PRIVATE & CONFIDENTIAL

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Global Private Client



TRADING AND DEPOSITORY

ACCOUNT OPENING FORM

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Stock Broker	Depository Participant
Ambit Broking Services Private Limited **CIN- U66120MH2009PTC191965** Registered and Correspondence Office Address: Ambit House, Senapati Bapat Marg, Lower Parel, Mumbai - 400013, India. Phone: +91-22-66233000 Fax:+91-22-66233100 Email: gpc.compliance@ambit.co Website: www.ambitathena.co SEBI Registration No.: INZ000325835 NSE- 90446 BSE- 6934 Compliance Officer- Vivek Bisht Phone No.- 022-66231834 Email ID- vivek.bisht@ambit.co For any grievance / dispute please contact, Ambit Broking Services Private Limited at the above address or at Email ID - investorgrievance.abspl@ambit.co and Phone No. +91-22-66233000	**Ambit Capital Private Limited** **CIN- U74140MH1997PTC107598** Registered and Correspondence Office Address: Ambit House, Senapati Bapat Marg, Lower Parel, Mumbai - 400013, India. Phone: +91-22-66233000 Fax:+91-22-66233100 Website: www.ambitcapital.co Email: compliance@ambit.co SEBI Registration No.: IN-DP-682-2022 CDSL- 12047500 Compliance Officer- Manish Dubey Phone No.- 022-66233252 Email ID- manish.dubey@ambit.co For any grievance / dispute please contact, Ambit Capital Private Limited at the above address or at Email ID - investorgrievance.acpl@ambit.co and Phone No. +91-22-66233000

In case you are not satisfied with the response, please contact - BSE Limited (Tel.: +91-22-22728097; E-mail: is@bseindia.com); National Stock Exchange of India Limited (Tel.:+91-22-26598190; E-mail: ignse@nse.co.in) and Central Depository Services Limited (Tel.: 1800-200-5533/022 2305 8563; Email: complaints@cdslindia.com)

Further you can also lodge your grievances with SEBI at https://scores.gov.in or ODR at https://smartodr.in/login. For any queries, feedback or assistance, please contact SEBI on Toll Free Helpline at: 1800 22 7575 / 1800 266 7575.

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CHECK LIST FOR FILLING KYC FORM
(List of documents to be Submitted) - For Individual

	For Individual:The following documents shall be accepted as Pol: Officially valid document (OVD) defined as per Rule 2 (d) of Prevention of Money-Laundering (Maintenance of Records) Rules, 2005 (PML Rules):		Please Tick
PAN Card	Mandatory Documents		
Photograph	One Colored Front Face Photograph on photographic Paper (Passport Size)		
Bank Proof Provide for all the bank accounts mentioned (Any One)	1. Bank statement / bank passbook along with cheque leaf (not more than 2 months old, seal & signature of Bank Official)	specifying name of the constituent, MICR Code or/and IFSC Code of the bank	
	2. Banker's Certificate on letter head of the Bank (ORIGINAL)		
	3. Cancelled Personalized Cheque leaf		
Proof of Identity (Any One)	1. The driving licence;		
	2. Proof of possession of Aadhaar number;		
	3. The Voter's Identity Card issued by Election Commission of India;		
	4. Job card issued by NREGA duly signed by an officer of the State Government;		
	5. Passport		
	6. The letter issued by the National Population Register containing details of name address; or		
	7. Any other document as notified by the Central Government in consultation with the Regulator.		
Proof of Address (Any One)	1. The driving licence;		
	2. Proof of possession of Aadhaar number;		
	3. The Voter's Identity Card issued by Election Commission of India;		
	4. Job card issued by NREGA duly signed by an officer of the State Government;		
	5. Passport		
	6. The letter issued by the National Population Register containing details of name address; or		
	7. Any other document as notified by the Central Government in consultation with the Regulator.		
Additional documents in case of trading in derivatives segments - illustrative list: (Any One)	1. Latest six-month bank statement or passbook.		
	2. Latest three months' salary slips.		
	3. Latest financial year's ITR acknowledgement.		
	4. DP holding statement of the entity.		
Additional Documents for NR clients	1. Passport copy (page with photograph, address page and page showing recent arrival stamp of India*)		
	2. Copy of OCI (Overseas Citizenship of India) Card / PIO (Person of Indian Origin)		
	3. PAN Card copy		
	4. Overseas Address Proof - Driving License / Passport /Utility Bills/Bank statement Electricity bill / gas bill / water bill (not more than 2 months old) / Notarized copy of rent agreement / Leave & License Agreement / Sale deed		
	5. Cancelled cheque leaf of NRE / NRO savings bank account.		
	6. PIS Permission copy		
	7. Note: All the above mentioned documents need to be self-attested. *In absence of in-person verification, all the above mentioned documents need to be attested either by Indian embassy or consulate general of the country where NRI resides / overseas notary / Overseas Banker / Court, Magistrate, Judge+ self-attested.		
	8. TIN Proof has to be provided for the TIN details mentioned in the FATCA page.		

IMPORTANT INSTRUCTIONS

GENERAL:

1 Trading Account will be in the name of First Sole holder of Demat and/or Bank A/c only.

2 Thumb impression and signatures other than English, Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a special Executive Magistrate.

3 Witness should be a person other than a co-holder or joint holder.

4 The applicant should authenticate any corrections or alterations in the account opening form.

5 All fields in the form must be filled; otherwise, the form may be rejected.

6 Signature should be preferably in black ink. In case of any correction cancellation, please provide counter signature on the left side of the page.

BANK DETAILS:

1 Cheque/DD towards Registration fees & other charges should be drawn in favour of "Ambit Broking Services Pvt. Ltd"

2 It is mandatory to provide complete Bank Accounts' details. In absence of complete details, form may be rejected.

DEMAT ACCOUNT:

1 For Demat Account, Joint Holder and Nominee cannot be the same person.

2 Photographs to be signed across and pasted (Not Stapled) for all the holders in Demat as well as the nominee and his/her guardian.

3 In case of joint applicants for Demat Account, copy of PAN, Proof of Address, Proof of Identity and FATCA-CRS Declaration for all Applicants is mandatory.

1st Holder Signature : First Holder (F)
2nd Holder Signature : Second Holder (S)
3rd Holder Signature : Third Holder (T)

CHECK LIST FOR FILLING KYC FORM
(List of documents to be Submitted) - For Non-Individual

Type of Entity	Documentary requirements	Please Tick
Corporate	Copy of the balance sheets for the last 2 financial years (to be submitted every year).	
	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).	
	Photograph, Proof of Identification, Proof of Address, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 10% of shares/capital/profits	
	Copies of the Memorandum and Articles of Association and certificate of incorporation.	
	Copy of the Board Resolution or Declaration (on the Letterhead) naming the persons authorised to deal in securities on behalf of company / firm / others and their specimen signatures for investment in securities market.	
	Authorised signatories list with specimen signatures along with photo.	
Partnership Firm	Copy of the balance sheets for the last 2 financial years (to be submitted every year)	
	Certificate of Registration (for registered partnership firms only).	
	Certified copy of partnership deed	
	Authorised signatories list with specimen signatures along with photo.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 10% of capital/profits	
Trust	Copy of the balance sheets for the last 2 financial years (to be submitted every year).	
	Certificate of registration (for registered trust only).	
	Certified copy of Trust deed.	
	List of trustees certified by managing trustees/CA.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 10% of property / capital / profits .	
HUF	PAN of HUF.	
	Deed of declaration of HUF/ List of coparceners.	
	Bank pass-book/bank statement in the name of HUF.	
	Photograph, Proof of Identification, Proof of Address, PAN of Karta.	
Unincorporated association or a body of individuals	Proof of Existence/Constitution document.	
	Resolution of the managing body & Power of Attorney granted to transact business on its behalf.	
	Authorized signatories list with specimen signatures along with photo.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 10% of property/capital/profits	
Banks/Institutional Investors	Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years	
	Authorized signatories list with specimen signatures along with photo.	
Foreign Institutional Investors (FII)	Copy of SEBI registration certificate.	
	Authorized signatories list with specimen signatures along with photo.	
Army/Government Bodies	Self-certification on letterhead.	
	Authorized signatories list with specimen signatures along with photo.	
Registered Society	Copy of Registration Certificate under Societies Registration Act.	
	List of Managing Committee members.	
	Committee resolution for persons authorised to act as authorised signatories with specimen signatures.	
	True copy of Society Rules and Bye Laws certified by the Chairman / Secretary.	
Photograph (Passport Size)	Promoters (more than 5% stake / Partners / Whole time Directors/ Authorised Persons / Trustees / Beneficiary owners	
PAN Card	Certified photo copy of PAN Card of the Non Individual Promoters (more than 5% stake / Partners/ Whole time directors/ Authorised Persons	

Type of Entity	Documentary requirements	Please Tick
Bank Proof (Any One)	Bank Statement (not more than 2 months old & seal and signature of the bank official in case no latest transaction)	
	Banker's Certificate on letter head of the bank certifying the account number and date from which the account is operational	
	Cancelled Personalized (in the name of the Non Individual Applicant) Cheque leaf	
Address Proof (Any One)	For the Non Individual Applicant	
	Bank Statement (not more than 2 months old & seal and signature of the bank official in case no latest transaction)	
	Ack. Copy of the IT Return	
	Leave & License Agreement / Agreement for sale	
	Certified copy of Form No.18 filed with the Registrar of Companies along with filing fee receipt	
	For Promoters (>5 % stake) / Partners / Whole time directors / Authorised Persons / Trustees / Beneficiary owners	
	Unique Identification Number (UID) (Aadhaar)	
	Valid Passport (Name, Address & photo page)	
	Voter ID (front and back)	
	Valid Driving License (Name, Address & photo page)	
	Bank Passbook / Statement (not more than 3 months old seal and signature of the bank official in case no latest transaction)	
	Banker's Certificate on letter head of the bank	
	Electricity Bill (not more than 2 months old)	
	Resident Landline Tel. Bill (not more than 2 months old)	
	Notarized Leave & License / Rent Agreement / Flat Sale Agreement	
	Other* (Pls. Specify)	
Additional documents in case of trading in derivatives segments - illustrative list: (Any One)	Latest six-month bank statement.	
	Latest financial year's ITR acknowledgement.	
	Net-worth certificate from a CA (with UDIN).	
	DP holding statement of the entity.	
	Latest year's Audited Balance Sheet and P&L statement.	
Identity Proof of Promoters (more than 5% stake)/ Partners/Whole time Directors/ Authorised Persons/Trustees/ Beneficiary owners (Any One)	Valid Passport (Name, Address & photo page)	
	Voter ID (front and back)	
	Valid Driving License	
	PAN Card	

*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 I Self declaration by High Court & Supreme Court Judges giving the address in respect of their own account I The proof of address in the name of the spouse may be accepted I Ration Card I Flat Maintenance Bill I Insurance Copy I Gas Bill I 1 [Identity Card or Document with address, issued by Central or State Govt. & its dept., Statutory or Regulatory Authorities, Public sector undertaking, Schedule Commercial Bank, Public Hncn Lol institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWA, ICSI, Bar Council etc. to their members]

IMPORTANT INSTRUCTIONS

GENERAL:

1 Trading Account will be in the name of First/Sole holder of Demat and / or Bank A/c only
2 Thumb impression and signatures other than English, Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a special Executive Magistrate
3 Witness should be a person other than co-holder/ joint holder
4 The applicant should authenticate any corrections / alteration in the account opening form
5 All the fields in the Form must be filled up by the applicant otherwise the Form may be rejected
6 In case of Non Individual Applicant, signature shall be along with the Applicant's seal. Signature should be preferably in black ink.
7 In case of any correction/cancellation, please provide counter signature on the left side of the page.

BANK DETAILS:

1 Cheque / DD towards Registration fees & other charges should be drawn in favour of “Ambit Broking Services Pvt. Ltd”
2 It is mandatory to provide complete All Bank Accounts' details. In absence of complete details, form may be rejected.

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Instructions / Guidelines for filling KYC Application Form

General Instructions:

1. Self-Certification of documents is mandatory.
2. KYC number of applicant is mandatory for update/change of KYC details.
3. For particular section update, please tick (,I) in the box available before the section number and strike off the sections not required to be updated.
4. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 list mentioned under [I].
5. If any proof of identity or address is in a foreign language, then translation into English is required.
6. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
7. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
8. Sole proprietor must make the application in his individual name & capacity.
9. 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.
10. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
11. 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.

A. Clarification / Guidelines on filling 'Identity Details' section

1. Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B. Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

1. Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

C. Clarification / Guidelines on filling 'Proof of Identity [Pol]' section, if PAN Card copy is not enclosed/For PAN exempt Investors

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if 'Z - Others (any document notified by the central government)'. is ticked.
3. Others - Identity card with applicant's photograph issued by any of the following: Central/ State Government 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.
4. Letter issued by a gazetted officer, with a duly attested photograph of the person.

D. Clarification / Guidelines on filling 'Proof of Address [PoA] section

1. PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3. Others includes - Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central/ State Government 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 cardslDebit cards issued by Banks.

E. Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

1. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2. In case of multiple correspondence l local addresses, Please fill 'Annexure A 1'
3. Others includes - Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central/ State Government 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.

F. Clarification / Guidelines on filling 'Contact details' section

1. Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
2. Do not add '0' in the beginning of Mobile number.

G. Clarification / Guidelines on filling 'Related Person details' section

1. Provide KYC number of related person if available.

H. Clarification / Guidelines on filling 'Related Person details - Proof of Identity [Pol] of Related Person' section

1. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

I. List of people authorized to attest the documents after verification with the originals:

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R& T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. 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).
5. 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.
6. Government authorised officials who are empowered to issue Apostille Certificates.

J. List of people authorized to perform In Person Verification (IPV):

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R& T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (for investors investing directly).
5. In case of NRI applicants, a person permitted to attest documents, may also conduct the In Person Verification and confirm this in the KYC Form.

K. PAN Exempt Investor Category

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.

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KNOW YOUR CLIENT / CKYC & KRA KYC FORM

First Holder (F)

1. IDENTITY DETAILS (Please refer instruction A)

Prefix | First Name | Middle Name | Last Name

Name* (Same as ID proof)

Maiden Name (If any*)

Father / Spouse Name*

Mother Name

Date of Birth*

Gender* ☐ Male ☐ Female ☐ Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ Indian ☐ Others-Country_____Country Code

Nationality* ☐ Resident Individual ☐ Non Resident Indian

☐ Foreign National ☐ Person of Indian Origin ☐ Others

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

☐ Housewife ☐ Professional ☐ Self-Employed ☐ Retired

☐ Student ☐ B-Business ☐ O-Others _____

Please Affix a recent passport size Photograph and sign across it (F)

PAN

CKYC Number

UID/AADHAR

Geo Tagging Location:(It should have Latitude, Longitude, Date time & Location)_____

Specify the proof of the identity submitted ☐ Pan Card ☐ Any Others (Please specify)

2. ADDRESS DETAILS

2.1 CORRESPONDENCE / OVERSEAS ADDRESS DETAILS

Line 1*

Line 2

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

State / U.T. Code as per Indian Motor Vehicle Act, 1988 State/UT*

Country* Country Code* as per ISO 3166

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

2.2 SPECIFY THE PROOF OF ADDRESS Submitted for Correspondence Address :

2.3 PERMANENT ADDRESS DETAILS

Line 1*

Line 2

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

State / U.T. Code as per Indian Motor Vehicle Act, 1988 State/UT*

Country* Country Code* as per ISO 3166

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

2.4 SPECIFY THE PROOF OF ADDRESS Submitted for Permanent Address :

3. Contact Details (in CAPITAL) (Has to be added for all Holder)

Email ID. _____

Mobile No. _____

Tel (Off)_____ Tel (Res) _____

DECLARATION

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

Date

Place

(F)

FOR OFFICE USE ONLY

☐ Originals Verified and Self Attested Document copies received ☐ In Person Verification (IPV) details:

Name of the staff who has carried out the in-person verification_____

Designation & Emp. code_____

Signature of Staff_____

Name of the Organisation:_____

Name & Signature of Authorised Signatory_____

Note: KYC form has to be submitted for all account holders
Fields marked "*" are mandatory

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Second Holder (S)

1. IDENTITY DETAILS (Please refer instruction A)

Prefix | First Name | Middle Name | Last Name

Name* (Same as ID proof)

Maiden Name (If any*)

Father / Spouse Name*

Mother Name

Date of Birth*

Gender* ☐ Male ☐ Female ☐ Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ Indian ☐ Others-Country_____Country Code

Nationality* ☐ Resident Individual ☐ Non Resident Indian

☐ Foreign National ☐ Person of Indian Origin ☐ Others

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

☐ Housewife ☐ Professional ☐ Self-Employed ☐ Retired

☐ Student ☐ B-Business ☐ O-Others _____

Please Affix a recent passport size Photograph and sign across it (S)

PAN CKYC Number

UID/AADHAR

Geo Tagging Location:(It should have Latitude, Longitude, Date time & Location)_____

Specify the proof of the identity submitted ☐ Pan Card ☐ Any Others (Please specify)

2. ADDRESS DETAILS

2.1 CORRESPONDENCE / OVERSEAS ADDRESS DETAILS

Line 1*

Line 2

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

State / U.T. Code as per Indian Motor Vehicle Act, 1988 State/UT*

Country* Country Code* as per ISO 3166

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

2.2 SPECIFY THE PROOF OF ADDRESS Submitted for Correspondence Address :

2.3 PERMANENT ADDRESS DETAILS

Line 1*

Line 2

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

State / U.T. Code as per Indian Motor Vehicle Act, 1988 State/UT*

Country* Country Code* as per ISO 3166

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

2.4 SPECIFY THE PROOF OF ADDRESS Submitted for Permanent Address :

3. Contact Details (in CAPITAL) (Has to be added for all Holder)

Email ID. _____

Mobile No. _____

Tel (Off)_____ Tel (Res) _____

DECLARATION

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

Date

Place

(S)

FOR OFFICE USE ONLY

☐ Originals Verified and Self Attested Document copies received ☐ In Person Verification (IPV) details:

Name of the staff who has carried out the in-person verification_____

Designation & Emp. code_____

Signature of Staff_____

Name of the Organisation:_____

Name & Signature of Authorised Signatory_____

Note: KYC form has to be submitted for all account holders
Fields marked "*" are mandatory

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KNOW YOUR CLIENT / CKYC & KRA KYC FORM

Third Holder (T)

1. IDENTITY DETAILS (Please refer instruction A)

Prefix | First Name | Middle Name | Last Name

Name* (Same as ID proof)

Maiden Name (If any*)

Father / Spouse Name*

Mother Name

Date of Birth*

Gender* ☐ Male ☐ Female ☐ Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ Indian ☐ Others-Country_____Country Code

Nationality* ☐ Resident Individual ☐ Non Resident Indian

☐ Foreign National ☐ Person of Indian Origin ☐ Others

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

☐ Housewife ☐ Professional ☐ Self-Employed ☐ Retired

☐ Student ☐ B-Business ☐ O-Others _____

Please Affix a recent passport size Photograph and sign across it (T)

PAN CKYC Number

UID/AADHAR

Geo Tagging Location:(It should have Latitude, Longitude, Date time & Location)_____

Specify the proof of the identity submitted ☐ Pan Card ☐ Any Others (Please specify)

2. ADDRESS DETAILS

2.1 CORRESPONDENCE / OVERSEAS ADDRESS DETAILS

Line 1*

Line 2

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

State / U.T. Code as per Indian Motor Vehicle Act, 1988 State/UT*

Country* Country Code* as per ISO 3166

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

2.2 SPECIFY THE PROOF OF ADDRESS Submitted for Correspondence Address :

2.3 PERMANENT ADDRESS DETAILS

Line 1*

Line 2

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

State / U.T. Code as per Indian Motor Vehicle Act, 1988 State/UT*

Country* Country Code* as per ISO 3166

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

2.4 SPECIFY THE PROOF OF ADDRESS Submitted for Permanent Address :

3. Contact Details (in CAPITAL) (Has to be added for all Holder)

Email ID. _____

Mobile No. _____

Tel (Off)_____ Tel (Res) _____

DECLARATION

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

Date

Place

(T)

FOR OFFICE USE ONLY

☐ Originals Verified and Self Attested Document copies received ☐ In Person Verification (IPV) details:

Name of the staff who has carried out the in-person verification_____

Designation & Emp. code_____

Signature of Staff_____

Name of the Organisation:_____

Name & Signature of Authorised Signatory_____

Note: KYC form has to be submitted for all account holders
Fields marked "*" are mandatory

N **Know Your Client / CKYC & KRA KYC Form**
Application Form (For Non-Individuals Only)

AMBIT
Acumen at work

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. Please do not abbreviate the Name)._____
2. **Date of Incorporation** ____D D / M M / Y Y Y Y____ **Place of Incorporation**_____
3. **Registration No. (e.g. CIN)** _____ **GST No.**_____
   Date of commencement of business ____D D / M M / Y Y Y Y____
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)_____ Tel. (Res.)_____ Mobile_____
   Fax_____ 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.**
   ☐ *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**____D D / M M / Y Y Y Y____
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**____D D / M M / Y Y Y Y____

C.Other Details (please see guidelines overleaf)

1. **Name, PAN, DIN / Aadhar number, residential address and photographs of Promoters / Partners / Karta / Trustees / whole time directors** (Please use the 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)

1/14

FOR OFFICE USE ONLY

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

FOR OFFICE USE ONLY

☐ Originals Verified and Self Attested Document copies received

Name of the staff who has carried out the in-person verification_____
Designation & Emp. code_____

☐ In Person Verification (IPV) details:

Signature of Staff_____
Name of the Organisation:_____
Name & Signature of Authorised Signatory_____

Details of Promoters / Partners / Karta / Trustees and Whole-time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant_____ PAN of the Applicant_____

Sr. No.	PAN	Name	DIN (For Directors)/ UID (For Others)	Residential/ Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						☐ PEP ☐ RPEP ☐ NO	
						☐ PEP ☐ RPEP ☐ NO	
						☐ PEP ☐ RPEP ☐ NO	
						☐ PEP ☐ RPEP ☐ NO	
						☐ PEP ☐ RPEP ☐ NO	

Name & Signature of the Authorised Signatory(ies)_____

Date :_____ D D / M M / Y Y Y Y

PEP: Politically Exposed Person RPEP: Related to Politically Exposed Person

2/14

TRADING & DP ACCOUNT RELATED DETAILS - For Individuals

A. Bank Account(s) details		
	Bank 1 (Default)	**Bank 2**
Bank Name:		
Branch Address:		
Bank Account No.:		
Account Type: Saving/Current/Others -In case of NRI/NRE/NRO/PIS:		
MICR Number:		
IFSC Code:		
City:		
State:		
Country:		

(I) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO (or)
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.

B. Depository Account(s) details		
	DP 1	**DP 2**
Depository Participant Name:		
Depository Name (CDSL/NSDL):		
Beneficiary Name:		
DP ID:		
Beneficiary ID (BO ID):		

Note: Leave this field blank if you are opening DP A/c with Trading A/c.

C. **Type of Account** (Please tick whichever is applicable)	
Status	**Sub - Status**
☐ Individual	☐ Individual Resident ☐ Individual Director's Relative ☐ Individual Promoter ☐ Individual Margin Trading A/C (MANTRA) ☐ Individual-Director ☐ Individual HUF/AOP ☐ Minor ☐ Others (specify)_____
☐ NRI	☐ NRI Repatriable NRI ☐ Repatriable Promoter NRI ☐ Depository Receipts ☐ NRI Non-Repatriable ☐ NRI Non-Repatriable Promoter ☐ Others (specify)_____
☐ Foreign National	☐ Foreign National ☐ Foreign National - Depository Receipts ☐ Others (specify)_____

TRADING & DP ACCOUNT RELATED DETAILS
For Non Individuals

A. Bank Account(s) details

	Bank 1 (Default)	Bank 2
Bank Name:		
Branch Address:		
Bank Account No.:		
Account Type: Saving/Current/Others -In case of NRI/NRE/NRO/PIS:		
MICR Number:		
IFSC Code:		
City:		
State:		
Country:		

(I) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)

(ii) Photocopy of the Bank Statement having name and address of the BO (or)

(iii) Photocopy of the Passbook having name and address of the BO, (or)

(iv) Letter from the Bank.

B. Depository Account(s) details

	DP 1	DP 2
Depository Participant Name:		
Depository Name (CDSL/NSDL):		
Beneficiary Name:		
DP ID:		
Beneficiary ID (BO ID):		

Note: Leave this field blank if you are opening DP A/c with Trading A/c.

C. Other Details (Please see guidelines overleaf)

1. Gross Annual Income Details (in Rs.)

Please tick ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25-1 Cr ☐ >1Cr

Net worth in Rs. (*Net worth should not be older than 1 year)_____ as on (Date)_____

2. 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 _____

3. Name _____

PAN _____

Residential Address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:

_____

4. DIN/UID of Promoters/Partners/Karta and whole time directors: _____

5. Please (✓) tick, if applicable, for any of your authorized: ☐ Signatories ☐ Promoters ☐ Partners ☐ Karta Trustees/whole time directors: ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

6. Any other information: _____

C1 TRADING PREFERENCE (SIGNATURE PURPOSE)

*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Exchange	NSE, BSE					
All Segments	Cash / Mutual Fund	F & O	Currency	Debt	SLBM	MTF
	F	F	F	F	F	F

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

Note:- # If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

D. Other Details

1. Please tick, if applicable: ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person

2. Is the entity involved/providing any of the following services YES [ ] NO [ ]

For Foreign Exchange/Money Changer Services - ☐ YES ☐ NO - Gaming / Gambling / Lottery

Services (E.g. Casinos, Betting Syndicates) - ☐ YES ☐ NO - Money Lending / Pawning ☐ YES ☐ NO

3. Any Other Information:_____

E. 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:_____

F. DEALINGS THROUGH STOCK BROKER

Whether dealing with any other stock broker (if case dealing with multiple stock brokers, provide details of all)

Name of stock broker:_____

Client Code: _____Exchange:_____

Details of disputes/dues pending from/to such stock broker: _____

SMS Alert Facility Refer to Terms & Conditions given as (available on our website www.ambit.co)	MOBILE NO. +91_____ [(Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option)

Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2.6 (available on our website www.ambit.co)	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. ☐ Yes ☐ No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST

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

Easi	To register for easi, please visit CDSL website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online:

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic Credit] ☐ Yes ☐ No
I / We would like to instruct the DP to accept all the pledge instructions in my/our account without any further instruction from my/our end (If not marked, the default option would be 'No')	☐ Yes ☐ No
Account Statement Requirement	As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the Email ID as specified in KYC form	☐ Yes ☐ No
I / We would like to share the Email ID with the RTA	☐ Yes ☐ No
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	☐ Physical / ☐ Electronic / ☐ Both Physical and Electronic
I / We wish to receive dividend / interest directly in to my/our bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	☐ Yes ☐ No

I/We hereby opt for : Regular Demat Account ☐ / BSDA Account ☐

G. ADDITIONAL DETAILS

- Whether you wish to receive *standard documents in electronic form ☐ or physical form ☐
- Whether you wish to receive the confirmation, account statements and any other correspondence electronically or physically? (please specify) Physical ☐ Electronic ☐
- Whether you wish to receive Physical Contract Note ☐ Electronic Contract Note (ECN) ☐ (please specify)_____
- Specify your Email ID, if applicable: (as specified in KYC form)
- Whether you wish to avail of the facility of internet trading (please specify):_____
- Number of years of Investment/Trading Experience:_____
- In case of non-individual, Name, Designation, PAN, UID, Signature, Residential Address and Photograph of person authorized to deal in securities on behalf of company / firm / others_____
- Any other information:_____

F. INTRODUCTION DETAILS (Optional)

Name of the Introducer:_____

Status of the Introducer: Authorized Person/Existing Client/Others, please specify:_____

Address and Phone No. of the Introducer:_____

Signature of the Introducer:

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NOMINATION FORM - ANNEXURE A

Date | | | | | | | | |

DP ID | | | | | | | | | Client ID | | | | | | | | | Trading Code | | | | | | |

☐ I/We wish to make a nomination. [As per details given below]

NOMINATION DETAILS

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s)

Nominee Mandatory Details					Additional Details ****	
Sr. No.	Name of Nominee	Share of nominee \ Relationship (%)**	Postal Address, Mobile number & E-mail	Identity Number ***	D.O.B. of nominee	Guardian {in case of minor nominee(s)} * to be filled in next page (Guardian details)
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

*Joint Accounts:

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – not having nominee	Legal heir (s) of the youngest holder

Guardian of Nominee 1 Name of Guardian (Mr./Ms.): {in case of minor nominee(s)}	
Address of Guardian(s):	
Mobile / Telephone No. of Guardian:	
Email ID of Guardian:	
Relationship of Guardian with nominee: Guardian Identification details - *[Please tick any one of following and provide details of same]* ☐ Photograph & Signature ☐ PAN ☐ Aadhaar ☐ Saving Bank account no ☐ Proof of Identity ☐ Demat Account ID	
Guardian of Nominee 2 Name of Guardian (Mr./Ms.): {in case of minor nominee(s)}	
Address of Guardian(s):	
Mobile / Telephone No. of Guardian:	
Email ID of Guardian:	
Relationship of Guardian with nominee: Guardian Identification details - *[Please tick any one of following and provide details of same]* ☐ Photograph & Signature ☐ PAN ☐ Aadhaar ☐ Saving Bank account no ☐ Proof of Identity ☐ Demat Account ID	

Guardian of Nominee 3 Name of Guardian (Mr./Ms.): {in case of minor nominee(s)}	
Address of Guardian(s):	
Mobile / Telephone No. of Guardian:	
Email ID of Guardian:	
Relationship of Guardian with nominee: Guardian Identification details - *[Please tick any one of following and provide details of same]* ☐ Photograph & Signature ☐ PAN ☐ Aadhaar ☐ Saving Bank account no ☐ Proof of Identity ☐ Demat Account ID	
Guardian of Nominee 4 Name of Guardian (Mr./Ms.): {in case of minor nominee(s)}	
Address of Guardian(s):	
Mobile / Telephone No. of Guardian:	
Email ID of Guardian:	
Relationship of Guardian with nominee: Guardian Identification details - *[Please tick any one of following and provide details of same]* ☐ Photograph & Signature ☐ PAN ☐ Aadhaar ☐ Saving Bank account no ☐ Proof of Identity ☐ Demat Account ID	

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. (see table in 'Transmission aspects').
*** Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required.
**** to be furnished only in following conditions / circumstances:
-Date of Birth (DoB): please provide, only if the nominee is minor.
-Guardian: It is optional for you to provide, if the nominee is minor.

1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the AMC / DP as follows; (please tick, as appropriate)
Name of nominee(s) ☐ Nomination: Yes / No ☐

2) I hereby authorize_____ (nominee number) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ____ % of assets in the account / folio or Rs._____ (Optional) (strike off portions that are not relevant)

3) This nomination shall supersede any prior nomination made by me / us, if any.

	First/Sole Holder	Second Holder	Third Holder
Name(s) of holder(s)			
*Signature	F	S	T

***Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet Signature.**

DECLARATION FORM FOR OPTING OUT OF NOMINATION- ANNEXURE-B

To							Date	
Trading Member/Participant's Name								
Trading Member/Participant's Address								
UCC/DP ID								
Client ID (only for Demat account)								
Trading Code								

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

	First/Sole Holder	Second Holder	Third Holder
Name(s) of holder(s)			
*Signature	F	S	T

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

MODE OF OPERATION FORM

Request to update Mode of Operations for Demat Account

Date: / / 20_____

To,
Ambit Capital Private Limited
Ambit House, 449, Senapati Bapat Marg,
Lower Parel, Mumbai,
Maharashtra - 400013

We would like to update mode of operation in the Demat account number _____ held with Ambit capital Private Limited, as below:

☐ Jointly ☐ Anyone of the holder or survivor(s)

Consent for Communication to be received by first account holder / all Account holder: (Tick the applicable box). If not marked the default option would be First Holder

☐ First Holder ☐ All Holder ☐ Email ID
☐ Second Holder
☐ Third Holder

We understand that If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.

Signature of First Holder	Signature of Second Holder	Signature of Third Holder
F	S	T

FATCA-CRS KYC Information & Declaration-Individuals & HUF

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA/CRS Guidance)

PAN*_____

Name_____

Place of Birth_____

Country of Birth _____

Gross Annual Income Details in INR	Below 1 Lakh ☐	5 - 10 Lakhs ☐	25 Lakhs - 1 Crore ☐	Net Worth in INR. in Lakhs _____
	1 -5 Lakhs ☐	10-25 Lakhs ☐	> 1 Crore ☐	Net Worth as on DD/MM/YYYY

Occupation Details	Business ☐	Professional ☐	Public Sector ☐	Housewife ☐	Retired ☐
	Private Sector ☐	Government Service ☐	Agriculturist ☐	Student ☐	Forex Dealer ☐
	Others [Please specify _____				

Politically Exposed Person [PEP]	Yes ☐	Related to PEP ☐	Not Applicable ☐

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

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country	Tax Identification Number	Identification Type (TIN or Other, please specify)

To also include USA, where the individual is a citizen / green card holder of The USA.
% In case Tax Identification Number is not available, kindly provide its functional equivalent.

Certification

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

I/We understand that the information is required under Rules 114F to 114H of The Central Board of Direct Taxes as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation. In relevant cases, information will have to be reported to tax authorities/ appointed agencies.

Should there be any change in any information provided to you, I/We would inform you promptly, i.e., within 30 days.

Signature (F)

Place :

Date :

FATCA-CRS KYC Information & Declaration-Individuals & HUF

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA/CRS Guidance)

PAN*_____

Name_____

Place of Birth_____

Country of Birth _____

Gross Annual Income Details in INR	Below 1 Lakh ☐	5 - 10 Lakhs ☐	25 Lakhs - 1 Crore ☐	Net Worth in INR. in Lakhs _____
	1 -5 Lakhs ☐	10-25 Lakhs ☐	> 1 Crore ☐	Net Worth as on DD/MM/YYYY

Occupation Details	Business ☐	Professional ☐	Public Sector ☐	Housewife ☐	Retired ☐
	Private Sector ☐	Government Service ☐	Agriculturist ☐	Student ☐	Forex Dealer ☐
	Others [Please specify _____				

Politically Exposed Person [PEP]	Yes ☐	Related to PEP ☐	Not Applicable ☐

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

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country	Tax Identification Number	Identification Type (TIN or Other, please specify)

To also include USA, where the individual is a citizen / green card holder of The USA.
% In case Tax Identification Number is not available, kindly provide its functional equivalent.

Certification

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

I/We understand that the information is required under Rules 114F to 114H of The Central Board of Direct Taxes as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation. In relevant cases, information will have to be reported to tax authorities/ appointed agencies.

Should there be any change in any information provided to you, I/We would inform you promptly, i.e., within 30 days.

Signature (S)

Place :

Date :

FATCA-CRS KYC Information & Declaration-Individuals & HUF

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA/CRS Guidance)

PAN*_____

Name_____

Place of Birth_____

Country of Birth _____

Gross Annual Income Details in INR	Below 1 Lakh ☐	5 - 10 Lakhs ☐	25 Lakhs - 1 Crore ☐	Net Worth in INR. in Lakhs _____
	1 -5 Lakhs ☐	10-25 Lakhs ☐	> 1 Crore ☐	Net Worth as on DD/MM/YYYY

Occupation Details	Business ☐	Professional ☐	Public Sector ☐	Housewife ☐	Retired ☐
	Private Sector ☐	Government Service ☐	Agriculturist ☐	Student ☐	Forex Dealer ☐
	Others [Please specify _____				

Politically Exposed Person [PEP]	Yes ☐	Related to PEP ☐	Not Applicable ☐

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

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country	Tax Identification Number	Identification Type (TIN or Other, please specify)

To also include USA, where the individual is a citizen / green card holder of The USA.
% In case Tax Identification Number is not available, kindly provide its functional equivalent.

Certification

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

I/We understand that the information is required under Rules 114F to 114H of The Central Board of Direct Taxes as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation. In relevant cases, information will have to be reported to tax authorities/ appointed agencies.

Should there be any change in any information provided to you, I/We would inform you promptly, i.e., within 30 days.

Signature 

Place :

Date :

KYC INFORMATION & FATCA-CRS DECLARATION - NON INDIVIDUAL

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

PAN* _____ **Name** _____

City of incorporation _____

Country of incorporation _____

Net Worth in INR. In Lakhs _____ Net Worth as on D D/M M/Y Y Y Y

Is the entity involved in/ providing any of these services:	Foreign Exchange/ Money Changer Services YES ☐ NO ☐	Gaming/Gambling/ Lottery Services [e.g. casino betting syndicates] YES ☐ NO ☐	Money Laundering/ Pawning YES ☐ NO ☐

Any other information [if applicable] _____

Entity Constitution Type (Please tick as appropriate)	a) Partnership Firm ☐	b) Private Limited Company ☐	c) Public Limited Company ☐
	d) Society ☐	e) AOP/BOI ☐	f) Trust / Liquidator ☐
	g) Limited Liability Partnership ☐	h) Artificial Juridical Person ☐	i) Others specify_____

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India YES ☐ NO ☐

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.]

Country	Tax Identification Number	Identification Type (TIN or Other, please specify)

% In case Tax Identification Number is not available, kindly provide its functional equivalent or Company Identification Number or Global Entity Identification Number.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here_____

FATCA·CRS Declaration

(Please consult your professional tax advisor for further guidance on FATCA classification)

PART A (to be filled by Financial Institutions or Direct Reeorting NFFEs)

1.	We are a, Financial institution[6] ☐ or Direct reporting NFFE[7] ☐ (please tick as appropriate)	GIIN_____ **Note:** If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below. Name of sponsoring entity_____
	GIIN not available (please tick as applicable) ☐ Not required to apply for - please specify 2 digits sub-category[10] ☐☐ ☐ Not obtained - Non-participating FI	

PART B (please fill any one as appropriate to be filled by NFEs other than Direct Reporting NFEs)

1.	Is the Entity a publicly traded company 1 that is, a company whose shares are regularly traded on an established securities market)	Yes ☐ No ☐ (If yes, please specify anyone stock exchange on which the stock is regularly traded) Name of stock exchange_____
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes ☐ No ☐ (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company_____ Nature of relation: ☐ Subsidiary of the Listed Company or ☐ Controlled by a Listed Company Name of stock exchange_____

3.	Is the Entity an active[3] NFE	Yes ☐ No ☐ (If yes, please fill UBO declaration in the next section) Nature of Business_____ Please specify the sub-category of Active NFE (Mention code - refer 2c of Part D)
4.	Is the Entity a passive[4] NFE	Yes ☐ No ☐ (If yes, please fill UBO declaration in the next section) Nature of Business_____

[1]Refer 2a of Part D | [2]Refer 2b of Part D | [3]Refer 2c of Part D | [6]Refer 1 of Part D | [7]Refer 3 [vii] of Part D | [10]Refer 1 A of Part D

UBO Declaration

Category (Please tick applicable category): ☐ Unlisted Company ☐ Partnership Firm ☐ Limited Liability Partnership Company ☐ Unincorporated association/body of individuals ☐ Public Charitable Trust ☐ Religious Trust ☐ Private Trust ☐ Listed Company (Need not provide UBO details sought under) ☐ Others (please specify_____)

Please list below the details of controlling person[s], confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person[s],
Owner-documented FFI's[5] should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner/ Controlling person #Country - Tax Residency* #Tax ID No.- or functional equivalent for each country%	#Tax ID Type - TIN or Other, please specify Beneficial Interest - in percentage #Type Code 11- of Controlling person	Address -Include State, Country, PIN / ZIP Code & Contact Details
1.Name_____	Tax ID Type_____	Address_____
Country_____	Beneficial Interest_____	_____
Tax ID No._____	Type Code_____	ZIP_____State:_____Country:_____
2.Name_____	Tax ID Type_____	Address_____
Country_____	Beneficial Interest_____	_____
Tax ID No._____	Type Code_____	ZIP_____State:_____Country:_____
3.Name_____	Tax ID Type_____	Address_____
Country_____	Beneficial Interest_____	_____
Tax ID No._____	Type Code_____	ZIP_____State:_____Country:_____

If passive NFE, please provide below additional details. (Please attach additional sheets if necessary)

PAN City of Birth Country of Birth	Occupation Type - Service, Business, Others Nationality Father's Name - Mandatory if PAN is not available	DOB - Date of Birth Gender - Male, Female, Other
1. PAN_____	Occupation Type_____	DOB : D D / M M / Y Y Y Y
City of Birth_____	Nationality_____	Gender: ☐ Male ☐ Female
Country of Birth_____	Father's Name_____	☐ Others
2. PAN_____	Occupation Type_____	DOB : D D / M M / Y Y Y Y
City of Birth_____	Nationality_____	Gender: ☐ Male ☐ Female
Country of Birth_____	Father's Name_____	☐ Others
3. PAN_____	Occupation Type_____	DOB : D D / M M / Y Y Y Y
City of Birth_____	Nationality_____	Gender: ☐ Male ☐ Female
Country of Birth_____	Father's Name_____	☐ Others

Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India:
* To include US, where controlling person is a US citizen or green card holder
% In case Tax Identification Number is not available, kindly provide functional equivalent

[4]Refer 3(iii) of Part D | [5]Refer 3(vi) of Part D | [11]Refer 3(iv) (A) of Part D

FATCA Terms and Conditions

Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and payout any sums from your account or close or suspend your account(s).

If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010. Please note that you may receive more than one request for information if you have multiple relationships with ABC. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

Certification

I/We have understood the information requirements of this Form (read along with the Instructions & Definitions) and hereby confirm that the information provided by us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA Terms and Conditions above and hereby accept the same.

Name _____

Designation _____

Signature

Place _____

Date D D / M M / Y Y Y Y

DECLARATION-ONLY NRIs

In continuation to the terms and conditions for opening of trading account and accepting rights and obligations I/we "hereby' declare" and undertake that:

1. I/We are making investment in securities/shares through member broker;
2. I/We have one Bank Account and Demat Account for the above investments.The details of the same are provided in Trading account related details.

I/We are aware of the rules and regulations of the NRI investments in India, Anti-money laundering rules and regulations and keep ourselves updated from time to time. I/We hereby declare that I/We have complied with and will continue to comply with FEMA regulation or other applicable laws, regulations of RBI, SEBI or any other statutory Authority from time to time.

Income tax or other tax liability is our responsibility and the same will be borne by and paid by me.

I hereby acknowledge that I have received and understood this authorization to maintain the account.

I/We _____ have requested to open the Demat a/c with you. I/We have given following address in the a/c opening document which is on the basis of my P.O. Box no. my/our complete address as on date is as follows:

Foreign Address			
City		State	
Country		PIN code	
Telephone No.		Fax No.	
E-mail ID			

In case any changes in my/us above mentioned address I/we will intimate the same .

F

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the Stock 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.
4. I/We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me/us in this form. I/We further agree that any false / misleading information given by me/us or suppression of any material information will render my / our account liable for termination and suitable action.

Signature of First Holder	Signature of Second Holder	Signature of Third Holder
F	S	T

TARIFF SHEET (FOR ALL EXCHANGE & SEGMENT)

Brokerage

	1st Leg		2nd Leg (Same Day)	
	%Age	Min.	%Age	Min.
Trading				
Delivery				
Derivatives				
Futures				
Options				
Option Flat				
CDS Derivatives				
CDS Futures				
CDS Options				
CDS Option Flat				
MFSS				

Note:

The member shall charge in addition to the Brokerage mentioned herein above, other charges like Stamp Duty, Securities Transaction Tax, Goods & Service Tax, Turnover Charges, Clearing Charges etc. as may be applicable and as prescribed by SEBI/Exchange from time to time. Auction charges @ 1% of auction value will be charged.

F

Date :

Place :

Charges for Depository service through CDSL

Charges Head	Transaction Type	Charges
Account Charges	Account Maintenance Charges (Accounting Year)	Rs. 500/- for accounts other than Corporate.
		Rs.1000/- for Corporate accounts.
Transaction Charges	On Market	Purchase/Sale through ACPL-Nil
		Sale transactions done through other Brokers: charges @0.03% of value (Minimum Rs 20/-)
	Off market (within ACPL DP)	Sale transactions - only CDSL charges on actual
	Off -Market/Inter - Depository	Sale transactions- charges @0.03% of value (Minimum Rs 20/-)
Pledge	Pledge Creation / Margin Pledge/ Margin Re-pledge	Rs. 25/- per ISIN within ACPL/ Rs. 5/-per ISIN for Margin Pledge / Margin Re-pledge
	Pledge Closure/Margin Pledge Closure/ Margin Re-pledge Closure	Rs. 25/- per ISIN within ACPL
	Pledge Invocation/Margin Pledge Invocation/Margin Re-Pledge Invocation	Rs. 25/- per ISIN within ACPL / Rs. 5/- per ISIN Margin Pledge Invocation
	Pledge Creation/Pledge Closure/ Pledge Invocation	0.02% of value, minimum Rs. 25/- per ISIN (outside ACPL)
	Creation / Release auto pledge in favor of SMTF Funded Account.	CUSPA Pledge creation/ release Rs. 5/- per ISIN
Other Charges	Dematerialization	Rs. 5/- per certificate + Rs. 30/- towards courier charges
	NDU charges	0.01% of value (Minimum Rs. 25/- per ISIN)

Other Terms

- Stamp Duty Charges on Agreement & POA will be charged on actual in the first bill.
- Notary Charges on POA Rs.100/- will be charged in the bill.
- Rematerialization Charges @Rs.10/- per certificate plus Rs.30/- towards courier charges.
- Any service not quoted above will be charged separately.
- GST will be charged as applicable.
- All payments to be made in the name of “Ambit Broking Services Pvt. Ltd.” via a cheque/DO.

DP ID	1	2	0	4	7	5	0	0	Client ID	0	0	0					

Signature of First Holder	Signature of Second Holder	Signature of Third Holder
F	S	T

VOLUNTARY
TERMS AND CONDITIONS

The following clauses are not part of model formats of Uniform Set of Documents prescribed by SEBI vide its circular number CIR/MIRSD/16/2011 dated August 22, 2011 and any SEBI circulars, guidelines, or directions issued from time to time.. These clauses have been added in order to ensure smooth functioning of trading and to enhance the transparency of Member-Client relation. The Client is further informed that these clauses are voluntary and at the discretion of Member and Client. The Client and the Member, in addition to Mandatory clauses, also voluntarily agree to the Terms and Conditions stated herein below. The Client is further informed that he/she/it may strike out any of these clauses, if he/sheit does not wish to accept the same.

Types of services offered: The Stock Broker agrees to provide, and the Client agrees to avail of, the following services:

a. Trading facilities for Cash Segment/Derivatives Segment/Currency Derivatives Segment

1. GENERAL TERMS AND CONDITIONS GOVERNING THE SERVICE

(a) COMPLIANCE WITH LAWS

i. All transactions that are carried out by and on behalf of the Client shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye-laws of the Exchange that may be in force from time to time, and their Clearing Houses, if any, on which such transactions are executed and / or cleared by the Member that may be in force from time to time, the Reserve Bank of India and the NSDL and CDSL, the Securities Contracts Regulation Act and the rules made thereunder, and any other applicable statutory provisions and Rules or Regulations. The Member is under no obligation to inform the Client of changes in these rules, regulations or guidelines.

ii. The Client hereby confirms that the Stock Broker has disclosed that it undertakes Proprietary trading primarily as Investments in to Client Based Trading

iii The Client has read and understood Risk Disclosure Document issued by BSE and NSE.

The Client further confirms that they are aware of the Rules and Regulations on Prevention of Money Laundering Act (PM LA), 2002 and that the Client has not violated any of the Rules and Regulations of the said act and hereby indemnify the Stock Broker from any liability arising from my/our transactions executed with the Stock Broker.

iv. The Client hereby confirms that he / she himself/ herself or none of its Directors/Partners/Trustees/Promoter/Karta/Whole - Time Directors and/or, Shareholders holding majority stake are/ were debarred from dealing in securities market by any statutory authority including SEBI / NSE / BSE. The Client also confirms that he is not the member of the any Stock Exchanges including NSE/ BSE nor he is Authorised Person or remiser to any other member of the Exchange.

v. Unless otherwise agreed in writing by the Member, Client agrees and confirms that the Member and the Client shall in no circumstances be considered as persons acting in concert or as persons co-operating with each other (directly or indirectly) or as persons having a common objective or purpose of substantial acquisition of shares or voting rights or gaining control over any company, whose shares are purchased by the Member for and on behalf of and on account of the Client.

vi. The Client understands, agrees and confirms to provide copies of Annual Accounts, Returns or any other document that may be asked for by the Member to comply with Prevention of Money Laundering Act, 2002, as amended. If the Client fails to provide the documents, as may be required by the Member, the Member reserves the right to terminate the relationship forthwith.

(b) ACTING AS AAUTHORISED PERSON

The Client agrees not to act as a Authorised Person without prior written permission of the Member and without obtaining certificate of registration from SEBI.

(c) DISCLAIMER

The Client agrees that all investments and disinvestment decisions are based on the Client's own evaluation of financial circumstances and investment objectives. This extends to any decision made by the Client on the basis of any information that may be made available by the Member through its website or through any other media. The Client will neither hold, nor seek to hold the Member as the case may be, or any of its Officers, Directors, Employees, Agents, Subsidiaries, Affiliates or Business Associates liable for any trading losses, costs or damage incurred by the Client consequent upon relying on investment Information, research opinion or advice or any other material/information provided by the Member as the case may be. The Client is aware that any information provided by the Member through any medium based on the research of the Member or other external sources is subject to variations in the stock-market and is merely an estimation of the availability of certain investments. The-Clientshould seek independent professional advice regarding the suitability of any investment decision before acting on such reports and Member shall not be liable under any circumstances for any losses, costs, charges, expenses incurred/suffered by the Client based on such reports.

The client confirms, agrees, and hereby expressly authorizes Ambit Broking Services Private Limited (Stock Broker) to collect, store, process and share his/her personal, financial, transactional, and demographic information, as furnished in this account opening form or generated during the course of his/her relationship with Ambit Capital Private Limited (Depository Participant). Such information shall be utilized exclusively for the purpose of facilitating transactions and for ensuring operational efficiency and enhancing the

overall quality of services rendered.

The client further acknowledges and agrees that Ambit Broking Services Private Limited shall maintain the confidentiality of such information and implement appropriate safeguards to protect the data in strict compliance with applicable laws and regulations.

(d) AUTHORISED PERSON

The Client confirms and agrees to inform to the Member in writing any change in the name of authorised representative, subject to applicable guidelines of SEBI/Exchange if any, failing which the Client shall be responsible for the trade obligations arising out of the actions of both the old representative as well as the new representative.

2. RISK DISCLOSURE

The Client confirms, declares and agrees that:-

(a) Client shall deposit with the Member such monies, securities "Fixed deposit, Bank Guarantee or any other securities as may be permitted by Exchanges", which may be required to open and/or maintain his account with the Member.

(b) All monies, securities "Fixed Deposit, Bank Guarantee or any other securities as may be permitted by Exchanges", which the Member may hold on Client's account shall be held subject to a general lien for the discharge of Client's obligations to the Member.

(c) The Client shall not exercise a long or short position where, acting alone or in concert with others, directly or indirectly the Client will have exercised in excess of the number of permitted derivatives contracts as may be fixed from time to time by the Exchange.

3. MARGINS

3.1 The Client shall make the prescribed initial margin in the form of cash and/or in the form of securities (the "Margin") with the Member simultaneously with the opening of the Account and prior to commencement of trading. The Client shall be permitted to trade upto a predetermined number of times of the MARGIN (the "Multiple") and the quantum of the Multiple on the Margin shall be decided at sole option or discretion of the Member who shall have the irrevocable right to set off a part or whole of the Margin i.e. by way of appropriation of the relevant amount of cash or by Sale or Transfer of all or some of the Securities which form part of the margin, against any lawful dues of the Client in the event of the failure of the Client to meet any of their respective obligations under these Terms.

3.2 Any reference in these terms to Sale or Transfer of Securities by the Member shall be deemed to include Sale of Securities which form part of the Margin maintained by the Client with the Member. In exercise of the Member's Right to Sell Securities, the Client agrees that the choice of specific securities to be sold shall be solely at the Member's discretion.

3.3 The Client confirms that the Member is permitted in its sole and absolute discretion to collect additional margins (even though not imposed by the Exchange, the Clearing House or SEBI) and the Client shall be obliged to pay such margins.

(a) Margin on Purchase:

Client confirms and agrees to deposit interest- free margin as may be intimated by the Member from time to time on the price of the securities proposed to be purchased.

(b) Margins on Sales:

The Client confirms and agrees to deposit interest free margin as may be intimated by the Member from time to time on the price of securities proposed to be sold.

(c) Margins in Derivative Contracts

In the Derivative Segmen/Currency Derivatives Segment, the Client agrees to pay an initial margin upfront on or before creating a position. Such margin shall be decided upon by the Member or the Exchange from time to time. Further more, the Client is liable to pay (or receive) daily margins depending on whether the price of the Derivatives Contract moves for or against the position undertaken. The Client may also be liable to pay withholding margins, special margins or such other margins as are considered necessary by the Member or the Exchange(s) from time to time.

(d) Mark to Market Margin in Derivative Contracts / Currency Derivative Contracts

For Derivative Contracts, the Client agrees that the Member shall raise bills on daily basis. The Client also agrees to pay an upfront margin at the beginning of the day that will be sufficient to cover the daily margins if at any time during the day, the cumulative Mark to Market (MTM) margin falls short of the margin available in the Client's account, the Client agrees to heed the Member's additional margin calls. As the upfront daily market margin calls are purely for operational convenience, the Client will ensure that the margins are adequate at all times and will immediately make good any shortfall that the Member may communicate.

(e) Payment through Cheque/Demand Draft:

Client understands that in case where the payment by the Client towards the margin is made through a cheque issued in favour of the Member, trade(s) will be executed by the Member only upon the realisation of the funds of the said cheque or at the discretion of the Member. The Client agrees to mention his/her/its Client code along with his name on the reverse of any instrument through which he

makes the payment to the Member. Client further understands and agrees that the Client shall prepare Demand Draft/Pay Order out of his own funds and agrees to provide Banker Certificate and/or source of the funds in case of any request made by the Member. However, the acceptance of pay order/demand draft will be on exceptional circumstances and at the sole discretion of member based on the satisfactory explanation received from the Client regarding the source of funds.

(f) Margin in the form of Securities:

The Client may place margin with the Member in form of securities as approved by the Member. Such securities may at the discretion of the Member be marked as lien in favour of the Member from the Depository Account of the Client or such securities may be placed in a separate Depository Account of the Member. Client confirms that the Member may, at its own discretion, treat the securities lying in the Depository Account of the Client, as margin, where the Client has executed a Power of Attorney in favour of the Member, for operating the said Depository Account.

The Client may place / deposit only those securities, which are acceptable to the Member. If at any time, a particular security ceases to be on the list of approved securities, the Client shall provide such other margins as may be required in place of such security.

The Client agrees and authorises that the Member will determine the market value of securities placed as Margin after applying a haircut at least at the rate prescribed by SEBI/Exchange that the Member deems appropriate. The Client's positions are valued at the latest market price available ('marked to market') on a continuous basis by the Member. The Client undertakes to monitor the adequacy of the collateral and the market value of such securities on a continuous basis. If due to price fluctuations, there is erosion in the value of the Margins, the Client agrees to replenish any shortfall in the value of the Margins immediately.

The Client understands that the Member may grant exposure to the Client at its sole discretion based on the securities purchased by the Client through the Member after paying entire purchase price and which securities are kept in the Demat Account of the Client with Power of Attorney executed by the Client in favour of the Member with a request to treat such securities as Margin.

(g) Type of Margin The Client confirms that the Member has a sole discretion to prescribe the payment of Margin in the form of cash instead of securities. The Client accepts to comply with the Member's Right of Payment of Margin in the form of cash immediately failing which the Member may sell, dispose, transfer or deal in any other manner the securities already placed with it as Margin or square off all or some of the positions of the Client as it deems fit in its discretion after intimation of shortfalls and debits and any resultant or associated losses/profit that may occur due to such square off/sale shall be borne by/ paid to the Client, and the Member is hereby fully indemnified and held harmless by the Client in this behalf.

(h) Margin with Exchanges/Clearing Corporation/Clearing Member:

The Client agrees and authorizes that any securities placed by him/her it as Margin may in turn be placed as Margin by the Member with the Exchanges or Clearing Corporation or Clearing House/Clearing Member as may be permitted by Exchange / SEBI from time to time.

Other Provisions:

i The Client confirms and agrees that Client is responsible for all equity orders, including any orders that may be executed without the required Margin in the Client's account. If the Client's order is executed despite a shortfall in the available Margin, the Client shall, whether or not the Member intimates such shortfall in Margin to the Client, instantaneously make up the shortfall either through delivery of shares from his own Demat Account in the event of a sale, or credit the required funds in the Bank Account via RTGS or Wire Transfer or Personal Cheque, Cashier's Cheque or Money Order or Account Transfer or any other mode as may be required by the Member.

ii The Client confirms that any reference in these terms to sale or transfer of securities by the Member shall be deemed to include sale of the securities, which form part of the Margin and/or such securities of the Client which are in possession or control of the Member, maintained by the Client with the Member. In exercise of the Member's right to sell securities, the Client agrees that the choice of specific securities to be sold shall be solely at the Member's discretion.

iii For the purpose the term "Dues of Client" shall include the amount of money payable by the Client including, but not limited to, the purchase price of the Securities, Brokerage, Margin Money. Service Tax, Turnover Tax, Auction Debit and Lawful Charges, Service Charge and other Lawful Amounts agreed to and payable by the Client to the Stock-Broker. Any incentive, rebate, rounding of amounts, collected from the Client on account of such taxes and charges or offered by the Exchanges may not be passed on to the Client and retained by the Stock Broker.

Amendment in Margins

Any amendment in the percentage of Margins as required to be maintained under these Terms and Conditions, shall be intimated by the Member to the Client over the telephone or in writing and by posting the details on its website of the Member as may be intimated. The Client is required to replenish the shortfall in such Margins, if any, on demand of the same by the Member or otherwise immediately.

i All margins provided by the Client shall be interest free and the Member shall not be liable to pay any interest on the same irrespective whether the same forms part of any investment by the Member in Fixed Deposits with the Bank or in any other instrument as may be approved by the Exchange or SEBI from time to time.

(i) In the event of any change in Margin percentage by the Exchange, the Member may change the applicable Margin percent immediately and shortfall in Margin on Client's open position as a result of the same shall be dealt with in the same manner as specified in shortfall in Margins specified here in above.

4. EXECUTION OF ORDERS .

(a) The Client confirms and agrees that placing an order with the Member including a Market Order, does not guarantee execution of the order. The Member has the absolute right to reject any order that may be made by the Client for any reason such as

insufficient margin, debit balance, anti-money laundering requirement / policy, risk perceptions / policy etc.

(b) The Client agrees that if, under any circumstances or for any reason, the market closes before the acceptance of the order by the Exchange, the order may be rejected. The Client agrees further, that the Member may reject orders if the same are rejected by the Exchange for any reason. In case of rejection of an order due to rejection by the Exchange, the Client agrees that the order shall remain declined and shall not be reprocessed, in any event.

(c) The Client agrees that he shall not enter into trades at unrealistic prices from the current market price or at manipulates prices or cross / synchronized trading, etc. The Client further understands and agrees that Member shall have right to reject the orders placed by the Client and/or put circuit breakers to discourage trades getting executed at unrealistic prices from the current market price of the contracts which creates artificial liquidity or manipulates prices or to discourage Client from cross/ synchronised trading and Member shall not be liable for any loss arising out of non acceptance or rejection of the Client orders by the Member for any such reason if the Client fails to give sufficient reason for placing such orders.

(d) The Client is aware that the Electronic Trading System either at the Exchange or in the Member's office is vulnerable to disruptions, breakdown or failures, in the event of non-execution of trade orders or trade cancellation due to the happening of such events or vulnerabilities due to failure / disruption / breakdown of system or link, the Client may not be able to execute the desired transactions. In such an event the Member does not accept responsibility for the losses, costs, expenses or damages that may be incurred by the Client due to such eventualities

5. CANCELLATION OR MODIFICATION OF ORDERS

The CLIENT confirms and agrees that:-

The execution of order cancellations or modifications is not guaranteed. Cancellation of orders is possible only if the original order remains pending at the Exchanges. Market orders are subject to immediate execution. The Client shall not presume that an order has been executed or cancelled or modified and the Client is required to verify the status of his/its orders with the Trade confirmations by the Member.

Unless otherwise specified by the Member, any order not executed at the end of the day shall stand cancelled.

In the event of trade cancellation due to such events or vulnerabilities, Member shall be entitled to cancel relative contract(s) with the Client. At times, due to unforeseen circumstances the Member may not be able to execute the desired transactions (either the Clients own transactions or transactions for enforcing margins as provided under this terms and conditions) on a timely basis. The Member does not accept responsibility for any losses that the Client may incur on such eventualities beyond the control of the Member.

The Member shall have Right to Reject any order based on its risk perceptions.

6. PAYOUT OF FUNDS

(a) The Client agrees that the Member shall not be obliged to pay to the Client his share of money unless and until the same has been received by the Member from the Exchange, the Clearing Corporation / Clearing House. Unless the Member otherwise determines, and subject to the Member's rights to set off and other rights as mentioned in these Terms and Conditions, the sale proceeds to be paid by the Member to the Client will be deposited in the designated account of the Client.

(b) The Client understands and undertakes that he will give the funds from only his own Bank to honour pay-in obligations.

(c) At all times, the Client agrees to make the payment of funds only in the name of the Member titled "M/s. Ambit Broking Services Pvt. Ltd." vide a Account Payee Cheque/Demand Draft drawn on a Scheduled Bank from his/her own account, with details of the Client code and the name of the Client mentioned on the reverse of the instrument. However, acceptance of Demand Draft is under exceptional circumstances and to the sole discretion of the Member as specified in clause.

(d) The Client agrees that the Member shall not be responsible for any loss, damages in respect of any funds which are deposited/transferred to any Account other than that of the Member's designated Account.

(e) In the event of Client's Account receiving an incorrect credit/debit by reason of a mistake, the Member shall be entitled to reverse such incorrect credit/debit at any time whatsoever. The Client shall be liable and continue to remain liable to the Member for any incorrect gain obtained as a result of the same and the Member reserves the right to take such remedial measures against the Client for recovery of the erroneous credit.

7. MEMBER CLIENT COMMUNICATION

Change of Address and Email ID:

Unless the Client informs the Member of the change of the address and E-mail id for communication in writing, all notices, circulars, communication or mail sent to the existing address shall be deemed to have been received by the Client.

8. MISCELLANEOUS PROVISIONS:

(a) LIMITATION OF LIABILITY:

The Member does not guarantee, and shall not be deemed to have guaranteed, the time liness, sequence, accuracy, completeness, reliability or content of market information, or messages disseminated to the Client or the execution of the orders placed by the

Client.

The Member shall not be liable for any inaccuracy, error or delay in, or omissions of insufficient margin, debit balance, anti-money laundering requirement /policy, risk perceptions/policy etc.

(b) The Client agrees that if, under any circumstances or for any reason, the market closes before the acceptance of the order by the Exchange, the order may be rejected. The Client agrees further, that the Member may reject orders if the same are rejected by the Exchange for any reason. In case of rejection of an order due to rejection by the Exchange, the Client agrees that the order shall

1) Any such data, information or messages, or

2) The transmission or delivery of any such data, information or messages, due either to any act or omission by the Member or to any "Force Majeure" event (e.g. flood, extraordinary weather condition, earthquake or other any act of God, fire, war, insurrection, riot, labour dispute, accident, action of government communication, power failure, shut down of the systems for any reason (including on account of computer viruses), equipment or software malfunction);

3) Cancellation or non execution of the order placed by the Client with the Member.

The Member shall not be liable for any inaccuracy, error, false statement, misrepresentation or fraud committed by third parties engaged by the Member to promote the services offered by it. The Client agrees that in case of any error or inaccuracy found or in case of any doubt about representation made by any sales or other associates or such-third parties then Client will communicate with MEMBER's Head Office and confirm the same. The Client agrees that he/she it will exercise due care and diligence in relying on any statements made by any person.

(b) SHARING OF INFORMATION:

The Client agrees and confirms that the member, without diluting any confidentiality obligation and sharing and information from Brokers' system, may make available Account related details to Lawyers, Consultants, Auditors, Vendors, IT software applications requirement etc.

The member hereby confirms that it will not share any Client information unless required by authority under law.

(c) TAPE-RECORDING OF CONVERSATION

The Client is aware that the Member can taperecord the conversations between the Client's representative and the Member, either personally or over the telephone, and hereby specifically permits the Member to do so. Such recordings may be relied upon by the Member as and when required to resolve disputes in connection with the trading transactions.

(d) CONCLUSIVENESS OF RECORDS

The Member's own record softhe trades/transactions maintained through computer systems or otherwise shall be accepted by the Client for all purposes.

(e) ASSIGNMENT:

The Client confirms and agrees that Client shall not assign or transfer all or any of its Rights or Obligations.

(f) SEVERABILITY:

The Client confirms and agrees that in case anyone or more of the Terms and Conditions confirmed by the Client becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions contained herein shall not in anyway be affected or impaired thereto.

9. MUTUAL FUND SERVICE SYSTEM FACILITY / BSE STAR MF:

Client is registered with Ambit Broking Services Pvt. Ltd. and has executed Know Your Form and certain other documents for the purpose of trading in securities market on the recognized Stock Exchange (herein after referred as "Exchange"). In case client opts for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the SEBI recognized Stock Exchanges (Mutual Fund Transaction Facilities). Know Your Client details as submitted by the client for the stock broking shall be considered for the purpose of Mutual fund transaction facilities and abide by the terms and conditions as mentioned in the circulars as may be specified by the Exchanges from time to time in this regard. Client shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). Client shall read & understand the contents of the Scheme Information Document and Key Information Memorandum, addendum issued regarding each Mutual Fund Schemes with respect to which client choose to subscribe / redeem. Client further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. Client confirm to have read & understood the terms & conditions for using Mutual Fund transaction facility as stated in KYC handout (customer copy). Client is aware that he/she can transact directly with the AMC without recourse to Distributor's name at any time under the folio(s) tagged with the Distributor's name/ broker code. The Client agrees and authorizes Ambit as distributor of mutual funds to communicate on his/her behalf with the AMCs for financial and/or non-financial transactions including for receiving investment details from the AMC.

10. ADDRESS FOR COMPLAINT/INVESTOR GRIEVANCES AND COMMUNICATION:

The Client understands and confirms to send all the Complaints and queries in case of any grievance or complaint arising out of and in the course of trading in securities on the email address at investorgrievance.abspl@ambit.co. Alternatively, the Client shall send the written complaint marked to Investor Grievance Cell, Ambit Broking Services Pvt. Ltd. , Ambit house, 449, Senapti Bapat Marg, Lower Parel, Mumbai 400013, Maharashtra.

11. DISPUTE RESOLUTION

The Client agrees and confirms that except for the claims/disputes which are subject to the Rules and Regulations of the respective Exchanges on which the trades have been executed, any and all claims and disputes arising out of or in connection with the trading account or its performance shall be settled by arbitration by a single arbitrator to be appointed by the Member. The arbitration shall begoverned by the provisions of the Arbitration and Conciliation Act, 1996.

12. JURISDICTION

(a) The Member and the Client declare and agree that the transactions executed on the Exchange are subject to the Rules, Bye-laws and Regulations and Circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Bye-laws and regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the Circulars issued thereunder.

(b) The Member hereby agrees that it shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between the Member and the Client and that it shall be liable to implement the arbitration awards made in such proceedings.

13. PROPRIETARY TRADING:

The Client confirms and acknowledge that the Member undertakes Proprietary Trading in addition to Client-based trading. The Client confirms having read and understood the terms and conditions and those relating to various services and products and accepts and agrees to be bound by the terms and conditions including those excluding / limiting the Member's and Exchanges' liabilities.

14. TERMINATION OF VOLUNTARY TERMS:

The Client may terminate this confirmation/document at any time by giving a prior notice of 30 days to Member. Provided however that all the obligations of the Client prior to the Termination of Voluntary Terms shall continue to subsist.

15. SUPPLEMENTAL TO MANDATORY RIGHTS AND OBLIGATIONS:

These terms and conditions are supplemental to, and does not supersede, the Right and Obligations.

DISCLAIMER

I/We,_____, (herein after referred to as "Client") voluntarily and unconditionally hereby state and declare that I/We have read and understood the voluntary Terms and Conditions mentioned herein above governing the services of Ambit Broking Services Pvt. Ltd. (hereinafter referred to as "Member" or "Stock- Broker") and agree to be bound by the same.

F

Date :

Place :

VOLUNTARY
RUNNING ACCOUNT AUTHORISATION LETTER

To,
Ambit Broking Services Pvt. Ltd.
Ambit House, 449, Senapati Bapat Marg,
Lower Parel, Mumbai - 400 013

Subject: Collection of Payments and Delivery of Securities/Funds Voluntary Authorization for Running Account maintenance.

Ref.: Client Code No._____

Dear Sir/Madam,

This is in reference to your instructions on the above matter
I/We am/are one of the Clients registered with you for executing my/our Trades from time to time in the capital market segment, F&O segment and Currency Derivatives of NSE and BSE.

I/We would like to state that I/We have regular business operations with you and I/We have at times credit balances with you and I/We appreciate that you are ensuring to repay me/us as per the normal terms and the regulations of The Stock Exchange. However, I/We, am/are also required to make payments to you as per my/our further transactions for purchase of shares or margin requirements. Therefore to suit my/our convenience in business transactions, operations, you may treat my/our Credit Balance as funds provided to you on account and you are hereby authorized to utilize the said funds for the said purpose or keep in trust for me/us with you. Under this arrangement at my/our specific request, I/We shall not claim any interest on the Funds and Securities kept in Running Account with you. I/We also request to hold the securities on my/our behalf as I/We am/are not in position to collect it from you and again give deliveries at appropriate time.

These instructions on my/our behalf may be treated as standing instructions unless otherwise cancelled/revoked by me/us at any time. The revocation of this authorization is effective once a written revocation request is received by you at your Registered Office. I/We agree and authorize you to settle the Funds and Securities atleast once in a calendar quarter / month as specified by me/us below. However, in case of outstanding obligations in the Capital Market Segment/F&O segment/Currency Derivative Segment on the settlement date, you shall retain requisite Securities / Funds towards such outstanding obligations and may also retain the funds expected to be required to meet margin obligations for next five trading days or as notified by regulatory authority from time to time.

Quarterly ☐ Monthly ☐

I/We agree to bring any dispute arising from the Statement of Account or settlement so made to your notice preferably within 7 days from the date of receipt of Funds / Securities or Statement as the case may be.

Consequent upon the execution of my/our trades, I/We have to either pay / receive Funds and/or Securities depending upon the trades executed. In the event, I/We have to receive Funds/ Securities from you upon receipt of payout from the Exchanges, I/We hereby authorize you to retain the payout received from the Exchanges, in the form of funds and/ or securities, towards margin/tranfer to Exchange, Bank, Stock Broker or any other PCM towards Capital Market Segment Margin / F&O Margin / and/or pay-in obligation that may arise for my/our ongoing transactions with you from time to time for any segments in any of the Exchanges.

The above authorization is not with standing the fact that you are required to make the payment of Funds and/or Transfer Securities to my/our Account within one working day from the declaration of payout from the Clearing Corporation.

You are requested to follow the above mentioned standing instructions until further written notice.

Thanking you

Name_____

Date_____

F

Policy on Handling of Good Till Cancelled / Triggered Orders offered by Members to Clients

1. Introduction

This policy outlines the procedures for Handling of Good Till Cancelled / Triggered Orders offered by Members to Client of Ambit Broking Services Private Limited (hereinafter referred to as ABSPL) in accordance with Exchange Circular's INSP/62528 dated June 21, 2024 and BSE 20240622-2 dated June 22, 2024.

2. Scope

The Exchanges have stated that the policy shall include –

- Details of Good Till Cancelled/Good Till Triggered orders of similar type provided by member including its validity.
- Manner of handling of such orders in case of corporate actions (e.g. cancellation, price reset, retaining, etc. for the unexecuted orders).
- Provide timeline within which the member shall intimate their clients about details of upcoming corporate actions applicable for such unexecuted orders of clients, which shall not be later than one day prior to the ex-date of the corporate action

3. What is Good Till Triggered (GTT)

GTT is a type of trading order commonly used by stock traders. It allows investors to buy or sell securities at a given or predetermined price. Other orders usually last for a trading day. However, GTT lasts till the order is executed or cancelled by the investor. These orders usually expire within 365 days. It means investor order can be executed anytime within 365 days when the predetermined price is hit. Investors don't have to monitor the market conditions at all times with this facility. Investor can place a GTT order and indulge in other activities without monitoring the market.

4. Details of Good Till Triggered orders –

- ABSPL enables its clients to place “Good Till Trigger” (GTT) orders in the trading system.
- All existing and new clients of ABSPL who are eligible to trade in Equity Cash & Derivatives can avail GTT facility for order placement.
- Client shall ensure that necessary funds/margins are available to place GTT orders in their account for the unexecuted quantity of the order.
- Orders with GTT can be placed both during the market hours as well as post market hours.
- All GTT orders can be cancelled or modified by client anytime.
- Stop loss orders can also be placed with GTT.
- Validity of GTT orders are 365 days.

5. Benefits of Good Till Triggered orders –

Increased Flexibility: GTT orders offer flexibility to investors. They can decide their entry and exit points in advance for any trade.

Saves from Rigorous Monitoring: Investors don't have to monitor the market movements at all times. They can place a Good Till Triggered order and wait for the right time when their order executes.

Better Position Management: Investors can manage their trade positions effectively with GTT orders.

Fewer Impulsive Decisions: Good Till Triggered orders allow investor to decide the right price for selling and buying securities. Investor can take their time and decide on the right entry and exit points. It helps investors avoid trading decisions based on emotions.

No Missed Opportunities: Since GTT orders are placed in advance, there will not be any missed opportunities. When the desired price is achieved, Investor Good Till Triggered order is executed immediately.

6. Handling of GTT orders in case of corporate actions:

All upcoming corporate actions including dividend, bonus, split, . shall be intimated to clients having unexecuted GTT orders at least one day prior to the ex-date of the corporate action. Trading system will trigger email and message on clients registered email and mobile number and unexecuted GTT Orders will be cancelled by the trading system.

Email and message will be triggered in case of
- Corporate action
- Change of scrip groups
- Expiry of order validity of 365 days.

7. Review

This policy is part of ABSPL’s Risk Management Policy and shall be reviewed annually or earlier if necessary to ensure compliance with regulatory changes.

Acknowledgement of receipt of Policy on Handling of Good Till Cancelled /Triggered Orders

Dear Sir/Madam,

We hereby acknowledge the receipt of the Policy on Handling of Good Till Cancelled /Triggered Orders.

	First/Sole Holder	Second Holder	Third Holder
Name(s) of holder(s)			
*Signature	F	S	T

Date:

Place:

DEMAT DEBIT & PLEDGE INSTRUCTION (DDPI) / POWER OF ATTORNEY (POA)

(Limited purpose DDPI/POA in favour of Ambit Broking Services Private Limited for operational requirements as per client authorization/instuction)

This Demat Debit & Pledge Instruction (DDPI)/Power of Attorney (POA) is made by me/us in favour of Ambit Broking Services Private Limited, a company incorporated under the provisions of the Companies Act, 1956 in India and having its registered office at Ambit House, 449, Senapati Bapat Marg, Lower Parel, Mumbai-400013, Maharashtra. (hereinafter referred to as "Ambit").

I/We do hereby nominate, appoint and authorise Ambit in its capacity as a SEBI registered stock broker and Depository Participant, to act through any of its employees or directors, to exercise the power to operate my/our account(s) as specified in the Schedule A (as may be amended from time to time), to transfer securities to any of the Demat account(s) as specified in Schedule B and to do all or any of the following acts, deeds and things in relation to the services provided by the ABSPL for the purpose as mentioned below:

Sr. No.	Purpose	Signature of Client		
		First Holder	Second Holder	Third Holder
(i)	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	F	S	T
(ii)	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	F	S	T
(iii)	Mutual Fund transactions being executed on Stock Exchange order entry platforms	F	S	T
(iv)	Tendering shares in open offers through Stock Exchange platforms	F	S	T

I/We hereby authorize Ambit to do all such acts, deeds, matters and things for and on behalf of me/us as may in its discretion consider necessary, proper, convenient, or expedient in order to exercise its powers for the purpose mentioned hereinabove to comply with any laws, orders, rules, regulations or directions of any government or regulatory or other authorities. I/We understand that this DDPI/POA document is a Voluntary document executed at the discretion of me/us authorizing Ambit to act on my behalf for the purpose above. I/We hereby, further ratify and confirm and covenant my/our successors and/or permitted assigns to ratify and confirm and mentioned covenant, all and whatsoever has been or shall be lawfully done by Ambit, its employees and directors, agents, and any other delegates in the premises by virtue of these presents.

And I/We do hereby confirm and declare that this Demat Debit & Pledge Instruction (DDPI)/Power of Attorney (POA) document is revocable by me/us at any time, upon giving written notice.Such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out prior to receiving the request for revocation of DDPI/POA

I/We hereby agree that this DDPI/POA document shall be governed by and interpreted in accordance with the Indian Laws and shall be subject to the jurisdiction of the courts of Mumbai.

Schedule A (Detail of de mat account of the client which Ambit can operate).

Name of Client/ First Holder	
Name of Client/ Second Holder	
Name of Client/ Third Holder	

Depository Participant Name	
DPID CDSL	
Client Account No.	

Schedule B (Details of Stockbroker's Demat Account)

Depository	Name of OP/CC	Demat Account no	Remarks
CDSL	Ambit Broking Services Private Limited CSMPA	1204750000085758	Client Securities Margin Pledge Account
CDSL	Ambit Broking Services Private Limited CSMPA	1204750000084623	Client Securities Margin Pledge Account
NSDL	Ambit Broking Services Private Limited	IN30048430516627	Client Securities Margin Pledge Account
CDSL	Ambit Broking Services Private Limited - Client Securities Under Margin Funding Account-csmfa	1204750000084720	Client Securities Under Margin Funding Account
CDSL	Ambit Broking Services Private Limited - CUSPA	1204750000084741	Client Unpaid Securities Pledgee Account
NSDL	Ambit Broking Services Private Limited	IN30048430516602	Client Unpaid Securities Pledgee Account
CDSL	Ambit Broking Services Private Limited - NSE Pool A/c	1204750000084997	Pool Account
NSDL	Ambit Broking Services Private Limited	IN30048430513753	Pool Account
CDSL	Ambit Broking Services Private Limited - Bse Pool A/c	1204750000085004	Pool Account
NSDL	Ambit Broking Services Private Limited	IN30048430518803	Pool Account

Further in case the Stock Broker is required to open any new accounts for the purpose of mentioned above (Account Type) for trades on any recognized stock exchange, I/we hereby agree that this DDPI shall be applicable to all such accounts and would be covered by this DDPI as long as the details of such accounts are informed to me/us.

For Notary Stamp

Annexure A

Most Important Terms and Conditions (MITC)

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 interne / 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 offunds 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 ofthe 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 accountfor 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.

F

MARGIN TRADING FACILITY (MTF)

Rights & Obligation/ Terms & Conditions to avail MTF

Ambit Broking Services Private Limited (hereinafter referred to as ABSPL), member of National Stock Exchange of India Limited (NSE) and BSE Limited (BSE) is eligible to provide Margin Trading Facility (MTF) in NSE to its clients in accordance with prescribed guidelines, rules and circulars issued by SEBI / Stock Exchanges from time to time. The Rights & Obligations / Terms & Conditions for MTF prescribed hereunder form a part of account opening form, shall be read in conjunction with the rights and obligations as prescribed under, SEBI Circular No. CIR/MRD/DP/54/2017 Dated June 13, 2017 and the Rules, Regulations, Bye laws, Rights and Obligations, Guidelines, circulars issued by respective Stock Exchanges from time to time. By accepting the same, the client hereby acknowledges that he/she is aware and will abide the rights and obligations, rules, regulations and guidelines relating to Margin Trading Facility as specified by the regulators and mentioned below which is indicative and not the exhaustive list.

Part A: Rights & Obligations of Stock Brokers & Clients as Prescribed by NSE:

- **Client Rights:**

1. Client shall receive all communications in a mode mutually agreed between the broker and the client regarding confirmation of orders/trades, margin calls, decision to liquidate the position / security.
2. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by the Stock Broker to the Exchange towards securities after paying all dues.
3. Client has a right to change the securities collateral offered for Margin Trading Facility at any time so long as the securities so offered are approved for margin trading facility.
4. Client may close/terminate the Margin Trading Account at any time after paying the dues.

- **Client Obligations:**

1. Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of Margin Trading Facility in accordance with the terms and conditions of Margin Trading Facility offered by the broker, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.
2. Client shall inform the broker of its intent to shift the identified transaction under Margin Trading Facility within T+1 day (before ..am/pm), failing which the transaction will be treated under the normal trading facility
3. Client shall place the margin amounts as the Stock Broker may specify to the client from time to time.
4. On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with the Stock Broker within such time as the Stock Broker may specify.
5. By agreeing to avail Margin Trading Facility with the broker, client is deemed to have authorized the broker to retain and/or pledge the securities provided as collateral or purchased under the Margin Trading Facility till the amount due in respect of the said transaction including the dues to the broker is paid in full by the client.
6. Client shall lodge protest or disagreement with any transaction done under the margin trading facility within the timelines as may be agreed between the client and broker.

- **Stock Broker (ABSPL) Rights**

1. Stock Broker and client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.
2. Stock broker may set up its own risk management policy that will be applicable to the transactions done under the Margin Trading Facility. Stock broker may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the Margin Trading Facility.
3. The broker has a right to retain and/or pledge the securities provided as collateral or the securities bought by the client under the Margin Trading Facility.
4. The broker may liquidate the securities if the client fails to meet the margin call made by the broker as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call.

- **Stock Broker (ABSPL) Obligations**

1. Stock broker shall agree with the client the terms and condition before extending Margin Trading Facility to such client. However, for clients who already have existing trading relationship and want to avail of Margin Trading Facility, stock broker may take consent in writing in his own hand or in any irrefutable electronic method after stock broker has communicated the terms and conditions of Margin Trading Facility to such existing clients.
2. The terms and conditions of Margin Trading Facility shall be identified separately, in a distinct section if given as a part of account opening agreement.
3. The mode of communication of order confirmation, margin calls or liquidation of position/security shall be as agreed between the broker and the client. Stock broker shall prescribe and communicate its margin policies on haircuts/ VAR margins subject to minimum requirements specified by SEBI and exchanges from time to time.
4. The Stock Broker shall monitor and review on a continuous basis the client's positions with regard to MTF. It is desirable that appropriate alert mechanism is set up through which clients are alerted on possible breach of margin requirements.
5. Any transaction to be considered for exposure to MTF shall be determined as per the policy of the broker provided that such determination shall happen not later than T + 1 day.
6. If the transaction is entered under margin trading account, there will not be any further confirmation that it is margin trading transaction other than contract note.
7. In case the determination happens after the issuance of contract, the broker shall issue appropriate records to communicate to

Client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.

8. The Stock Broker shall make a 'margin call' requiring the client to place such margin; any such call shall clearly indicate the additional/deficient margin to be made good.
9. Time period for liquidation of position/security shall be in accordance declared policy of the broker as applicable to all MTF clients consistently. However, the same should not be later than 5 working (trading) days from the day of 'margin call'. If securities are liquidated, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
10. The daily margin statements sent by broker to the client shall identify the margin/collateral for Margin Trading separately.
11. Margin Trading Accounts where there was no transactions for 90 days shall be settled immediately.
12. The stocks deposited as collateral with the stock broker for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount;
13. Stock Broker shall close/terminate the account of the client forthwith upon receipt of such request from the client subject to the condition that the client has paid dues under Margin Trading Facility.

➢ **Rights and Obligations Relating to Margin Trading Facility Provided By Stock Broker/ Trading Member To Clients (BSE)**

1. Stock Broker/ Trading Member is eligible to provide Margin Trading Facility (MTF) in accordance with SEBI & Exchange Guidelines as specified from time to time.
2. Stock Broker/ Trading Member desirous of extending MTF to their clients is required to obtain prior permission of BSE. Stock Broker/ Trading Member may note that BSE has the right to withdraw the permission at anytime.
3. Stock Broker/ Trading Member shall extend the MTF to the client, on such terms and conditions as specified by the Stock Exchange / SEBI from time to time. Stock Broker/ Trading Member and the client shall abide by the requirements of the margin trading framework, including rights and obligations, as prescribed by Stock Exchange/ SEBI/ Stock Broker/ Trading Member.
4. Stock Broker/ Trading Member shall intimate all the terms and conditions, including maximum allowable exposure, specific stock exposures etc., as well as the rights and obligations to the client desirous of availing MTF.
5. Stock Broker/ Trading Member may, at its sole and absolute discretion, increase the limit of initial and/or maintenance margin, from time to time. The Client shall abide by such revision, and where there is an upward revision of such margin amount, he agrees to make up the shortfall within such time as the Stock Broker/ Trading Member may permit. It may however, be noted that the initial/ maintenance margins shall never be lower than that prescribed by Stock Exchange/ SEBI.
6. Stock Broker/ Trading Member shall provide MTF only in respect of such shares, as may be permitted by Stock Exchange/ SEBI.
7. Stock Broker/ Trading Member shall liquidate the securities and other collateral, if the client fails to meet the margin call to comply with the margin requirement as specified by Stock Exchange/ SEBI/ Stock Broker/ Trading Member. In this regard, Stock Broker/ Trading Member shall also list down situations/ conditions in the which the securities may be liquidated (Stock Broker/ Trading Member to list down situations/ conditions):
8. Stock Broker/ Trading Member shall not use the funds of one client to provide MTF to another client, even if the same is authorized by the first client.
9. The stocks deposited as collateral with the Stock Broker/ Trading Member for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and no comingling shall be permitted for the purpose of computing funding amount
10. IPF shall not be available for transactions done on the Stock Exchange, through MTF, in case of any losses suffered in connection with the MTF availed by the client.

The rights and obligations prescribed hereinabove shall be read in conjunction with the rights and obligations as prescribed under SEBI circular no. CIR/ MIRSD/ 16/ 2011 dated August 22, 2011.

➢ **Termination of Relationship**

1. The margin trading arrangement between the stock broker and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the margin trading facility provided to the Stock Broker or the Stock Broker surrenders the facility or the Stock Broker ceases to be a member of the stock exchange.
2. The MTF facility may be withdrawn by the broker, in the event of client committing any breach of any terms or conditions therein or at anytime after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of broker committing any breach of any terms or conditions therein or for any other reason.
3. In the event of termination of this arrangement, the client shall forthwith settle the dues of the Stock Broker. The Stock Broker shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the Stock Broker to make such adjustment.
4. After such adjustment, if any further amount is due from the client to the Stock Broker, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to the Stock Broker, the Stock Broker shall release the balance amount to the client.
5. If the client opts to terminate the margin trading facility, broker shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.

Part B:

Terms and Conditions prescribed by Ambit Broking Services Private Limited (ABSPL) for Margin Trading Facility (MTF)

➢ **The Client undertakes, authorizes, confirms and agrees to/that:**

1. Avail MTF in accordance with the terms and conditions of MTF offered by ABSPL.
2. ABSPL at all times shall have the liberty to exercise its right in its sole discretion to determine the extent to which the MTF to be made available to the Client.

3. The Initial Margin payable shall be in the form of cash, cash equivalent, or Group I Equity securities with appropriate haircut.
4. If the transaction is entered under MTF, there will not be any further confirmation that it is margin trading transaction other than contract note.
5. ABSPL shall have discretion to allocate available securities/funds as collateral against MTF.
6. ABSPL shall not be bound to grant MTF to the Client (which decision shall be at the sole and exclusive discretion of ABSPL) and ABSPL shall not be required to provide any reasons thereof nor shall ABSPL be liable for any damages (whether direct or consequential or whether financial or non-financial) to the Client by reason of ABSPL's refusal to grant MTF to the Client.
7. Client includes Individual, Company, Partnership Firm, Trust, Hindu Undivided Family, Association of Persons and Body of Individuals etc.
8. The terms / conditions / Obligations of the Client as amended from time to time shall be irrevocable and shall not be revoked by the death/dissolution/ winding up of the Client.
9. ABSPL to retain and / or pledge the securities and its corporate benefits, if any, with ABSPL utilized for availing MTF till the amount due in respect of the said transaction including the dues to ABSPL is paid in full by the Client.
10. ABSPL to hold and / or to appropriate the credit lying in the Client account (including non-MTF and/or another product/segment) and/or any unutilized/ unpledged shares/ securities lying in demat account along with all other demat accounts / Mutual Funds / IPO account of the Client towards the repayment of the outstanding dues and/or towards margin shortfall thereof under MTF.
11. Treat the securities available in demat account/s linked to the trading account of the Client as margin towards the MTF availed.
12. ABSPL shall provide MTF only in respect of such shares, as may be permitted by Stock Exchange/ SEBI.
13. ABSPL will not use the funds of one client to provide MTF to another client, even if the same is authorized by the first client.
14. Any disputes arising between the client and ABSPL in connection with the margin trading facility shall have the same treatment as normal trades and should be covered under the investor grievance redressal mechanism, arbitration mechanism of the stock exchange. However, any losses suffered in connection with the margin trading facility availed by the client from ABSPL shall not be covered under IPF.
15. Client agrees to pay Interest at the rate as applicable. (plus taxes, if any applicable) on debit arising out of the exposure availed by the client (i.e. the amount financed by ABSPL), compounded monthly and any changes as mutually agreed from time to time. GST will be levied on interest for Margin Trading Facility, if applicable as per prevalent regulatory norms.
16. A protest /disagreement with any transaction, document, statements, contract notes or any communication under the MTF Facility shall be lodged by the client within 24 hours from the date of receipt of the same.
17. The terms and conditions, along with any amendments made by ABSPL from time to time, will be posted on the Ambit website and are considered an integral part of the current terms and conditions, which the client agrees to abide by.
18. **Notices & Communications:-**

    All notices or communications regarding these Terms & Conditions must be provided in writing and will be deemed properly served through the following methods:

    i. Sent to ABSPL Head Office or any registered branch address (Delhi Branch).
    ii. Email:cmd.clientexperience@ambit.co
    iii. Telephone No.: 022-66233000
    iv. Sent to the client's registered email address and postal address as provided in the Consent letter and KYC forms.

19. Notwithstanding anything contained herein, any amount funded under MTF shall be repayable on demand at the sole discretion of ABSPL. The client undertakes to repay the MTF balance forthwith on demand by ABSPL.
20. In case the client has buy position which resulted in no delivery / shortage then the sell leg transaction (if executed on or before settlement date) would also amount to shortage. The auction value as applicable on the shortages would apply
21. If client buy shares under MTF product and sell the same under other product on the same day or vice - versa, there will be an open position in both MTF and the other product
22. As per the SEBI circular, funded stocks under MTF are to be held in client securities margin funding demat account only by the way of pledge. Client has to provide pledge confirmation for all funded stocks through the OTP based authentication mechanism in accordance with guidelines prescribed by CDSL DP from time to time. If client fails to accept the pledge request for the funded stocks in favour of ABSPL within prescribed timeline as may be decided from ABSPL from time to time, position will be squared off any time after the settlement day but on or before the regulatory norms. Funds blocked during the settlement of such position(s) would be liable to for delayed payment charges.
23. Risk Management rules with regards to initial margin will be decided by ABSPL from time to time and will be imposed and the same can be higher than the quantum prescribed by regulatory provisions. The client shall pay applicable initial margins or such other margins as are considered necessary by ABSPL or the Exchange or as may be directed by SEBI from time to time as applicable to Margin Trading segment in which the client trades.
24. The decision of ABSPL will be final with respect to:

    - Eligible scrips for collateral,
    - Applicable margin rates (over and above stated Exchange margin %),
    - Applicable haircut% on Collateral stocks (over and above stated Exchange haircut %),
    - Maximum collateral value/quantity for a scrip,
    - Inclusion or exclusion of a scrip for collateral,
    - MTM value calculations,
    - Rate of interest, also referred to as delayed payment charge, charged for funding client's position,
    - Adjusting credit arising from one product to the other with ABSPL towards the repayment of the outstanding dues and/or towards margin shortfall,
    - Other operational matters.

25. Collateral and Funded stocks shall be marked to market on daily basis
26. Limits & Exposure: ABSPL will provide exposure to client based on maximum allowable exposure limit as prescribed by EBI/Exchange(s) from time to time. However, based on Market conditions and the risk perception about the market the stock broker may set the Exposure limits on the basis of available base capital which may comprise of Ledger and stocks (after suitable margin hair cut).

27. The limits may be allowed on a multiplier basis to the available capital or actual VAR margin basis or a specified margin depending on the Market conditions. However on exceptional situations ABSPL may use its own discretion in providing the limits and may change for a client depending on market condition. In case overall position in a particular scrip or across all scrips has reached the particular specified limit prescribed by ABSPL, then client may not be allowed to take further position.
28. ABSPL may close the existing / partial position of a client if the margin cover falls below minimum prescribed margin limits as specified by SEBI /Exchange(s)/ABSPL guidelines.
29. In case if the ABSPL has sufficient Margin cover on behalf of its client, it may still decide based on the market conditions and risk perception not to allow further position or may close the existing position of a client.
30. The Client agrees that he will be remain informed by visiting Exchange websites about changes in the eligible stocks / collaterals that can be purchased / furnished for the Margin Trading Facility. The customer further agrees that he will take necessary action to replenish the stocks as collaterals in case of any margin shortfall to avoid any RMS Actions.
31. In addition to what the client has agreed in the agreement, ABSPL may terminate a client with immediate effect, but not limited to the following reasons –
    - If the client is debarred by SEBI or any other regulatory authority.
    - As a part of surveillance measure, if a client appears to be indulging in manipulative practices.
    - Under the circumstances when there is a reasonable ground to believe that the client is unable to clear its dues or has admitted its inability to pay its debt.
    - If the client violates any of the terms of the agreement.
    - In case client is already availing Margin Trading Facility with other brokers, client needs to inform ABSPL before availing this facility with ABSPL.
    - Collateral/Securities provided by client towards Margin should be totally unencumbered
32. Any disputes arising between the client and ABSPL in connection with the margin trading facility shall have the same treatment as normal trades and will be covered under the investor grievance redressal mechanism, arbitration mechanism of the stock exchange.
33. Clients are required to upfrontly inform their status whether they are Promoter or Promoter Group with regards to the scrips availed under Margin Trading Facility for both Funded Stocks and Collateral Stocks. The same is required to be disclosed to Exchanges and regulators on daily basis by ABSPL.
34. Additional situations/ conditions in which the securities may be liquidated by ABSPL:
    - Adequate client Margin is not available with ABSPL for the open positions.
    - The scrip price is continuously hitting lower circuit.
    - Client has not transferred required funds and/or approved collateral to meet the MTM loss/margin shortages.
    - Value of collateral has fallen either due to fall in prices or removal of the stock from the approved collateral list by Exchange/ABSPL including due to corporate actions.
    - The haircut % on Collateral stock has been increased by Exchange/Clearing house/ABSPL and hence there is shortage of margin on client's open positions
    - The client's ledger is in debit over and above the margin debit.
35. ABSPL shall not be liable for any losses either actual or opportunity losses arising from or in connection with MTF transactions due to:
    - Arising out of technical / system issues.
    - Disallowance of any scrip to be allowed for further MTF positions.
    - Increase in applicable margin, especially when margin is increased to 100% in case of corporate action or where the scrip does not remain eligible for MTF.

➢ **Eligible Securities & Margin Required for MTF:**

Securities specified under “MTF Approved Category List” by ABSPL from time to time which must be a part of 'Group I security' as per Exchanges /SEBI shall be eligible for MTF. ABSPL reserves the right to include or exclude any Securities from its “MTF Approved Category List” as per the Risk Management policy.

The client shall deposit the following initial margin, in order to avail MTF:

Category of Stock	Applicable Margin
Group I stocks available for trading in the F & O Segment	VaR + 3 times of applicable ELM*
Group I stocks other than F&O stocks	VaR + 5 times of applicable ELM*

* For aforesaid purpose the applicable VaR and ELM shall be as in the cash segment for a particular stock.

Signature of First Holder	Signature of Second Holder	Signature of Third Holder
F	S	T

Declaration for use of same Email Id and Mobile number in Family account.

Dear Sir,

We have / had given my KYC form to open Demat / Trading Account.

Also, our below mentioned family member(s) has/had given his/her KYC form to open Demat/Trading account.

Sr. No.	BO ID	Trading Code	Name	Relation
1.				Self
2.				Spouse
3.				Dependent Children
4.				Dependent Children
5.				Dependent Parent
6.				Dependent Parent

We would like to register the same E-mail ID i.e._____
& Mobile No. i.e._____for our Demat / Trading Account; which is mentioned in our family member's Account opening form & We don't have any objections regarding the same.

Please do the needful.
Yours Faithfully

Signature of First Holder	Signature of Second Holder	Signature of Third Holder
F	S	T

Note: *Signature is require in case of using same-email id / mobile number for family members account opening.*

CONSENT FOR COLLECTION AND PROCESSING OF PERSONAL DATA

AMBIT BROKING SERVICES PRIVATE LIMITED AND AMBIT CAPITAL PRIVATE LIMITED

I/We,_____ , hereby provide my explicit, informed, and voluntary consent to Ambit Broking Services Private Limited ("ABSPL") and Ambit Capital Private Limited ("ACPL") for the collection, processing, storage, use, and sharing of my Personal Data (including Sensitive Personal Data or Information as defined under the IT Act, 2000 and SPDI Rules, 2011) as outlined below:

1. Data Collected

ABSPL and ACPL will collect and process the following categories of Personal Data as provided in this Account Opening Form:

a) Personal Information: Name, Mother's Name, Date of Birth, Place of Birth, Marital Status, Nationality, Residential Status (Resident/NRI), PAN, Aadhaar (where applicable), Photograph, Signature, PEP Status, Address (Permanent and Correspondence), Mobile Number, Email ID

b) Financial Information (SPDI): Annual Income, Net Worth, Bank Account Details, Investment Portfolio, Occupation Details

c) Other Information: Nominee Details, KYC Documents, Risk Profile, Investment Objectives, Transaction History, Communication Records

2. Purpose

Personal Data will be processed for: client onboarding and KYC compliance including KRA and CKYC; stock broking and depository services; portfolio management services and advisory; SEBI, PMLA, tax, and statutory compliance; payment and receipt processing; regulatory reporting; fraud prevention and legal obligations.

3. Sharing of Data

I/We authorize ABSPL and ACPL to share my/our Personal Data with:

- SEBI, RBI, Income Tax, and other regulatory authorities
- Banks, payment gateways, RTAs, depositories (NSDL/CDSL), stock exchanges, AMCs, brokers, and financial intermediaries
- KYC Registration Agencies (KRAs), credit bureaus, verification agencies
- Technology and cloud service providers
- Legal, audit, tax, and compliance advisors
- Ambit and its group entities ("Ambit Group"), affiliates, and business associates

I/We acknowledge that data may be transferred and processed across jurisdictions with adequate safeguards, in compliance with applicable legal and regulatory requirements.

4. Retention

ABSPL and ACPL will retain my Personal Data during the service relationship and thereafter as required under SEBI regulations, PMLA 2002 (minimum 5 years), Income Tax Act, contractual obligations, legal proceedings, and ABSPL and ACPL's respective Data Retention Policies.

5. Withdrawal of Consent

I/We may withdraw this consent by writing to cmd.clientexperience@ambit.co. I/We understand that certain data may be retained for statutory, regulatory, contractual, and legal obligations, and withdrawal may result in ABSPL and ACPL being unable to provide services and termination of the relationship.

6. Rights

I have the right to access, correct, review, and withdraw consent for my Personal Data. For grievances, I/we may contact cmd.clientexperience@ambit.co.

7. Minor Nominee Consent

Where nominee(s) are below 18 years of age, I/we confirm that I/We am the parent/legal guardian and provide consent for ABSPL and ACPL to collect, process, and share their personal data as outlined in this consent form.

8. Declaration

I/We confirm that I/we have read and understood this consent, all information provided is true and accurate, I/We provide this consent voluntarily without coercion, and I/We will promptly inform ABSPL and ACPL of any changes to my Personal Data.

Client Acknowledgment

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature	F	S	T

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date_____

DP ID	1	2	0	4	7	5	0	0	Client ID	0	0	0					
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,

Ambit Capital Pvt. Ltd.
Ambit House, 449, Senapati 8apat Marg,
Lower Parel, Mumbai -400 013

Dear Sir/Madam,

I/We hereby state that: [Select one of the options given below]

☐ OPTION 1:

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account though I/we have issued a Power of Attorney (POA) in favour of AMBIT CAPITAL PRIVATE LIMITED for executing delivery instructions for setting stock exchange trades [settlement related transactions) effected through you.

OR

☐ OPTION 2:

I/We do not require the Delivery Instruction Slip (DIS) for the time being, since I/We have issued a POA favour of AMBIT CAPITAL PRIVATE LIMITED for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through you. However, the Delivery Instruction Slip (DIS) booklet should be issued to met us immediately on my/our request at any later date

Yours faithfully

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature	(F)	(S)	(T)

ACKNOWLEDGEMENT (OFFICE COPY)

Date:_____ Form No._____

Dear Sir/Madam,

We hereby acknowledge the receipt of the Account Opening Application form, received from Mr./Ms._____ _____ as the Sole/ First holder.

Your DP ID and / or trading code will be intimated to you once your account gets opened successfully..

Initial cheque details: Amount :_____ Cheque No.:_____

Bank Name :_____ Date of Cheque :_____

Name of the Sole/ First Holder	
Name of the Second Holder	
Name of the Third Holder	

I/We confirm receipt of DP / Trading Form

F

DP & Trading Member Seal and Signature

FOR OFFICE USE ONLY (To Be Filled by Relationship Manager)

UCC Code allotted to the Client::_____

	Documents verified with Originals	Client Interviewed by	In-Person Verification done by
Nameof the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

I/We undertake that I/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.

_____

Signature of the Authorised Signatory

Date:_____

Seal/Stamp of the Stock Broker / DP

IMPORTANT: Password for your account will be sent on your registered Email ID only, login ID and alerts on mobile no. as mentioned in KYC form.



Global Private Client

Ambit Capital Private Limited I Ambit Broking Services Private Limited
Ambit House, 449, Senapati Bapat Marg, Lower Parel, Mumbai 400013, India
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