



**Farsight**  
WE REWARD YOUR INVESTMENTS

# FARSIGHT SECURITIES LIMITED

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As Per SEBI Circular No. CIR/MIRSD/13/2013  
Dated Dec 26, 2013

## ACCOUNT OPENING KIT

### NON INDIVIDUAL -CDSL DP & TRADING ACCOUNT OPENING FORM

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

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

**FOR OFFICE USE ONLY**

Kra No. ....

Upload/Download .....

Verified by .....

UCC Code allotted to the Client : .....

	Documents verified	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

Account Opened by : ..... Date : .....

Exchange actived & Mapped by : ..... Date : .....

Rechecked by : ..... Date : .....

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

Name & Signature of the Authorised Signatory

Date .....

Seal/Stamp of the Stock Broker

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

1. Additional documents in case of trading in derivatives segments - illustrative list:
  - Copy of ITR Acknowledgement
  - Copy of Annual Accounts
  - In case of salary income - Salary Slip, Copy of Form 16
  - Net worth certificate
  - Copy of demat account holding statement.
  - Bank account statement for last 6 months
  - Any other relevant documents substantiating ownership of assets.
  - Self declaration with relevant supporting documents.
  - In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. **For Individuals**
  - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. **For Non-Individuals**
  - a. Form need to be initialized by all the authorized signatories.
  - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.
6. If in the opinion of the broker, financial resources, experience are inadequate, trading in any derivative product can be declined.

**FOR NON-INDIVIDUALS**

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

**A. IDENTITY DETAILS**

- 1. Name of the Applicant .....
- 2. Date of Incorporation .....
- & Place of Incorporation .....
- 3. Date of Commencement of Business .....
- 4. a.) PAN : .....
- b.) Registration No. (eg. CIN) .....
- 5. Status (please tick any one) ..... Private Limited Co. .... Public Ltd. Co.  
..... Body Corporate Partnership ..... Trust .....Charities .....NGO's  
..... FI .....FII .....HUF .....AOP .....Bank ..... BOI ..... LLP  
.....Government Body ..... Non-Government Organization  
..... Defense Establishment ..... Society  
..... Others (please specify).....

**B. ADDRESS DETAILS**

- 1. Address for Correspondence .....
- ..... City/Town/Village: .....
- Pincode: ..... State ..... Country .....
- 2. Contact Details: Tel. (Office)..... Tel. (Res.) .....
- Fax: ..... E-mail .....
- 3. Specify the proof of address submitted for residence/correspondence address  
.....

Validity / Expiry of Address proof submitted ...../...../.....

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

City/Town/Village .....

Pincode ..... State..... Country .....

**C. Other Details**

**Name, PAN, Residential address and photographs of Promoters / Partners/ Karta/ Trustees/ Authorized Signatories and Whole-time Directors**

Name (1) : .....

PAN : .....

Residential Address : .....

City/Town/Village ..... Pin code : .....

State ..... Country .....

DIN/UID: ..... Aadhaar No. ....

Any Other Information .....

**Name, PAN, Residential address and photographs of Promoters / Partners/ Karta/ Trustees/ Authorized Signatories and Whole-time Directors**

Name (2) : .....

PAN : .....

Residential Address : .....

City/Town/Village ..... Pin code : .....

State ..... Country .....

DIN/UID: ..... Aadhaar No. ....

Any Other Information .....

**Name, PAN, Residential address and photographs of Promoters / Partners/ Karta/ Trustees/ Authorized Signatories and Whole-time Directors**

Name (3) : .....

PAN : .....

Residential Address : .....

City/Town/Village ..... Pin code : .....

State ..... Country .....

DIN/UID: ..... Aadhaar No. ....

Any Other Information .....

**Name, PAN, Residential address and photographs of Promoters / Partners/ Karta/ Trustees/ Authorized Signatories and Whole-time Directors**

Name (4) : .....

PAN : .....

Residential Address : .....

City/Town/Village ..... Pin code : .....

State ..... Country .....

DIN/UID: ..... Aadhaar No. ....

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 if 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 aware that I/we may be held liable for it.

Name: .....

Signature of the Authorised Signatory/ies .....

Signature of the Authorised Signatory/ies .....

Signature of the Authorised Signatory/ies .....

Date: ..... Place : .....

**FOR OFFICE USE ONLY**

Originals verified and Self-Attested Document copies received .....

Name & Signature of the Authorised Signatory .....

Date : .....

Seal/Stamp of the Intermediary .....

**A. BANK ACCOUNT(S) DETAILS**

**Bank Name (1)** : .....

**Branch Address** : .....

City/Town/Village : ..... Pin Code :

State : ..... Country : .....

**Bank Account No.** :

**Account Type** :  Saving  Current  Others - in case of [  NRI  NRE  NRO ]

**MICR Number** :  **IFSC Code** :

---

**Bank Name (2)** : .....

**Branch Address** : .....

City/Town/Village : ..... Pin Code :

State : ..... Country : .....

**Bank Account No.** :

**Account Type** :  Saving  Current  Others - in case of [  NRI  NRE  NRO ]

**MICR Number** :  **IFSC Code** :

**B. DEPOSITORY ACCOUNT(S) DETAILS**

**Depository Participant Name (1)** : .....

**Depository Name** :  NSDL DP ID :  BO ID :

CDSL DP ID :  BO ID :

**Beneficiary Name** : .....

---

**Depository Participant Name (2)** : .....

**Depository Name** :  NSDL DP ID :  BO ID :

CDSL DP ID :  BO ID :

**Beneficiary Name** : .....

**C. TRADING PREFERENCES**

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

	NSE	BSE	MCX
<b>CASH</b>	<input checked="" type="checkbox"/> 4.1	<input checked="" type="checkbox"/> 4.2	<input checked="" type="checkbox"/> 4.3
<b>F&amp;O</b>	<input checked="" type="checkbox"/> 4.4	<input checked="" type="checkbox"/> 4.5	<input checked="" type="checkbox"/> 4.6
<b>CURRECNY</b>	<input checked="" type="checkbox"/> 4.7	<input checked="" type="checkbox"/> 4.8	<input checked="" type="checkbox"/> 4.9
<b>MUTUAL FUND</b>	<input checked="" type="checkbox"/> 4.10		

# 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**

**Gross Annual Income Details (please specify):**

Income Range per annum  Below ` 1 Lac  ` 1-5 Lac  ` 5-10 Lac  ` 10-25 Lacs  Above ` 25 Lacs

OR Net-worth as on  \_\_\_\_\_ (Net worth should not be older than 1 year)

**Occupation** (please tick any one and give brief details)

Private Sector  Public Sector  Government Service  Business  Professional  Agriculturist

Retired  Housewife  Student  Others \_\_\_\_\_

**Please tick, If applicable**  Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)

**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 :

- 1. ....
- 2. ....
- 3. ....

**F. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS**

• If Client is dealing through the sub-broker , provide the following details:

Sub-broker's Name : .....SEBI Registration Number : .....

Phone : ..... Fax : ..... Website : .....

Registered Office Address : .....

City/Town/Village..... Pin Code :

State : ..... Country : .....

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

Name of Stock Broker : .....

Name of Sub-broker (if any) : .....

Registered Office Address : .....

..... Pin Code :

Client Code :  Exchange : .....

Details of disputes/dues pending from/to such stock broker/sub- broker : .....

.....

**G. INVESTMENT / TRADING EXPERIENCE**

No Prior Experience       \_\_\_\_\_ Years in Commodities       \_\_\_\_\_ Years in other investment related fields

**H. SALES TAX / GST REGISTRATION DETAILS (As applicable, State wise)**

Local Sales Tax State Registration No. \_\_\_\_\_ Validity Date :

Central Sales Tax Registration No. \_\_\_\_\_ Validity Date :

Other Sales Tax State Registration No. \_\_\_\_\_ Validity Date :

Name of the State: \_\_\_\_\_ GSTN

**I. VAT DETAILS (As applicable, State wise)**

Local VAT Registration No. \_\_\_\_\_ Validity Date :

Name of the State \_\_\_\_\_

Other VAT Registration No. \_\_\_\_\_ Validity Date :

Name of the State \_\_\_\_\_

FOR COMMODITY ONLY





client appx. 15 minutes before the scheduled closing.

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

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

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

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

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

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

In case margin is kept in securities, Broker would value these securities after applying such haircut as it deems appropriate which would not be less than 20% in approved securities. Similarly for providing exposure to client, Broker can pledge such securities in favor of clearing member/ Clearing Corporation or Bank.

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

The Stock Broker at its sole discretion can give extra exposure or intraday limit to the client, such extra exposure will automatically be squared off by trading mechanism without any further reference to

### 3. Applicable Brokerage Rate:

Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration of the client and/or subsequently through a written agreement between client and Farsight. The rate of Brokerage shall not exceed the maximum brokerage permissible under Exchange bye-laws.

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

The brokerage shall however be exclusive of the following:

- DP Annual maintenance charges
- DP transaction charges / Pledge/Re-pledge/Demat/Re- mat Charges
- DP Inter settlement charges
- Account Opening Charges
- Delayed payment charges
- Penalties levied by Exchange
- Research advisory charges
- Courier charges
- Bank charges towards the cheques received unpaid
- DP, Bank and other processing charges towards periodic settlement of Funds/Securities on periodic basis.
- Statutory charges payable to Exchange/SEBI/Govt. Authorities etc.
- SEBI/Exchange/Clearing Member Turnover charges
- Other out of pocket and services related charges

**4. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)** Client shall be liable to penalty and other charges on nonpayment of margin money, short selling of securities or units, failure on payment of auction, cheque bounce, non-delivery of shares, increase open position or on any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force as per Rules, Regulations, Guidelines and Circulars issued by SEBI and stock exchange time to time and client will be kept informed about the rate of such penalties & fines. Similarly in case of non-receipt of full payment of value of delivery purchased, margin imposed (initial + MTM) interest will be charged at 21% p.a. calculated on daily basis on shortfall amount till the date of actual realization of money.

However, broker will not pay any interest on unutilized margin or balance in trading Account of the clients in case of repeated violation by client, additional penalty (as disclosed on website) will be levied.

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

5. **The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues (This shall be limited to the extent of settlement/margin obligation)** FARSIGHT shall have right to sell client's securities, both unpaid as well as collaterals deposited towards margins, or close out clients open positions, without giving notice to the client where there is a delay/failure of the client to meet the pay-in obligations and /or there is a failure of the client to bring additional margin to cover the increase in risk in the dynamic market conditions.

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

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

In case unpaid securities / remain unpaid for five days from pay in date. These will be liquidated compulsorily to clear his debit balance/incidental charges, as per the policy adopted by the broker from time to time.

Farsight may follow the LIFO or average method of liquidation of securities but in exceptional circumstances Farsight may use its own discretion.

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

I. Positions of the client may be closed out to the extent of margin shortfall on the T+1 basis.

II. While computing margin shortfall, Value of unapproved securities shall not be considered.

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

**C. Intra-day Positions:-**

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

**D. General**

i. While selling the securities/ closing the clients positions, FARSIGHT may take into account the sales made by the client, Positions closed by the client or collections received from the client till cut-off time (Presently 12.00 pm).

ii. While selling the Securities/ Closing the clients positions, FARSIGHT may not take into consideration cheques/Bank Drafts/ Pay orders deposited by the client with FARSIGHT until clear proceeds of such instruments are received by FARSIGHT in its bank account.

iii. FARSIGHT shall have the right to sell client's securities or close out client's open positions but it shall not be under any obligations to undertake this exercise compulsorily. FARSIGHT shall therefore not be under any obligation to compensate/or provide reasons of any delay or omission

on its part to sell client's securities or close open positions of the client.

iv. The client would make good the short fall, if any post liquidation, immediately. But refund such excess to clients, if so demanded by clients, by next working day.

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

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

a. The securities delivered short are purchased from market in code of defaulting clients only on T+2 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes, levies and penalty) is debited to the short delivering seller client. However, if the buyer has already sold the shares in anticipation of his incoming delivery, purchase for open market will not be done. Rate at which his transactions are auctioned / closed out by Exchange or internal shortage mechanism will be changed to defaulting sell etc, including STT, taxes, penalty etc.

b. If securities cannot be purchased from market due to any reason, the short delivering seller is debited at the closing rate on T+2 day or Auction day on Exchange +10% and buyer will be given credit. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/ credits shall be as per Exchange Debits and Credits after deducting exchange penalties.

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

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

The stock broker may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances.

1. for non-payment or erosion of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities/ obligations.

2. Any order which is at any point of time in executed without the required Margin in the Client's account or the brokers exposure is more than 85% and above so no fresh trade will be taken.

3. The client hereby authorizes the Stock Broker to square up all his outstanding positions at the discretion of the Stock Broker, which are not marked for delivery 15 minutes before the closing time of the normal market or if the client's cash margin is evaporated by 70% in any of exchanges, Farsight reserves the right to square off positions. Therefore, it has been expressly explained and understood by the client that his intraday /existing position/addition position can be closed square off 70%

of the margin in cash is evaporated or mark to mark loss at any point of the time reached 70% of the cash deposit , notwithstanding any other clause in this clause.

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

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

#### **8. Temporarily suspending or closing a client's account at the client's request**

Client may instruct the member to close out the account or suspend the trading through client's account for the period as specified in the request in written and duly signed by him.

The stock broker can withhold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

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

- Where the client is inactive for more than 6 months
- Physical contract notes are received back undelivered due to reasons like "no such person" , "addressee left", refusal to accept mails, POD's signed by the third persons, signature mismatch on POD's or other reasons which may create suspicion.
- ECN failed (Bounced email) on more than 3 instances until client submits a valid explanation.
- Client can also send an email from designated mail id for reactive request.

#### **9. Deregistering a client**

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

- i. If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.

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

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

Client account will be considered as inactive if the client does not trade for period of 11 month. Calculation will be done at the beginning of every quarter and those clients who have not traded even a single time will be considered as inactive. The client has to make written request for reactivation of their account.

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

I/We have fully understood the same and do hereby sign the same agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through anyone or more means or methods such as post / speed post / courier / registered post / registered AD / facsimile / telegram / cable / e-mail / voice mails telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc.; or any other suitable or applicable mode or manner. I/we agree that the postal department / the courier company / newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department /

the courier company / the e-mail/voice mail service provider, etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me/ us and stock broker before any court of law / judicial / adjudicating authority including arbitrator/ mediator etc.

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

A small, stylized handwritten signature or mark, possibly initials, located on the right side of the page.

**TARIFF SHEET**

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

<b>CAPITAL MARKET SEGMENT</b>			
	<b>NSE / BSE / MCX</b>		
	<b>in %age terms</b>	<b>Minimum ` (per share)</b>	
Intraday			
Delivery			
Trade to Trade			
<b>FUTURES &amp; OPTIONS SEGMENT</b>			
	<b>FUTURES</b>		<b>OPTIONS</b>
	<b>in %age terms</b>	<b>Minimum ` (per lot)</b>	<b>` Per Lot</b>
NSE			
BSE			
MCX			
<b>CURRENCY DERIVATIVES SEGMENT</b>			
	<b>in %age terms</b>	<b>Minimum ` (per lot)</b>	<b>` Per Lot</b>
NSE			
BSE			
MCX			
<b>MUTUAL FUNDS SEGMENT</b>			
	<b>NSE</b>		
	<b>in %age terms</b>	<b>Minimum ` (per unit)</b>	

\* Transaction Charges, Service Tax/GST, STT, Stamp Duty, SEBI Fee, Other Govt. Levies are extra.  
 One Time Account Opening Charges (Rs.).....  
 Technology Charges maximum 0.1% subject to volume.  
 Recurring Charges : Monthly..... Quarterly..... Half Yearly..... Yearly.....

**Note :** Dispatch of Contract Note : Through Ordinary Post Free. Through Courier Rs. 30/-  
 In case of previous years duplicate printout Rs. 200/- per statement.

 \_\_\_\_\_

**CLEARING MEMBER DETAILS**

**NSE Equity Derivatives: AXIS BANK LTD.** - SEBI Regn. No.: INF231133937, CM Code: C51072  
 Regd. Office: Trishul, 3rd Floor, Opp-Samartheshwar Temple New Law Garden, Ellis Bridge, Ahemdabad-380006  
**NSE Currency Derivatives - SMC GLOBAL SECURITIES LTD.** | SEBI Regn. No.: INZ000199438 Regd. Office: 11/6B,  
 Shanti Chamber, Pusa Road, New Delhi-110005  
**MCX Commodity Derivative Markets - SMC COMTRADE LTD.** | SEBI Regn. No.: INZ000035839 Regd. Office: 11/6B,  
 Shanti Chamber, Pusa Road, New Delhi-110005

# VOLUNTARY

To,

## Farsight Securities Ltd.

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

EAPBX: 011-4504-4444 (30 Lines) Fax: 011-45044434

E-mail : contactus@farsightshares.com

Date : .....

Client Code : .....

Demat Client ID : .....

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

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

#### 1. Running Account

I/We authorize you to setoff outstanding Funds in any of my/our accounts against credit balances of Funds arising in any other accounts maintained with you by me/us and /or against the value of cash margin or collaterals provided to you by me/us, irrespective of the fact whether such credit balances in my/our accounts pertain to different trading segments of the same Stock Exchange or of different Stock Exchanges.

Therefore, I/we hereby direct and authorize you to maintain running account(s) for me/us and from time to time debit/credit these funds from running accounts and funds of exchanges/clearing corporations/

Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals / margin in NSE the form of bank guarantee (BG)/Fixed Deposit receipts (FDR) or if the balance outstanding is less than Rs. 10,000. Further, please note that I may revoke the authorization at any time (i.e. without notice) by informing you in writing.

My / our preference for actual settlement of funds as per regulation of Exchanges is

Once in a Calendar Quarter

Once in a Calendar Month

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

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

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

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

### **4. Fines & Penalties:**

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

5. I/We have a trading as well as depository relationship with Farsight Group. Please debit the charges relating to depository services and courier charges for sending physical documents (including my family members) to my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my/our trading account/pay adequate advance fee.
6. Any amount which are overdue including shortage of margin from the client towards trading either in the cash or derivatives segment will be charged the late payment charges at the rate of 21% per annum or such other rate as may be determined by the stock broker and intimated to client. The client hereby authorizes the stock broker to debit directly the same in his account.
7. In case, where client is a company, it authorizes adjustments of any debit balance out of credit balance of any other company or entity in which there is at least one common director or having same shareholder or group of shareholders having substantial interest or from the credit balance of personal account of directors. The company further assures that required permission and resolutions/authorization has been passed as per the law.
8. The client is aware of the present KRA/KYC system through which particulars of client like address, email id etc. can be changed by any intermediary. If Farsight comes to know of any changes through KRA/KYC systems it can modify and dispatch /mail the details to new address.
9. The Client further agrees and accepts that transmission of document/records/data and information including but not limited to contract notes (including digital contract notes, and other electronic documents) through ordinary post, courier/ speed post/registered post/electronic mail i.e. email/ electronic mail attachment/ download available from website or fax to his last known business and/or fax no. shall be deemed to have been properly delivered or served even if such communication is returned as unclaimed/ refused/ undelivered.
10. I further authorize Mr./Ms. \_\_\_\_\_ S/o/D/o \_\_\_\_\_ Age \_\_\_\_\_  
R/o \_\_\_\_\_ who is my\_(Relation) to operate and perform necessary act in relation to this account such as purchase/sale signing confirmation to accept Contract Note documents from Farsight Securities Ltd. He/She is further authorized to make, receive and accept telephone calls relating to operation in this account.

**11. SMS/e-mail :**

My email id is \* .....This has been created by me and not by someone else. The guidelines on ECN have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same. I am aware that exchanges are sending SMS/e-mails providing trade confirmation and details. In case I do not get any details or discover any discrepancy, I shall report to the broker in writing. I further undertake to inform the broker in writing in case there are any changes in given mobile/telephone number and e-mail id.

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

12. I am aware that broker is under obligation for carrying out due diligence of its clients on a continuous basic. Therefore, I undertake to provide explanation and documentary evidence for my transactions showing sources and arrangement of money in case of buying, and sources of delivery in case of selling particularly in cases of derivative trading where settlement can be through delivery instead of cash settlement.

\* Strike off the clauses not relevant to you.

Thanking you,

Yours faithfully,

**Client Signature**

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

 \_\_\_\_\_

**Client Signature**

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

**(DISCLOSURE TO CLIENT)**

To,  
..... (Fill Client Name & Address)  
.....

Sir,  
As per exchange notification, we hereby inform you that, we do client based business and trading on our own account also.

Thanks and best regards  
For Farsight Securities Ltd.

(Authorized Signatory)  
I acknowledge receipt of your information that you do client based business and Pro account trading.

 \_\_\_\_\_  
(Client Signature)



**Farsight Securities Ltd.**

Trading Member NSE, BSE, MCX

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

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

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

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

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

Sr. No.	Name of Adult Co-parceners	Signature of Adult Co-parceners	Relation
1.		⊗	
2.		⊗	
3.		⊗	
4.		⊗	
5.		⊗	
6.		⊗	
7.		⊗	

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

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

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

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



# Additional KYC Form for Opening a CDSL Demat Account

## For Non-individuals

FARSIGHT SECURITIES LIMITED. 17A/55 TRIVENI PLAZA GURUDWARA ROAD KAROL BAGH NEW DELHI-110005

(To be filled by the Depository Participant)

Application No.		Date																			
DP Internal Reference No.																					
DP ID												Client ID									

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/ our name as per following details :-

### Holders Details

Sole / First Holder's Name		Search Name		PAN																		
Second Holder's Name				PAN																		
Third Holder's Name				PAN																		
				UID																		

<b>Name *</b>	
<p>*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.</p>	

<b>Type of Account</b> (Please tick whichever is applicable)	
<b>Status</b>	<b>Sub - Status</b>
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FI <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____	<b>To be filled by the DP</b>
SEBI Registration No. (If Applicable)	SEBI Registration date
RBI Registration No. (If Applicable)	RBI Approval date
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____

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] <input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further instruction from my / our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be Physical)	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic

### Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange	
Name of CC / CH	
Clearing Member Id	Trading member ID
I / We wish to receive dividend / interest directly in to my bank account given below through ECS (if not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time ]	
<input type="checkbox"/> Yes <input type="checkbox"/> No	

**Bank Details [Dividend Bank Details]**

Bank Code (9 digit MICR code)										
IFS Code (11 character)										
Account number										
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____									
Bank Name										
Branch Name										
Bank Branch Address										
City		State		Country		PIN code				

- (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
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.
  - In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

<b>Other Details</b>									
Gross Annual Income Details	Income Range per annum: <input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs. 25,00,000 to Rs. 1,00,00,000 <input type="checkbox"/> More than Rs. 1,00,00,000								
Net worth as on (Date)	<table border="1" style="display: inline-table;"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table> Rs	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
<i>[Net worth should not be older than 1 year]</i>									
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) <input type="checkbox"/> . Please provide details as per Annexure 2.2 A.									
Any other information:									

<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	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).													
<b>Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure – 2.6</b>	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. <table border="1" style="margin-left: 20px;"> <tr> <td>Yes</td> <td><input type="checkbox"/></td> </tr> <tr> <td>No</td> <td><input type="checkbox"/></td> </tr> </table> I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="margin-left: 20px; width: 100%;"> <thead> <tr> <th style="text-align: center;"><u>Stock Exchange Name/ID</u></th> <th style="text-align: center;"><u>Clearing Member Name</u></th> <th style="text-align: center;"><u>Clearing Member ID (Optional)</u></th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	<u>Stock Exchange Name/ID</u>	<u>Clearing Member Name</u>	<u>Clearing Member ID (Optional)</u>						
Yes	<input type="checkbox"/>													
No	<input type="checkbox"/>													
<u>Stock Exchange Name/ID</u>	<u>Clearing Member Name</u>	<u>Clearing Member ID (Optional)</u>												
<b>Easi</b>	To register for <b>easi</b> , please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . <b>Easi</b> allows a BO to view his ISIN balances, transactions and value of the portfolio online.													

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the 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 further agree that any false/ misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature			

**(In case of more authorised signatories, please add annexure)**

***(Signatures should be preferably in black ink).***

===== (Please Tear Here)  
=====

**Acknowledgement Receipt**

**Application No.:** \_\_\_\_\_ **Date:** \_\_\_\_\_

We hereby acknowledge the receipt of the Account Opening Application Form:

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

**Depository Participant Seal and Signature**

=====

**Office use only**

OPTY ID / SR Number : \_\_\_\_\_

**FATCA / CRS declaration and details for entities**

**Part A – Preliminary details (All fields mandatory)**

Sr No	Particulars	Details of Applicant												
1.	<b>Customer Relationship Number (CRN) of the entity</b> [if any]													
2.	<b>Name of the Entity</b>													
3.	<b>Address for Tax Residence</b> (including city, state, country and pin code)													
4.	<b>Address Type (Business or registered office)</b>													
5.	<b>Entity Constitution Type.</b> (Refer Instruction 6 in annexure)													
6.	<b>Do you satisfy any of the criteria mentioned below?</b>													
	a. Is the entity a U.S. person (Please refer 'other definitions' in the instructions)	Yes _____ NO _____ (Please answer D) (Please go to C) Entity's exemption code: _____ (Refer instruction 5 in annexure)												
	b. Is the entity a Specified US Person	Yes _____ No _____ (Please go to next question) (Please go to next question)												
	c. Is the entity formed/incorporated outside India	Yes _____ No _____ <<If yes, please specify city and country of incorporation/formation>> (Please go to next question)												
	d. Is the entity having Tax Residency in any country (ies) other than india	Yes _____ << If yes, please provide the following details>> No _____ (Please go to next question) <table border="1"><thead><tr><th>Country of Tax residency</th><th>Tax Identification No. / Functional equivalent of the foreign country</th><th>Tax Identification document#</th></tr></thead><tbody><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr></tbody></table> #In case Tax Identification Number is not available, kindly provide functional equivalent or Company Identification Number or Global Entity Identification Number	Country of Tax residency	Tax Identification No. / Functional equivalent of the foreign country	Tax Identification document#									
Country of Tax residency	Tax Identification No. / Functional equivalent of the foreign country	Tax Identification document#												
7.	<b>Is the entity a Financial Institution (FI)</b> (including an Foreign Financial Institution) (refer instruction 1 in annexure) <b>Or</b> <b>A Direct Reporting NFFE</b> (Refer 'other definitions' in Annexure)	Yes _____ No _____ (Please fill Part B) (Go to next question)												
8.	<b>Is the entity a publicly traded corporation / a related entity of a publicly traded corporation / Active NFFE</b> (For clarification, refer instruction 3 in Annexure)	Yes _____ No _____ (Please fill Part C) (Please go to Part D)												

**Part B – If your answer to question 7 in Part A is a YES, please provide details in relation to Financial Institutions/ Foreign Financial Institutions or Direct Reporting NFFEs**

Particulars	Details of applicant
<p>The entity is:</p> <p>1. <u>Financial Institution</u> <input type="checkbox"/></p> <p>2. <u>Direct Reporting NFFE</u> <input type="checkbox"/></p>	<p><b>Global Intermediary Identification Number (GIIN)</b></p> <p><i>Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN and name below:</i></p> <p>Name of sponsoring entity: _____  <i>(For clarification, refer 'Other Definitions' in the Annexure)</i></p> <p>Sponsoring Entity's GIIN: _____  <i>(If GIIN provided, please go directly to the declaration and acknowledgment)</i></p>
<p><b>If GIIN not available [tick any one]: (Not applicable to Direct Reporting NFFE)</b></p>	<p>a. Not obtained: <input type="checkbox"/> b. Applied for <input type="checkbox"/> _____ [insert application date]</p> <p>c. GIIN not required <input type="checkbox"/></p> <p><b>Please specify reasons:</b> _____</p> <p><b>Please insert code:</b> _____  <i>(Mention Code – For clarification, refer instruction 2 in Annexure)</i>  <i>(Please go to Declaration and Acknowledgment)</i></p>

**Part C – If your answer to question 8 in Part A is a YES, please provide following details:**

Sr No	Particulars	Details of applicant
1.	<p><b>a. Are you a publicly traded company?</b>  <i>(Refer 'Instruction 3' in the annexure)</i></p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/>  <i>[Please fill C1(b)] (Please fill C2)</i></p>
	<p><b>b. Are your shares regularly traded on a recognized stock exchange</b></p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/>  <i>(Please fill C2)</i></p> <p><b>If yes, please provide name of the stock exchange where the shares are regularly traded:</b>                      1. _____ 2. _____  <i>(Please go to Declaration and Acknowledgment)</i></p>
2.	<p><b>Are you a related entity# of a listed company mentioned in Part C (1) above</b>                      # <i>Related entity – An entity is a related entity of another entity if either entity controls the other entity or the two entities are under common control</i></p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/>                      Nature of relation with the related entity: _____ <i>(Please fill C3)</i></p> <p>Subsidiary of the listed company  <input type="checkbox"/> Controlled by a listed company</p> <p><b>If yes, please provide name of the related entity that is listed :</b>                      _____</p> <p><b>Name of the stock exchange where the shares of the related listed entity are regularly traded:</b>                      1. _____  <i>(Please go to Declaration and Acknowledgment)</i></p>
3.	<p><b>Entity is an Active NFFE</b></p>	<p>Please specify nature of business _____</p> <p>Category: _____ <i>(Refer codes in Instruction 3)</i>  <i>(Provide UBO details in Part D and go to Declaration and Acknowledgment)</i></p>

**part D – If your answer to question 8 in Part A is a NO, please provide following details:**

Entity is an Passive NFFE:  Entity is Active NFFE:   
 (other than Direct reporting NFFE)

Please specify nature of business: \_\_\_\_\_

**Provide details of all UBO/s or Controlling person/s, [natural persons as per PMLA] (including Owner Documented FFI's [For clarification, refer 'Other Definitions' in the Annexure]) in the table below**

Are you an Owner-documented FFI's - Yes  No

If 'Yes', in addition to the below details, please provide a duly filled form W8BEN E along with FFI Owner Reporting Statement and Auditor's Letter.

If 'No', Please provide below details only.

Name of UBO	Date of Birth	Gender	Country of Tax residency	Nationality	Residence address for tax purposes	Fathers name (If PAN not available)	Tax identification number or equivalent & Tax identification/ functional equivalent document	Identification document: Passport/ PAN etc.	City and Country of Birth	UBO Code (For clarification, refer Instruction 7 in the Annexure)

Note: In case of a multiple intermediaries, please provide the shareholding / controlling structure of each such intermediary/ies.

A. If any of the UBO is a resident / citizen of 'other than India' or citizen / tax resident equivalent / Social Security Number [SSN] / green card holder of country, please provide Taxpayer ID number or

B. Submit documentary proof like shareholding pattern duly self-attested by Authorized Signatory / Company Secretary

C. If number of UBOs are greater than 4 or the space required is insufficient, information in the given format can be given in additional sheets

Please also fill the Beneficial Owner Customer Relation Form for the UBOs

**Declaration & Acknowledgement**

I / We \_\_\_\_\_ being the beneficial owner of the account opened / to be opened with FSL and the income credited therein information in the submitted documents to be true, correct and updated, and the submitted documents are genuine and duly executed

I / We acknowledge that towards compliance with tax information sharing laws, such as FATCA / CRS, the office may be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from the account holder. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if the office does not receive a valid self-certification from me) the office may be obliged to share information on my account with relevant tax authorities. Should there be any **change in any information provided by me, I ensure that I will intimate the FSL promptly, i.e., within 30 days.**

Towards compliance with such laws, the FSL 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, the FSL may also be constrained to withhold and pay out any sums from my account or close or suspend my account(s).

Customer / Authorized person Signature & Designation \_\_\_\_\_

Date \_\_\_\_\_



**PART II – ACCOUNT OPENING FORM**



**FARSIGHT SECURITIES LTD.**

Depository Participant : NSDL, DP - ID - IN301766

Depository Participant : CDSL, DP - ID - 12056300

SEBI Regn No. : IN-DP-CDSL-442-2008

7-A/55, Farsight Triveni Plaza, Gurudwara Road, Karol Bagh, New Delhi-110005

EAPBX: 011-4504-4444 (30 Lines) Fax: 011-45044434 | E-mail : demat@farsightshares.com

**FARSIGHT SECURITIES LTD.  
DEPOSITORY SERVICES TARIFF SHEET**

Sl. No.	Particulars	Corporate	Individual/HUF		
			A	B	C
1.	Account Opening	NIL	NIL	NIL	NIL
2 (i.)	Annual Maintenance	Rs. 500/-	Rs. 300/-	First Year 999 Subsequent year NIL	NIL
(ii.)	Annual Maintenance Charges By Depositories	Rs. 500 /-	NIL	NIL	NIL
3	Dematerialisation	Rs. 15/- Plus Rs. 3/- per Certificate (Courier Charges Rs. 30/- Extra)	Rs. 15/- Plus Rs. 3/- per Certificate (Courier Charges Rs. 50/- Extra)		
4	Rematerialisation	Rs. 15/- Plus Rs.20/- for every 100 securities whichever is higher (Courier Charges Rs. 50/- Extra)	Rs. 15/- Plus Rs. 20/- for every 100 securities whichever is higher (Courier Charges Rs. 50/- Extra)		
5.	Transaction Charges				
	Delivery In-coming	NIL	NIL		
	Delivery Out-going (per transaction) (through Speed-E, POA/ Electronic mode)	Rs. 12/-	Rs. 12/-	Rs. 18/-	Rs. 30/-
	Physical DIS ( per transaction	Rs. 17/-	Rs. 17/-	Rs. 23/-	Rs.35/-
6.	Instruction booklet (DIS)	(Rs. 30/- for 10 Leaves)	(Rs. 30/- for 10 Leaves)		
7.	Pledge Creation/Closure/ Invocation (per transaction)	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-
8.	KRA/KYC - uploading/Modification	Rs.250/-	Rs.100/-	Rs.100/-	Rs.100/-
9.	KRA/KYC/ UCC through online Aadhar Verification (per Transaction)	N.A.	Rs. 300/-	Rs. 300/-	Rs. 300/-

**Note: GST/ Stamp Duty wherever applicable is extra.**


N. B. :

- Any other services not specified above shall be charged extra.
- Rejection charges on failure of instruction `20/ per instruction shall be charged.
- Non - execution of delivery instruction due to any problem / error `30/- per communication / dispatch.
- Physical DIS execution charges `10/- per slip extra.
- Charges / Services standards are subject to revision at Depository Participants discretion after giving 30 days notice.
- In case of Demat rejection postage shall be charged @ 30/- for dispatch to the Client for removal of objection.
- In case of Non-Payment of the bill within 30 days from the date of bill, Interest @ 1.5% p.m. will be charged.
- The depository services are liable to be discontinued on such default. The renewal charges will be `100/-.
- Statements of accounts will be mailed by ordinary post only, at free of cost. Statements can be provided by courier with extra charges of `30/- per dispatch.
- Amount charged by NSDL/CDSL for CAS will be charge extra.
- Client Master Charge `20/- Per Request.
- Taxes and other government levies extra as applicable from time to time.
- Charges for transaction value from `5 to 20 lac `50/- and transaction value above 20 lac `80/- per Instruction extra.
- DP reserves the right not to execute the delivery instruction in case where service charges are outstanding.
- Client will maintain minimum `200/- as an advance payment which will be adjusted against future bills.
- `10/- per page for holding / transaction / financial accounts for extra statements.
- Please Place my /our Account under Scheme A \_\_\_\_\_/B \_\_\_\_\_/C \_\_\_\_\_/BSDA \_\_\_\_\_


#### HOLDER'S SIGNATURES

 **D 9.1** \_\_\_\_\_

First Holder

 **D 9.2** \_\_\_\_\_

Second Holder

 **D 9.3** \_\_\_\_\_

Third holder

For Farsight Securities Ltd

(Authorised Signatory)

Received Copy

 **D 10** \_\_\_\_\_

Client(s) Signature