - 2.1 The client shall be bound by circulars by issued by NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
  - 2.2 The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for Participating in the New MFSS or at any time thereafter.
  - 2.3 The shall submit to the Participant a completed application from in the manner prescribed format for the purpose of placing a subscription order with the Participant.
  - 2.4 The client has read and understood the risks involved in investing in Mutual Fund Schemes.
  - 2.5 The client shall be wholly responsible for all his investment decisions and instruction.
  - 2.6 The client shall ensure continuous compliance with the requirements of the NSEIL, SEBI AND AMFI.
  - 2.7 The client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
  - 2.8 The client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
  - 2.9 In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL or NSCCL.
  - 2.10 In case of any dispute between the Participants and the investors arising out of the MFSS facility, NSEL and/ or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

Signature:  \_\_\_\_\_

Page Left Blank Intentionally

## FATCA/ CRS DECLARATION/ SELF CERTIFICATION FOR INDIVIDUAL

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

First / Sole Holder    Second Holder (If any)    Third Holder (If any)

- |   |   |   |   |
|---|---|---|---|
| 1. Are you U. S. Person?<br>(Refer KYC Handout - Customer Copy) | <input type="checkbox"/> Yes <input type="checkbox"/> No      | <input type="checkbox"/> Yes <input type="checkbox"/> No      | <input type="checkbox"/> Yes <input type="checkbox"/> No      |
| 2. Specify country of residence for tax purpose (Tax Residency) | <input type="checkbox"/> India <input type="checkbox"/> Other | <input type="checkbox"/> India <input type="checkbox"/> Other | <input type="checkbox"/> India <input type="checkbox"/> Other |
| 3. Specify Country of Citizenship                               | <input type="checkbox"/> India <input type="checkbox"/> Other | <input type="checkbox"/> India <input type="checkbox"/> Other | <input type="checkbox"/> India <input type="checkbox"/> Other |

### FATCA & CRS Declaration - Individual

PAN \_\_\_\_\_ Trading \_\_\_\_\_ Client Code \_\_\_\_\_

Name \_\_\_\_\_

Place of Birth \_\_\_\_\_ Country of Birth \_\_\_\_\_

Nationality \_\_\_\_\_

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

Net Worth Amount Rs \_\_\_\_\_ Net Worth as on \_\_\_\_\_  
*(Net worth should not be older than 1 year)*

- Occupational     Business     Private Scetor     Professional     Government Service     Public Sector  
Detail     Agriculture     Housewife     Student     Retired     Firex Dealer     Other \_\_\_\_\_

Politically Exposed Person (PEP)     Related to Politically Exposed Person (RPEP)

Are you a tax resident of any country other than India     Yes     No

If yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>
2.	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>
3.	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

### DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this forms (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true. correct and complete. I hereby agree and confirm to inform **Upmove Financial Technologies Services** for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEO).

Sign here : x

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

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



**FATCA-CRS Declaration & Supplementary KYC Information**  
**Self Declaration Form for Entities / Non-Individuals [for DP & Trading]**

*Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance*

**CLIENT CODE**

**DPID**

**NAME**

**PAN\***

Address Type (For KYC Address)  Residential  Residential / Business  
 Business  Registered Office

Place of Incorporation

Country of Incorporation

Gross Annual Income Details in INR  Below 1 Lakh  1-5 Lacs  
 5-10 Lacs  10-25 Lacs  
 25 Lacs - 1 Cr  > 1 Crore

Net Worth in INR. In Lacs  
 Net Worth As of / /20

Is the entity involved in / providing any of the following services:  
 Foreign Exchange / Money Changer Services  
 Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates] Money Laundering / Pawning

Any other information (if applicable)

Is your [Entity] Country of Tax Residency other than India –  Yes  No

If "Yes", please specify the details of all countries where you [Entity] hold tax residency and its Tax Identification Number & type hereunder:

SR No	Country of Tax Residency#	Tax Payer Identification Number /Functional Equivalent / Company Identification Number or Global Entity Identification Number	Identification Type (TIN or other, please specify)
1			
2			

In case the Entity's Country of Incorporation / Tax Residence is US but Entity is not a Specified US person, mention Entity's exemption code here \_\_\_\_\_ (Refer Instructions P)

**Declaration:**

Entity Constitution Type (Pvt.Co./Public Co./LLP/Partnership/HUF/AOP/BOI/Proprietorship/Trust/Others)	
Entity Identification Type (tick as applicable)	<input type="checkbox"/> Company Identification Number <input type="checkbox"/> Trust Registration Number <input type="checkbox"/> TIN/ Tax deduction Account Number <input type="checkbox"/> US GIIN <input type="checkbox"/> Global Entity Identification Number (GEIN) <input type="checkbox"/> Other
Entity Identification No.	
Entity Identification issuing country	
Country of Residence for tax purpose	

**Entity Classification :**

**Part I – Financial Institution**

<b>A.</b>	<p>Whether Reporting Financial Institution (Please tick as applicable): <input type="checkbox"/> Yes <input type="checkbox"/> No          If Yes, Please tick any one of the following categories as applicable to you and provide your Global Intermediary Identification Number (GIIN) :  <input type="checkbox"/> Depository Instt. <input type="checkbox"/> Custodial Instt. <input type="checkbox"/> Investment Entity <input type="checkbox"/> Specified Insurance Company</p> <p><b>GIIN :</b></p> <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td> </tr> </table>																			
<b>B.</b>	<p>Whether Non Reporting Financial Institution (Please tick as applicable) <input type="checkbox"/> Yes <input type="checkbox"/> No          If Yes, Mention category as applicable to you (<i>Refer Annexure B</i>) :</p>																			
<b>C.</b>	<p>Whether Sponsored Investment Entity which is not qualified intermediary to obtain GIIN but Sponsored by another entity that has registered as a Sponsoring Entity (Please tick as applicable): <input type="checkbox"/> Yes <input type="checkbox"/> No          If Yes, Please provide the following details of Sponsoring Entity :          Name of Sponsoring Entity : _____          GIIN of Sponsoring Entity : _____</p>																			
<b>D.</b>	<p>Whether Trustee Documented Trust and has not yet obtained GIIN (Please tick as applicable):  <input type="checkbox"/> YES <input type="checkbox"/> NO                      If Yes, Please provide the following details of Trustee :          Name of Trustee : _____          GIIN of Trustee : _____</p>																			
<b>E.</b>	<p>Whether Owner documented Financial Institution (Please tick as applicable) : <input type="checkbox"/> Yes <input type="checkbox"/> No          If Yes, Provide the details of each controlling person in the table given below</p>																			
<b>F.</b>	<p>Whether Non Participating Financial Institution (Please tick as applicable) : <input type="checkbox"/> Yes <input type="checkbox"/> No</p>																			

**Part II – Non Financial Entity (NFE)**

<b>A.</b>	<p>Whether Active NFE (Please tick as applicable) : <input type="checkbox"/> Yes <input type="checkbox"/> No          If Yes, Provide the applicable Category (<i>Refer Annexure C</i>): _____          In case, falling under category 2, Please provide the following details :              a. If you are a listed Entity : Name of the Stock Exchange _____              b. b. If you are related of any listed Entity, Provide the following Details :          Name of Related Entity : _____ Name of Stock Exchange _____</p>																			
<b>B.</b>	<p>Whether Passive NFE (Please tick as applicable) : <input type="checkbox"/> Yes <input type="checkbox"/> No          If Yes, Provide the applicable Category (<i>Refer Annexure D</i>): _____. Also Provide the details of each controlling person in the table given below</p>																			
<b>C.</b>	<p>Whether Direct Reporting NFE (Please tick as applicable) : <input type="checkbox"/> Yes <input type="checkbox"/> No          If Yes, Please provide GIIN :</p> <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td><td style="width: 20px;"> </td> </tr> </table>																			

**Controlling Person Declaration:**

Name of Controlling person	Correspondence Address	Country of residence for tax purpose	TIN (if any)	TIN issuing Country	Controlling person type

Details	For Controlling person 1	For Controlling person 2	For Controlling person 3	For Controlling person 4	For Controlling person 5
Document submitted for Identification : Passport/Election Card/PAN card/Govt. ID Card / Others					
Identification Number					

**Declaration:**

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may liable for it. I/We hereby authorize you to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me/us, including all changes, updates to such information as and when provided by me/us to any of the Exchanges/Depositories/Mutual Fund, its sponsor, Asset Mgmt. Co., trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I /We understand that you do not offer any tax advice on CRS/FATCA or its impact on me/us. I/We shall seek advice from Professional Tax Advisor for any tax questions.

**Signature with relevant seal:**


X _____	X _____	X _____
---------	---------	---------

**DATE :** \_\_\_\_\_ **PLACE :** \_\_\_\_\_

**Most Important Terms and Conditions (MITC)**

(For non-custodial settled trading accounts)

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

Signature:  <sup>x</sup> \_\_\_\_\_

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

To

**Upmove Financial Technologies Services**

501, B-wing, East Point Bldg., 90ft Road  
Next to Ganesh Mandir, Pant Nagar,  
Ghatkopar (E) Mumbai 400077

Dear Sir/ Madam,

I/ We confirm the receipt of following documents:

1. A/C Opening Letter having details of my Unique Client Code, Email Id, Bank and DP A/C
2. Copy of Client Registration Form (KYC)
3. Others \_\_\_\_\_

Yours Faithfully,

Signature:  \_\_\_\_\_

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

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

## CONFIRMATION

- |                                  |           |
|----------------------------------|-----------|
| 1. Client name verificaton       | - YES/ NO |
| 2. Email id                      | - YES/ NO |
| 3. Address                       | - YES/ NO |
| 4. DOB                           | - YES/ NO |
| 5. Nominaton                     | - YES/ NO |
| 6. Relation with client (if any) | - YES/ NO |
| i) If yes mention relation       | -         |
| ii) Letter of authority sign     | - YES/ NO |
| iii) Who will trade in Account   | - _____   |
| Approved / Reject                | - _____   |

Signature:  \_\_\_\_\_ x

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

ONLINE TRADING FACILITY YES / NO



CREATE CLEAN INDIA



## UPMOVE FINANCIAL TECHNOLOGIES SERVICES

Equities | Derivatives | Mutual Funds | IPO's | e-Broking

Reg. Office & Corporate Office : 501/1201, B-wing, East Point Bldg., 90 ft Road, Next to Ganesh Mandir, Pant Nagar,  
Ghatkopar (E), Mumbai - 400 077

Tel. : 022-3538 6600 | Web: [www.upmovefintech.in](http://www.upmovefintech.in)