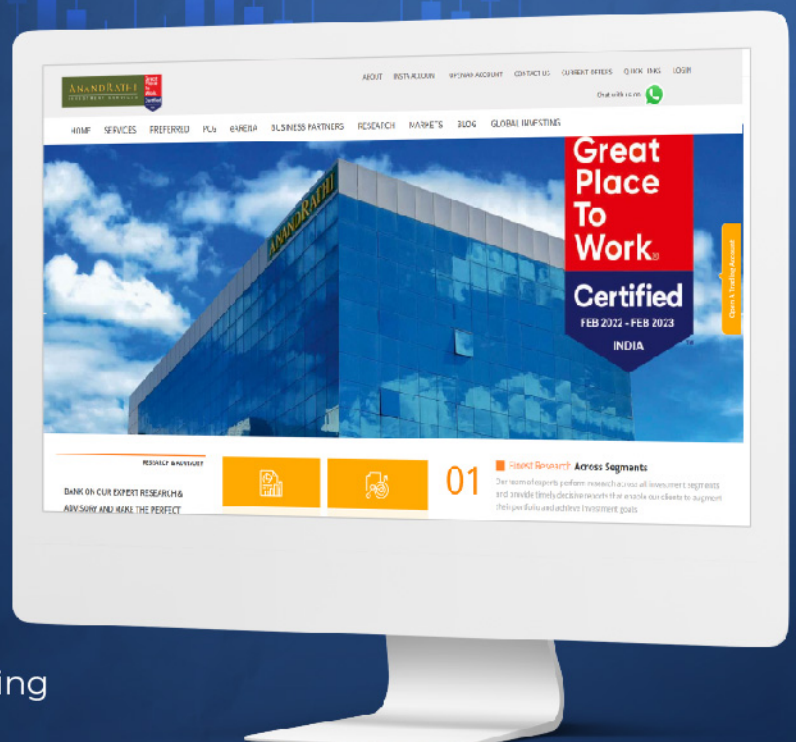




ANANDRATHI
INTERNATIONAL VENTURES(IFSC)
Global Investments Simplified

INDIVIDUAL

CLIENT ENROLLMENT FORM



giftifsc@rathi.com
www.anandrathi.com/GlobalInvesting



ANANDRATHI
INTERNATIONAL VENTURES(IFSC)
Global Investments Simplified

CLIENT ENROLLMENT FORM

Form No.

Client Code

Branch Code

PRODUCTS

- ☐ Equity Derivatives
- ☐ Index Derivatives
- ☐ Commodity Derivatives
- ☐ Currency Derivatives
- ☐ Debt
- ☐ NSE IFSC Receipt

EXCHANGES

- ☐ INDIA INX
- ☐ NSE IFSC

For Assistance

079 - 61340200

+971 52 231 2924



Form No.

Date

**Anand Rathi International Ventures (IFSC) Private Limited
Acknowledgement (Office Copy)**

Equity Derivatives	Index Derivatives	Commodity Derivatives	Currency Derivatives	Debt	NSE IFSC Receipt
<input type="checkbox"/> INDIA INX	<input type="checkbox"/> INDIA INX	<input type="checkbox"/> INDIA INX	<input type="checkbox"/> INDIA INX	<input type="checkbox"/> INDIA INX	<input type="checkbox"/> NSE IFSC
<input type="checkbox"/> NSE IFSC	<input type="checkbox"/> NSE IFSC	<input type="checkbox"/> NSE IFSC	<input type="checkbox"/> NSE IFSC	<input type="checkbox"/> NSE IFSC	

Executive Name

Executive Signature

I have read and understood all the clause of Right and Obligation (Trading), Risk Disclosure Document (RDD), Tariff sheet, Guidance Note detailing DO's and Don'ts for Trading, Product Disclosure Statement' (PDS) and 'Master Deed Poll' (MDP) Policies and Procedure.

Further I/We, wish to receive the above-mentioned documents by:

Electronic Mode ☐ OR Physical Mode ☐

I/We acknowledge the receipt of copy of executed client registration form, Right and Obligation (Trading), Risk Disclosure Document (RDD), Tariff sheet, Guidance Note detailing DO's and Don'ts for Trading, Product Disclosure Statement' (PDS) and 'Master Deed Poll' (MDP) Policies and Procedure.

Client Signature

x

Form No.

Date

**Anand Rathi International Ventures (IFSC) Private Limited
Acknowledgement (Client Copy)**

Equity Derivatives	Index Derivatives	Commodity Derivatives	Currency Derivatives	Debt	NSE IFSC Receipt
<input type="checkbox"/> INDIA INX	<input type="checkbox"/> INDIA INX	<input type="checkbox"/> INDIA INX	<input type="checkbox"/> INDIA INX	<input type="checkbox"/> INDIA INX	<input type="checkbox"/> NSE IFSC
<input type="checkbox"/> NSE IFSC	<input type="checkbox"/> NSE IFSC	<input type="checkbox"/> NSE IFSC	<input type="checkbox"/> NSE IFSC	<input type="checkbox"/> NSE IFSC	

Executive Name

Executive Signature

Anand Rathi International Ventures (IFSC) Private Limited

CIN : U65999GJ2016PTC094915

Registered Office

Unit No. 634 Signature Tower, 6th Floor, Block 13B Zone –1 GIFT SEZ,
GIFT City, Gandhinagar Gujarat, India-382355

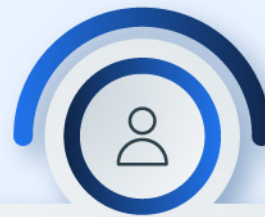
Tel.: 079-6134 0200



CEO

Mr. Chetan Bharkhada

chetanbharkhada@rathi.com



Compliance Officer

Mr. Deepak Kedia

deepakkedia@rathi.com

For any grievance / dispute please contact Anand Rathi International Ventures (IFSC) Private Limited at the above address or email id ifscgrievance@rathi.com and Phone no. 079-6134 0200. In case not satisfied with the response, please contact India International Exchange (IFSC) Ltd. at investorassistance@indiainx.com and Phone no. +91-79-61993100 OR NSE IFSC Limited at igr@nseifsc.com and Phone no. +91-79-66743609/10.

"Please note that we Brokers are undertaking proprietary trading in our own account in addition to client base business."

INDIA INX : 5064

NSE IFSC LIMITED : 10048

IFSCA/SEBI REGISTRATION NO. : INZ000292939

INDEX

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI/IFSCA & EXCHANGES

Name of the Document	Brief Significance of the Document	PAGE(s)
Account Opening Form	<p>KYC form - Document captures the basic information about the constituent and an instruction/check list.</p> <ul style="list-style-type: none"> Individual Clients <p>Document captures the additional information about the constituent relevant to trading account:</p>	1-9
Tariff sheet	Details the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	10-11
Consent Letter	Aadhar Consent Letter	12
Rights and Obligations	Document stating the Rights & Obligations of Trading Member and client for trading on exchanges.	Provide to client
Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market:	Provide to client
Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors	Provide to client
Policies and Procedures	Document describing significant Policies and procedures of the Stock Broker	Provide to client
Product Disclosure Statement' (PDS) and 'Master Deed Poll' (MDP)	Applicable for clients trading in NSE IFSC Receipts	Provide to client
W - 8BEN – For Individual	Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting	13
Mobile Number/Email Id	Declaration of mobile number/email id	14
VOLUNTARY DOCUMENTS AS PROVIDED BY THE TRADING MEMBER		
ECN	Letter of Authorization for Electronic Contract Notes.	15
LOA	Letter of Authority	16
Acknowledgement	Acknowledgement Receipt	17

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual
Important Instructions:

- A) Fields marked with '*' are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the form in English and in BLOCK letters.
 D) Please fill the date in DD-MM-YYYY format.
 E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
 F) Please read section wise detailed guidelines / instructions at the end.
 G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 H) List of two character ISO 3166 country codes is available at the end.
 I) KYC number of applicant is mandatory for update application.
 J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode


For office use only

Application Type*

☐ New ☐ Update

(To be filled by financial institution)

KYC Number:

(Mandatory for KYC update request)

Account Type*

☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)

☐ **1. PERSONAL DETAILS*** (Please refer instruction A at the end)

Prefix

First Name

Middle Name

Last Name

☐ Name* (Same as ID proof)

Maiden Name

Father / Spouse Name

Mother Name

Date of Birth*

 Marital Status (kindly tick): ☐ Married ☐ Unmarried ☐ Others

Gender*

☐ M- Male

☐ F- Female

☐ T-Transgender

PAN*

☐ Form 60 furnished

☐ **2. PROOF OF IDENTITY AND ADDRESS*** (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number

☐ B-Voter ID Card

☐ C-Driving Licence

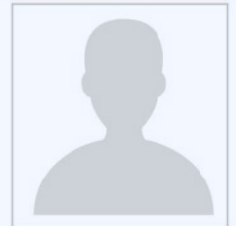
☐ D-NREGA Job Card

☐ E-National Population Register Letter

☐ F-Proof of Possession of Aadhaar

 II ☐ E-KYC Authentication

 III ☐ Offline verification of Aadhaar

☐ **PHOTO***

Address

 Line 1*

 Line 2

 Line 3

 District* Pin/Post Code* State/U.T Code* City / Town / Village* ISO 3166 Country Code*
☐ **3. CURRENT ADDRESS DETAILS** (Please refer instruction B at the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number

☐ B-Voter ID Card

☐ C- Driving Licence

☐ D-NREGA Job Card

☐ E- National Population Register Letter

☐ F - Proof of Possession of Aadhaar

 II ☐ E-KYC Authentication

 III ☐ Offline verification of Aadhaar

 IV ☐ Deemed Proof of Address - Document Type code

 V ☐ Self Declaration

Address

 Line 1*

 Line 2

 Line 3

 District* Pin / Post Code* State/U.T Code* City / Town / Village* ISO 3166 Country Code*

[illegible]

☐ S- Service (Private Sector, Public Sector, Government Sector) ☐ O –Others (Professional, Self Employed, Retired, Housewife, Student)

☐ B – Business ☐ X – Not categorized

- I hereby declare that the details furnished above are true and correct to the best of my 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 aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date :

D	D
---	---

 -

M	M
---	---

 -

Y	Y	Y	Y
---	---	---	---

[illegible]

Signature / Thumb Impression of Applicant

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process

☐ Equivalent e-document ☐ Video Based KYC

KYC VERIFICATION CARRIED OUT BY

[illegible]

INSTITUTION DETAILS

Name	Anand Rathi International Ventures (IFSC) Private Limited
Code	

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form
A Clarification / Guidelines on filling 'Personal Details' section

- 1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory : Mother's name, Spouse's name, Father's name.

B Clarification / Guidelines on filling 'Current Address details' section

- 1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address':

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.
- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository

C 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.

D Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

List of two digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State/U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra & Nagar Haveli and Daman & Diu	DD	Maharashtra	MH	Uttar Pradesh	UP
Ladakh	LA	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GO	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Island	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Island	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Moyotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SI
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NZ	Taiwan province of china	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hongkong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire ICote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion IReunion	RE	Virgin Island, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao ICuracao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy ISaint BartheJemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kittsand Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French Part)	MF		

TRADING ACCOUNT RELATED DETAILS

SECTION A

BANK ACCOUNT(S) DETAILS

BANK NAME

BRANCH NAME

BRANCH ADDRESS

CITY/TOWN/VILLAGE

PIN CODE

STATE

COUNTRY

ACCOUNT NUMBER

*MICR NUMBER

*IFSC/SWIFT CODE

ACCOUNT TYPE

☐ CURRENT☐ SAVINGS☐ NRI / NRE / NRO☐ OTHERS (Please Specify)

SECTION B

DEPOSITORY ACCOUNT(S) DETAILS

DEPOSITORY PARTICIPANT NAME

DEPOSITORY NAME

DEPOSITORY PARTICIPANT ID

BENEFICIARY NAME

BENEFICIARY ID (BO ID)

SECTION C

TRADING PREFERENCES

☐ I/WE WOULD LIKE TO TRADE ON THE INDIA INX F&O SEGMENT
☐ EQUITY DERIVATIVES ☐ INDEX DERIVATIVES ☐ COMMODITY DERIVATIVES
☐ CURRENCY DERIVATIVES ☐ DEBT

X

CLIENT SIGNATURE

☐ I/WE WOULD LIKE TO TRADE ON THE NSE IFSC F&O SEGMENT
☐ EQUITY DERIVATIVES ☐ INDEX DERIVATIVES ☐ COMMODITY DERIVATIVES
☐ CURRENCY DERIVATIVES ☐ DEBT

X

CLIENT SIGNATURE

☐ I/WE WOULD LIKE TO TRADE ON THE NSE IFSC RECEIPT

X

CLIENT SIGNATURE

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

SECTION D

PAST ACTION

Details of any action/proceedings initiated/pending/ taken by SEBI/IFSCA/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:

SECTION E

DEALINGS THROUGH OTHER STOCK BROKERS

Whether dealing with any other stock broker (in 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:

SECTION F

ADDITIONAL DETAILS

• Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):

Specify your Email id, if applicable:

• Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):

• Number of years of Investment/Trading Experience:

• Any other information:

SECTION G

PEP DETAILS

• Please tick, if applicable: ☐ Politically Exposed Person(PEP) ☐ Related to a Politically Exposed Person(PEP) ☐ None

SECTION H

OTHER DETAILS

• Gross Annual Income Details: ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ >25 Lac

OR

• Net-worth in Rs. _____ as on (date) _____

SECTION I

INTRODUCER DETAILS (Optional)

Name of the Introducer: _____

Surname

Name

Middle Name

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

Address and phone No. of the Introducer: _____

Signature of the Introducer: _____

Nomination Form

☐ I/We wish to make a nomination (As per details given below) ☐ I/We do not wish to make a nomination (Strike off the nomination details below)

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination Details

Nomination can be made upto three nominees in the account.

Details of 1st NomineeDetails of 2nd NomineeDetails of 3rd Nominee

Name of the nominee(s) (Mr./Ms.)			
Share of each Nominee	<input type="checkbox"/> Equally, Specify Percentage _____ %	<input type="checkbox"/> Equally, Specify Percentage _____ %	<input type="checkbox"/> Equally, Specify Percentage _____ %
Any odd lot after division shall be transferred to the first nominee mentioned in the form.			
Relationship With the Applicant (If Any)			
Address of Nominee(s)	City _____ State _____ Country _____ PIN Code _____	City _____ State _____ Country _____ PIN Code _____	City _____ State _____ Country _____ PIN Code _____
Mobile/Telephone No. of nominee(s) #			
Email ID of nominee(s) #			
Nominee Identification details (Please tick any one of following and provide details of same)	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID _____	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID _____	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID _____

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:

Date of Birth (in case of minor nominee(s))			
Name of Guardian (Mr./Ms.) (in case of minor nominee(s))			
Address of Guardian(s)	City _____ State _____ Country _____ PIN Code _____	City _____ State _____ Country _____ PIN Code _____	City _____ State _____ Country _____ PIN Code _____
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)	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID
--	--	--	--

Name(s) of holder(s)		Signature(s) of holder*
Sole / First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

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

Note
This nomination shall supersede any prior nomination made by the account holder(s), if any.
The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

Declaration Form for opting out of nomination

Date			
Trading Member/Participant's Name	Anand Rathi International Ventures (IFSC) Private Limited		
Trading Member/Participant's Address	Unit No. 634 Signature Tower, 6th Floor, Block 13B Zone –1 GIFT SEZ, Giff City, Gandhinagar Gujarat, India-382355		
UCC/DP ID		Client ID (only for Demat account)	
Sole/First Holder Name			
Second Holder Name			
Third Holder Name			

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.

Name and Signature of Holder(s)*

--	--	--

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

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), 'Risk Disclosure Document', Product Disclosure Statement (PDS) and Master Deed Poll (MDP), as may be applicable to me. 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.

Place: _____

Date: _____

x

Signature of Client/ (all)

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

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

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD, Guidance Note, Product Disclosure Statement (PDS) and Master Deed Poll (MDP), as may be applicable to them. 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 nonmandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations', RDD, PDS and MDP would be made available on my/our website, if any, for the information of the clients.

Date: _____

x

Signature of the Authorised Signatory

INSTRUCTIONS/CHECK LIST

1. Additional documents in case of trading in derivatives - 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. As per SEBI Circular No. IMD/FPI&C/CIR/P/2019/124 dated November 05, 2019, registered FPIs ("FPIs"), proposing to operate in IFSC, shall be permitted, without undergoing any additional documentation and/or prior approval process.
4. Demat master or recent holding statement issued by DP bearing name of the client.
5. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker.
 - 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.
6. 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.

TARRIF SHEET

To,
Anand Rathi International Venture (IFSC) Private Limited

Dear Sir or Madam, I would like to subscribe to the Anand Rathi International Venture (IFSC) Private Limited for trading account and request Anand Rathi International Venture (IFSC) Private Limited to apply brokerage charges as mentioned and as per the terms and conditions of Anand Rathi International Venture (IFSC) Private Limited.

BROKERAGE TARRIF STRUCTURE	
Future (\$)	
Option (\$)	
NSE IFSC RECEIPT	

Other Charges,

1. Trading Account opening charges is USD 10/- including GST.
2. IFSCA Turnover Fee, GST, Stamp Duty, and Transaction charges will be levied separately from brokerage as applicable from time to time.

CLIENT'S NAME	
x	Date
Signature of Client/ (all)	

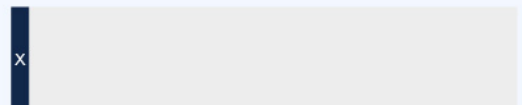
FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

CLIENT NAME	
Indicate () your Tax Residency/ Citizenship / Nationality	<input type="checkbox"/> India <input type="checkbox"/> USA or Other _____
If ticked on "Others" and/or "U.S.A", please provide all details under point no. 2,3,4,5 below:	
Specify City and Country of Birth	
Specify Country(ies) of Tax Residency/ Citizenship / Nationality / Green card holder, other than India	
Tax Identification Number (for U.S.A.) or its functional equivalent (other than U.S.A.)	
Source of Wealth	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental <input type="checkbox"/> Income <input type="checkbox"/> Royalty <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money OR Others _____

DECLARATION

I / We hereby declare, agree and confirm the following:

- a) The details furnished above are true to the best of my knowledge and belief and shall undertake to inform Anand Rathi International Venture (IFSC) Private Limited within 30 days, in case of any change in the above given status on a future date;
- b) If I/we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by Anand Rathi International Venture (IFSC) Private Limited to the relevant tax authority. or information may be shared with concerned Asset Management Companies (AMCs) or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India;



Signature of Client/ (all)

AADHAR CONSENT LETTER

To,
Anand Rathi International Ventures (IFSC) Private Limited
Unit No. 634 Signature Tower, 6th Floor, Block 13B Zone –1 GIFT SEZ, Gift City, Gandhinagar Gujarat, India-382355

Subject: Consent to use Aadhaar card copy

Ref : Application for New Client

Dear Sir,

I the undersigned _____, understand that I can submit either of the following document copy as an address proof for registration.

☐ Voter ID Card ☐ Driving License ☐ Passport ☐ Ration Card ☐ Aadhaar Card ☐ Utility Bills (shall not be more than two months old)

I willingly give my consent to Anand Rathi International Ventures (IFSC) Private Limited to accept copy of my Aadhaar card and proceed with the referred application.

Client Code/ DP ID: _____

Thanking you,

Yours Sincerely.

Name: _____

x

Signature of the Aadhaar Card Owner

Form **W-8BEN**

(Rev. October 2021)

Department of the Treasury
Internal Revenue Service**Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

For use by individuals. Entities must use Form W-8BEN-E.

Go to www.irs.gov/FormW8BEN for instructions and the latest information.

Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form if:

- You are NOT an individual W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services) W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States 8233 or W-4
- You are a person acting as an intermediary W-8IMY

Instead, use Form:**Note:** If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.**Part I Identification of Beneficial Owner** (see instructions)

1 Name of individual who is the beneficial owner	2 Country of citizenship
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.	
City or town, state or province. Include postal code where appropriate.	Country
4 Mailing address (if different from above)	
City or town, state or province. Include postal code where appropriate.	Country
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	
6a Foreign tax identifying number (see instructions)	6b Check if FTIN not legally required <input type="checkbox"/>
7 Reference number(s) (see instructions)	8 Date of birth (MM-DD-YYYY) (see instructions)

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____.

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: _____

Part III Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes;
- The person named on line 1 of this form is not a U.S. person;
- This form relates to:
 - (a) income not effectively connected with the conduct of a trade or business in the United States;
 - (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
 - (c) the partner's share of a partnership's effectively connected taxable income; or
 - (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country; and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.****Sign Here**☐ I certify that I have the capacity to sign for the person identified on line 1 of this form.

Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY)

Print name of signer

DECLARATION OF MOBILE NUMBER/ EMAIL ID

Date:

To,

Anand Rathi International Ventures (IFSC) Private Limited

Unit No. 634 Signature Tower, 6th Floor, Block 13B Zone –1 GIFT SEZ, Gift City, Gandhinagar Gujarat, India-382355

I/We _____ hereby declare that the Mobile No. _____ With Relation: ☐ Self☐ Spouse ☐ Dependent – Child ☐ Dependent - Parent. Or Authorized Person in : ☐ Corporate/Trust/Partnership Firm / HUF Account

And Email ID _____

☐ Spouse ☐ Dependent – Child ☐ Dependent - Parent. Or Authorized Person in : ☐ Corporate/Trust/Partnership Firm /HUF AccountBelongs to Mr./Mrs./Ms. _____ For ☐ Email ☐ Mobile ☐ BothBelongs to Mr./Mrs./Ms. _____ For ☐ Email ☐ Mobile ☐ Both

I/We request you to update the same in my trading and Demat account and send all the Confirmations and other communication through SMS and EMAIL ID.

Further I/We hereby agree & undertake to indemnify and keep indemnified and save harmless you from against all claims/ demands/ penalties/suits/action or any loss or damaged suffered or incurred by you as Consequence of such instruction.

Please provide detail as mentioned below :- For ☐ Email ☐ Mobile ☐ Both

Relation	Name	Trading code	Demat Account No.
Spouse			
Dependent – Child / Parents			
Corporate/Trust/Partnership Firm / HUF Account			

For ☐ Email ☐ Mobile ☐ Both (If Relationship differ as mentioned in Belong to with Email / mobile Relationship)

Relation	Name	Trading code	Demat Account No.
Spouse			
Dependent – Child / Parents			
Corporate/Trust/Partnership Firm / HUF Account			

Client Code : _____ Demat ID No. _____

Thanking You,

	1st Holder	2nd Holder	3rd Holder
Name			
Signature / Auth. Signatory			

ECN (LETTER OF AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES.)

To,
 Anand Rath International Ventures (IFSC) Private Limited
 Unit No. 634 Signature Tower, 6th Floor, Block 13B Zone –1 GIFT SEZ, Gift City, Gandhinagar Gujarat, India-382355

Dear Sir(s),

Sub: Request for sending Contract Notes, Account Statements / Documents etc. on My/our Email ID

I, _____ a client with
 Member Anand Rath International Ventures (IFSC) Private Limited of NSE IFSC, INDIA INX and IIBX Exchange undertake as follows:
 I/we aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I/we myself want the same in the electronic form.
 I/we aware that the Member has to provide electronic contract note for my convenience on my request only.
 Though the Member is required to deliver physical contract note, I/we find that it is inconvenient for me to receive physical contract notes. Therefore, I/we am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/us.
 I/we have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
 My email id is _____. This has been created by me/us and not by someone else.
 I/we am/are aware that this declaration form should be in English or in any other language known to me/us.
 I/we am/are aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me/us. I/we am/are aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

*(The email id must be return in own handwriting of the client.)

Client Name: _____

Unique Client Code : _____

PAN: _____

Address: _____

In case of any change in my/our said E-mail Id, I/We undertake to intimate the same to you in writing through a physical letter

Date: _____

x

CLIENT'S SIGNATURE

LOA (LETTER OF AUTHORITY)

Anand Rathi International Ventures (IFSC) Private Limited (ARIVPL)

Unit No. 634 Signature Tower, 6th Floor,
 Block 13B Zone –1 GIFT SEZ, Gift City,
 Gandhinagar Gujarat, India-382355

Dear Sirs,

Ref. Client Name & Code _____

Sub: Letter of Authority for INDIA INX/ NSE IFSC

I/We am/are dealing with you (INDIA INX/ NSE IFSC) and in order to facilitate ease of operations, I/We authorize you as under:

1. I/We authorizes to my attorney to set off outstanding in my/our accounts against credits available maintained with ARIVPL irrespective of the fact that such outstanding may pertain to transaction in any of the Exchange and/or against the value of cash margin or collateral securities provided to by me/us.
2. I/We request you to retain credit balance in any of my/our account and to use the idle funds towards my/our margin/future obligations at the Exchange unless I/We instruct you otherwise.
3. The client hereby authorizes the trading member to maintain a Running Account of the client in order to facilitate the transfer of funds across segments/retain credit balance/to set off outstanding.
4. I would like the mandatory settlement of the funds and securities (if applicable) as indicated below (tick against your preference).
☐ Monthly Basis ☐ Quarterly Basis
5. As and when I/We require the funds/ securities. I /We be informing you of the same and on receipt of the instructions from me/us, same may be released within one working day of the request after verification and if the amount is due as per ARIVPL.
6. To square off my/our position of transactions that are not delivery market during intraday trade.
7. The client agrees to bear interest @ 18% p.a. which would be charged on outstanding dues in order to meet up with the client's obligations temporarily.
8. I/We have been made aware of the company's policies & procedure.
9. The above authorization can be revoked at any point of time at the client's own discretion by giving written confirmation to ARIVPL.
10. I/We authorized you to reach out to me/ us for any confirmations like Order Verification, Delivery Confirmation, Trade Confirmation, Welcome call etc. through Call/ IVR, E-Mail/ SMS or other source of communication on the Mobile no. recoded/ registered with us, irrespective of User's registration with DND registry of TRAI.
11. I/We agree to auto-renew my/us consent after every 180 days until I/ we opt-out.

Date: _____

x

CLIENT'S SIGNATURE

ACKNOWLEDGEMENT RECEIPT

Anand Rathi International Ventures (IFSC) Private Limited (ARIVPL)

Unit No. 634 Signature Tower, 6th Floor,
 Block 13B Zone –1 GIFT SEZ, Gift City,
 Gandhinagar Gujarat, India-382355

Dear Sir,

Ref. Client Name & Code _____

I/We hereby wish to receive the below mentioned documents either electronically (email). I/We hereby acknowledge receipt of the following documents

NO	NAME OF DOCUMENT
1.	Rights & Obligations of stock broker/trading member, and client for trading on exchanges
2.	Risk Disclosure Document For Capital Market And Derivatives Segments
3.	Guidance Note - Do's And Dont's for Trading on the Exchange(s) for Investors
4.	Policies and Procedures
5.	Information on PMLA
6.	Product Disclosure Statement' (PDS) for NSE IFSC Receipts
7.	'Master Deed Poll' (MDP) for NSE IFSC Receipts
8.	All other mandatory and voluntary client registration documents

I/We hereby acknowledge the receipt of duly executed copy of KYC and all other documents as executed by me/us. Further I confirmed that the documents for KYC submitted by me are true and correct.

I/We understand that the Voluntary documents executed by me/us are out of my/our own free will.

I state that I have read and understood all above documents and these documents are binding upon me.

Yours faithfully,

Date: _____

x

CLIENT'S SIGNATURE

GLOBAL INVESTMENTS SIMPLIFIED



ANANDRATHI
INTERNATIONAL VENTURES(IFSC)
Global Investments Simplified

