Asit C. Mehta
INVESTMENT INTERRMEDIATES LTD.

Form No.:

Common Client Code:

BOID:

Account Opening Date:

Inward No:

BA Code:

KRA Complaint: Yes/No

CKYC Number (if available): ____________

INVESTPLUS ACCOUNT
Corporate Registration Kit

Cash Trading + Derivative + Currency Derivative + Depository Account + IPO + MF

INVESTMENTZ.COM
INVESTOR FIRST
BY ASIT C. MEHTA INVESTMENT INTERRMEDIATES LTD.

CHECKLIST

A. Important Points on form Filling.

Please take care of below points at the time of filling form

1. Form to be filled legibly in **BLOCK LETTERS** and in **BLACK INK** only
2. Enclose valid set of documents such as ID proof , Address proof , bank proof , Financial Proof (Mandatory for Derivative a/c only) , Entity documents as per check list given under Point No B.
3. All documents / Photocopies of documents submitted along with form should be Self-attested by client(s) / Authorized Signatories / Directors of the entity under Entity seal.
4. All Photocopy of documents submitted along with the form should be properly signed and stamped by authorized person of ACMIIL / Associates as per ACMIIL internal Circular.
5. If any proof is in Non English language, then translation into English is required.
6. Please mentioned Complete address on the form, it should not be short address. Where ever possible, room no, building name, road name, nearest known landmark should be mentioned.
7. In case of Correspondence & Registered office address are different, then proof for both the address should be submitted.
8. Name, Address, Bank details mentioned on the KYC form should match with the corresponding documentary proof submitted.
9. Please strike-off the Blank details on the form, which are not applicable.
10. Please affix (Do not staple) photographs of all holders / Authorized signatories / Directors / Partners / promoters at appropriate place provided & sign across the photograph as Partly is on the form & partly on the photograph.
11. Please submit KYC documents on A4 size paper only.
12. Please mention Brokerage scheme no at appropriate box on the form.
13. Please mention RC No / RC name where client's a/c would be mapped correctly on the form.
14. In case Cash / MF / IPO segment is opted then DP is mandatory.
15. Common KYC form to be duly filled & attach a set of documents mentioned in checklist.

B. List of Documents to be submitted along with Form for non-individuals Additionally.

Types of entity	Documentary requirements
Corporate	1. PAN card of the corporate entity. 2. PAN Proof of all authorized signatories to be submitted. 3. Proof of address of Registered office and correspondence Address such (Any 1 from listed below) a. Bank Statement b. Agreement for Sales or Leave and license agreement c. Acknowledgement copy of ITR d. Telephone bill or Electricity bill (Not more then 3 months old at the time of a/c opening) 4 . Memorandum and Articles of Association & Certificate of Incorporation of the Corporate Investor 5. Names of the authorized signatory (ies), designation, photograph and their signatures duly verified by Managing Director/Company Secretary – as per format given on the form. 6. Documents to be given on letterhead of the company. a. Declaration as given on the form. b. Copy of the Board Resolution for investment in securities market and opening of Demat account, as per format given on the form. c. Copy of latest share holding pattern including list of all those holding control, either directly orindirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). – As per format given on the form. 7. Copy of the balance sheets for the last 2 financial years (to be submitted every year). 8 PAN, proof of Address of whole time directors / two directors in charge of day-to-day operations. (As applicable for individual)

Partnership firm	A. Copy of the balance sheets for the last 2 financial years (to be submitted every year). B. Certificate of registration (for registered partnership firms only). C. Copy of partnership deed. D. Authorised signatories list with specimen signatures. E. Photograph, POI, POA, PAN of Partners. **<u>For Limited Liability Partnership firm (Additional Documents to be collected apart from mentioned above)</u>** A. Account shall be opened as: <“Company Name” Limited Liability Partnership> or <“Company Name” LLP>. B. Registration Certificate granted by the Registrar to the LLP under the LLP Act 2008. C. Declaration, on the letterhead of the LLP signed by all the designated partner/s clearly stating that the within named persons, who are designated partners of the LLP, have been nominated as authorized signatories to open and operate the said demat account on behalf of the LLP. D. The declaration shall specify the manner in which the account will be operated, that is: jointly or severally and shall give details of the names, addresses and DPIN [Designated Partner Identification Number allotted by the Registrar for each designated partner], along with their signatures and photographs E. The bank details in the name of the LLP, as sole / first holder in the bank account F. PAN Card of the LLP & Authorised Signatories. G. Proof of Address of the LLP (Any 1 from listed below) a. Documents registered with the registering authority b. Bank statement c. Agreement for sale or leave and licence agreement Note: - No Demat a/c is opened in the name of Partnership firm as per CDSL regulations.
Trust	A. Copy of the balance sheets for the last 2 financial years (to be submitted every year). B. Certificate of registration (for registered trust only). C. Copy of Trust deed. D. List of trustees certified by managing trustees/CA. E. Photograph, POI, POA, PAN of Trustees. Note: Demat a/c are opened only for registered trusts.
Unincorporated association or a body of individuals	A. Proof of Existence/Constitution document. B. Resolution of the managing body & Power of Attorney granted to transact business on its behalf C. Authorized signatories list with specimen signatures.
Banks/Institutional Investors	A. Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. B. Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	A. Copy of SEBI registration certificate. B. Authorized signatories list with specimen signatures.
Army/ Government Bodies	A. Self-certification on letterhead. B. Authorized signatories list with specimen signatures.
Registered Society	A. Copy of Registration Certificate under Societies Registration Act. B. List of Managing Committee members. C. Committee resolution for persons authorised to act as authorised signatories with specimen signatures. D. True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.] E. Names of Authorized Signatories, Designation, and their Specimen Signatures F. PAN Card of Society

Signature guide

Signature of the First Authorised Person　Second Authorised Person /　Signature of the Witness of the Client

Signature of the Member / DP / authorized signatory

INDEX

Note: “Other Mandatory Client Documents” is a separate booklet, which is given to client.
* Formats are as prescribed in SEBI circular CIR/MIRSD/16/2011 issued on August 22, 2011

Important points on form filling

Please take care of below points at the time of filling form:

1. Form to be filled legibly in BLOCK LETTERS and in BLACK INK only.
2. Enclose valid documents of all proofs. ID, address and Bank proofs are mandatory for all clients, financial proof is mandatory only for derivatives accounts.
3. All documents / photocopies of documents submitted along with form should be Self-Attested by client(s). In case of HUF a/c, the documents should be signed by Karta of HUF under seal of HUF.
4. All photocopy of documents submitted should be verified by authorized person of ACMIIL at branch / Associates as per ACMIIL internal circular.
5. If any proof is in Non-English language, the same should also be translated into English and duly attested and submitted
6. Permanent Address is Mandatory; Care of (c/o) address is not accepted as permanent address.
7. In case correspondence and permanent address are different, then proof for the both addresses should be submitted.
8. Please mention complete address on the form, it should not be short address. Wherever possible, room no., building name, road name, nearest known landmark should be mentioned.
9. Name, Address, Bank details mentioned on KYC form should match with the documentary proof submitted.
10. In case any fields in the form are left blank (where not applicable),Please strike off these fields.
11. Please affix (Do not staple) photographs of all holders at appropriate place provided & sign Across the photograph partly on the form & partly on the photograph.
12. In case of NRI account, FEMA Declaration given in the form to be duly signed by all holders & PIS approval letter from authorized dealer /Bank is mandatory.
13. Please mention Brokerage scheme no. at appropriate box on the form.
14. Please mention RC No./RC name where clients are to be mapped, correctly on the form.
15. In case account is to be opened in cash segment, then demat account, either with ACMIIL/other Depository Participant (DP), is mandatory

Asit C. Mehta
INVESTMENT INTERRMEDIATES LTD.
Nucleus House, Saki Vihar Road, Andheri (E), Mumbai 400072. Maharashtra, India
Tele.: 022 2858 4545 Fax: 022 2857 7647 Website: www.investmentz.com Email: customerservice@acm.co.in
BSE / NSE : INZ000186336
Compliance Officer: Mr. Jaideep Vaidya Phone No. 022 2858 3021 Email: jaideep.vaidya@acm.co.in
CEO / MD details: - Mrs. Deena Mehta Phone No. 022 2858 3333 Email: customerservice@acm.co.in

For any grievance / dispute please contact Asit C. Mehta Investment Interrmediates Ltd.
At the above address or write to email id - customerservice@acm.co.in / investorgrievance@acm.co.in and phone no. 022 2858 4545.
In case not satisfied with the response, please contact the concerned exchange(s) / depository at ignse@nse.co.in and phone no. 1800220058 (NSE) / is@bseindia.com and phone no. 022-22728097 (BSE)
complaints@cdslindia.com and phone no. 022-230 23333 (CDSL)

Corporate Member: BSE Ltd, National Stock Exchange of India Ltd.
Regd. Office : Pantomath Nucleus House, Saki Vihar Road, Andheri (E), Mumbai 400072. Maharashtra, INDIA.
Tel.: (022) 2858 4545 • Fax (022) 2857 7647 • E-mail: customerservice@acm.co.in • CIN: U65990MH1993PLC075388

Dear Investors,

We thank you for choosing Asit C. Mehta Investment Interrmediates Limited for providing you services for your investment needs. We value your patronage and assure you that we will strive to assist you in the best possible manner for all your investment related needs.

We enclose herewith Know Your Client "KYC Form" and other Agreements for execution with the respective Stock Exchanges. Kindly note that these documents are prescribed by the Regulatory authorities and are in mutual interest. We also enclose the risk disclosure document for your understanding of risk when you invest in the Capital Markets and an Annexure describing your rights and obligations. We urge you to go through these documents to enhance your investment experience.

We request you to provide us with your email address so that your accounts and contract information can be sent to you electronically. We suggest that this booklet be returned with all necessary supporting documents together to ensure speedy processing. Requesting you to collect your Login ID and a Password from us to enable you to view / retrieve your records and investment information from our site www.investmentz.com.

We once again thank you.

With warm regards,

Yours faithfully

For **ASIT C. MEHTA INVESTMENT INTERRMEDIATES LTD.**

DEENA A. MEHTA
MANAGING DIRECTOR

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N

Know Your Client (KYC) Application Form (For Non-Individuals Only)

Please fill in ENGLISH and in BLOCK LETTERS

CVL

Place for Intermediary Logo

Application No. :

A. Identity Details (please see guidelines overleaf)

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

2. **Date of Incorporation** d d / m m / y y y y **Place of Incorporation**

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

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

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

B. Address Details (please see guidelines overleaf)

1. **Registered Address**

City / Town / Village Postal Code

State Country

2. **Contact Details**

Tel. (Off.) (ISD) (STD) Tel. (Res.) (ISD) (STD)

Mobile (ISD) (STD) Fax (ISD) (STD)

E-Mail Id.

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

*Latest Telephone Bill (only Land Line) ☐*Latest Electricity Bill ☐*Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises ☐ Any other proof of address document (as listed overleaf). (Please specify) ____

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

4. **Correspondence/Local Address in India (If different from above)**

City / Town / Village Postal Code

State Country

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

☐ *Latest Telephone Bill (only Land Line) ☐*Latest Electricity Bill ☐*Latest Bank Account Statement ☐Registered Lease / Sale Agreement of Office Premises ☐ Any other proof of address document (as listed overleaf). (Please specify) ____

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

C. Other Details (please see guidelines overleaf)

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

2. **Any other information:** ____

DECLARATION

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

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

DATE: __ __ ____ (DD-MM-YYYY)

PLACE: ____

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

FOR OFFICE USE ONLY

AMC/Intermediary name **OR** code

☐ (Originals Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

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

N

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

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

Types of entity	Documentary requirements
Corporate	• Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD(to be submitted every year) • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations • Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly • Copies of the Memorandum and Articles of Association and certificate of incorporation • Copy of the Board Resolution for investment in securities market • Authorised signatories list with specimen signatures
Partnership firm	• Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered partnership firms only) • Copy of partnership deed • Authorised signatories list with specimen signatures • Photograph, POI, POA, PAN of Partners
Trust	• Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered trust only).Copy of Trust deed • List of trustees certified by managing trustees/CA • Photograph, POI, POA, PAN of Trustees
HUF	• PAN of HUF • Deed of declaration of HUF/List of coparceners • Bank pass-book/bank statement in the name of HUF • Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	• Proof of Existence/Constitution document • Resolution of the managing body & Power of Attorney granted to transact business on its behalf • Authorized signatories list with specimen signatures
Banks/Institutional Investors	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years • Authorized signatories list with specimen signatures
Foreign Institutional Investors (FII)	• Copy of SEBI registration certificate • Authorized signatories list with specimen signatures
Army/Government Bodies	• Self-certification on letterhead • Authorized signatories list with specimen signatures
Registered Society	• Copy of Registration Certificate under Societies Registration Act • List of Managing Committee members • Committee resolution for persons authorised to act as authorised signatories with specimen signatures • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

Please Submit the KYC Documents on A4 Size Paper Only.

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

Name of Applicant ______________________ **PAN of the Applicant** | | | | | | | | | | |

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

Name & Signature of the Authorised Signatory(ies)   Date d d / m m / y y y y

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

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INVESTMENTZ.COM
INVESTOR FIRST
BY ASIT C. MEHTA INVESTMENT INTERRMEDIATES LTD.

Annexure 3 - TRADING & DEMAT ACCOUNT RELATED DETAILS

BANK ACCOUNT(S) DETAILS

Bank Name :

Branch :

Address :

City Pin Code State

STD Code Telephone

Bank Phone No. : A/c Type : SB/CA/OD/Others

Bank Account number :

(To avail ECS Facility)

Internet enables for transactions : Yes No Dividend / Interest through ECS : Yes No MICR number :

Note : In case of additional details, please attach separate sheets IFSC Code :

OTHER DEPOSITORY PARTICULARS

Depository : CDSL NSDL

DP Name :

DP I.D : DP A/c. Number :

(Beneficiary Owner A/c. Number)

Addresss :

City Pin Code State

Note : Attach separate sheets if you have more than one DP.

TRADING PREFERENCES

Exchange	Segment	Signature of first holder	Exchange	Segment	Signature of first holder
NSE	Cash		BSE	Cash	
NSE	Derivative		BSE	Derivative	
NSE	Mutual Fund		BSE	Mutual Fund	
NSE	Currency Derivatives		IPO		

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

For derivative segment, provide ANY ONE from below mentioned documents:

- ☐ Copy of ITR Acknowledgment (Issued within last one year)
- ☐ Copy of form 16 (Issued within last one year).
- ☐ Networth certificate (Issued within last one year)
- ☐ Copy of annual accounts (Issued within last one year).
- ☐ Salary Slip (Issued within last 3 months)
- ☐ Bank a/c statement for last 6 months.
- ☐ Latest DP holding statement
- ☐ Self declaration along with supporting documents.
- ☐ Any other relevant document substantiating ownership of assets.

DEALING THROUGH SUB –BROKER / AUTHORIZED PERSONS AND OTHER STOCK BROKERS:

In case you are dealing through any other sub-broker, authorized person and other stock broker, kindly provide a copy of the welcome letter/ latest contract notes issued by the stock broker.

PAST ACTIONS

Details, of any action/proceedings initiated/pending/taken by SEBI/stock exchanges/any other regulatory authority against the applicant/constituent or its Partners /promoters/whole time directors/authorized person in charge of dealing in securities during the last 3 years:____

INVESTMENT/TRADING EXPERIENCE

No Prior Experience : ☐ Years in Stocks : ☐☐ Years in Derivatives : ☐☐ Years in Other investment related fields : ☐☐

ADDITIONAL DETAILS

Whether you wish to receive Physical contract note and /or Electronic Contract Note (ECN).

a. ☐ I wish to receive Electronic Contract note, Funds and Securities Statement etc. my email is:____

b. ☐ I wish to receive (Physical) Contract note.

Whether you wish to avail of the facility of internet trading / wireless Technology

a. **YES** ☐ I wish to avail the facility

b. **NO** ☐ I don't wish to avail the facility

Whether you wish to receive Alert from CDSL / Exchange(s)*

a. **YES** ☐ I wish to receive Alerts through SMS ☐ Email ☐ Both ☐
Alerts should be sent on Mobile number / E-mail ID given on KYC form first holder.
Mobile number is registered in the name of ______________________________
Relationship with client Self ☐ Spouse ☐ Other family Member ☐

b. **NO** ☐

OCCUPATIONAL PROFILE

Nature of business / Profession :

Name of the Company/ Firm :

Address :

City Pin Code

State Country

DP TARIFF PLAN (Mandatory)

I/We have read, understood and agree to the terms and conditions of the demat tariff plan.
Demat tariff plan to be updated (tick ( ) as applicable)

Plan opted for	One Year Plan Base Rate (₹)	Five Year Plan Base Rate (₹)
Invest New	☐ 480	☐ 1950
Invest Wise	☐ 750	☐ 2950
Invest Lite	☐ 1000	☐ 3950
Invest Pro	☐ 1500	☐ 5950

Note: Charges including statutory levy. In case no plan is selected, then default plan updated would be "Invest New."
For details on demat tariff plan, please refer tariff sheet enclosed herewith..

DECLARATION AND ACKNOWLEDGEMENT

1. 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.
2. I/We further confirm having received, read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any
3. The rules and regulations of the Stock Exchange and AMFI pertaining to an account which are in force now have been read by me/us and I/wehave understood the same and agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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 or suppression of any material fact, it will render my/our liable for termination and further action.
4. I/We further confirm having received a copy of KYC form.

Depository Charges for the Calendar year 2024 (One year plan) & 2021-2025 (Five year plan)

For Active Clients : (All prices are excluding taxes as may be applicable)

Table 1

Plan	One Year Base Rate (Rs.)	Transaction Charges Beyond Free Transactions (Rs.)*	Free Transactions Per Annum	5 Years Base Rate (Rs.)	Transaction Charges Beyond Free Transactions (Rs.)**	Free Transactions Per Annum
Invest New	480	30	6	1950	20	6
Invest Wise	750	25	10	2950	20	10
Invest Lite	1000	20	15	3950	20	15
Invest Pro	1500	15	20	5950	20	20
Corporate & NRI Clients	1500	15	0	0	0	0

- BSDA Plan will be charged Rs. 50 per Transaction and AMC NIL.
- Other charges are produced below for information.
- If Client holds only single demat account for I Basket than First Year No AMC, 2nd year & onwards Rs.250/- P.A. will be charged however Transaction charges are Free of cost.
- In case client holds only Mutual Fund units than he will not be charged any AMC charges.

Notes * and ** : Please see Table 2 below and Entries against Transaction Charges (Buy Side) or (Sell Side) Refer to those Transactions resulting in delivery.

Table 2

Heading	One Year Plan Transaction Charges	5 Year Plan Transaction Charges Subject to review every year
Demat Processing	Rs. 50/- per certificate	NIL
Remat processing	NIL	NIL
Pledge	Rs. 20/- per scrip	NIL
Unpledge	Rs. 20/- per scrip	NIL
Transaction charges (buy side delivery)	NIL	NIL
Transaction charges (sale side delivery)	As above*	As above**
Transaction charges-Off market and Inter DP transfers	Rs. 50/- Per Scrip	NIL
Transmission charges	NIL	NIL
Modification	Rs. 60/- Per request	NIL
Activation	NIL	NIL
Unfreezing of Account	Rs. 250/- Per request	NIL

Important Points :

1. Customers who are Inactive and have NIL holding will be charged RS. 250/- as depository charges. All the New demat accounts will be on default plan namely "Invest" with annual charge of Rs.250.00 + GST charges. Every transaction as described in Table 2 above, including buy and sale transactions, will be charged therein at Rs 50 plus GST or as in the Table 2 ,whichever is higher. Please be advised to complete the account closure process to stop further levy of DP charges
2. Please ensure to have your correct email address and mobile number updated in our system at all time to enable sharing vital communication
3. You may opt for the change of tariff plan (Active clients) by logging in to our website. This window is open to you upto 25th January, 2024. In event of non selection of any plan by customer, we will continue with last year plan with new rates. If no plan was selected then minimum plan of RS. 480/- will be selected.
4. Client may shift from annual plan to five year plan by paying full amount irrespective of the residual period till January 2025. No pro rata charges will be allowed.
5. The clients who were under AUM based plans will be shifted to annual plan Invest Pro with a yearly charge of Rs. 1500/-.
6. AUM plan is applicable to those customers who have Demat Holding exceeding Rs. 25 Lakhs and have been inactive during 2023. Clients who have not done any transactions in any of the products like MF, Equity, Derivatives, Gold Bonds, Currencies or Govt.Securities during this calendar year 2023 till December 31 and had DP balance of Rs 25 Lacs as of the cut off date of December 31, 2023 will be covered under this plan.
7. All annual and five year plans are non-refundable.
8. Under each of the choices, the Annual Maintenances Charges are for 1 or 5 years as the case may be . All transaction charges in Table 2 are for one year only and subject to change based on the charging environment.
9. Taxes at actuals will be charges extra. Currently GST@18% will be charged.
10. In event of non-payment of DP Tariff Charges / other DP charges, ACMIIL will freeze / suspend the demat account and settlement / debit instructions will not be processed for demat account. The unfreezing of the account will invite a restoration fee of Rs. 250/- plus applicable taxes.
11. ACMIIL reserves the right to revise the DP tariff slabs and other charges by displaying the same on web site investmentz.com. In such an event, it will be done from prospective effect only.
12. As per CDSL communiqué reference number CDSL/OPS/DP/POLCY/2020/8 dated January 3, 2020, in case of off-market transfers, applicable stamp duty will be levied on the transferor before executing the same in the depository system.
13. We request clients to clear old dues also which are displayed on Tariff Plan Selection Link. We will be at liberty to share the information about the dues and non-paying clients with appropriate data reporting and sharing platforms as well as be free to issue public notices on media like newspapers and websites.

Deena Mehta
Managing Director

ANTI MONEY LAUNDERING POLICY & PROCEDURES

1. Introduction

Parliament of India enacted Prevention of Money Laundering Act, 2002 (PMLA) to prevent money-laundering and to provide for confiscation of property derived from, or involved in, money-laundering and for matters connected therewith or incidental thereto. The provisions of PMLA came into force on 01st July 2005. Section 12 of PMLA, inter-alia, requires all intermediaries associated with securities market and registered under section 12 of the Securities and Exchange Board of India Act, 1992 to maintain a record of all transactions, the nature and value of which has been prescribed under the rules notified under the PMLA. Pursuant to this, Securities and Exchange Board of India (SEBI) issued Guidelines on Anti Money Laundering Standards and various circulars from time to time to implement the provisions of PMLA in the securities market and to prevent and impede money-laundering and combat financing of terrorism. Asit C. Mehta Investment Interrmediates Ltd (hereinafter referred to as 'ACMIIL' or 'the Company'), hereby adopts and bring into effect **Anti Money Laundering Policy & Procedures** (ACMIIL Policy & Procedures) in accordance with the provisions of PMLA and the rules made thereunder, SEBI Guidelines and Circulars issued from time to time on this subject. The policy applies not only to money laundering, but also to terrorist financing. All references to money-laundering in this policy, company policies and procedures and standards include terrorist financing as appropriate.

2. Policy

The Company shall endeavor at all times to comply, in letter and spirit, with the provisions of all relevant laws, rules, regulations, guidelines and circulars issued by regulatory authorities in relation to anti-money laundering and the Company's policies & procedures. To these ends the Company shall:

Self Certfiication for Entities (non individuals who are not listed/ not an Indian Financial Institution)

To,

Asit C. Mehta Investment Interrmediates Ltd.
Pantomath Nucleus House, Saki-Vihar road,
Andheri (E), Mumbai- 400 072.

I/we hereby declare that

Part I

A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange	Yes/ No
If “No”, then proceed to point B	
If “yes” please specify name of stock exchange, if you are listed company and proceed to sign the declaration	
B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India	Yes/No
If “yes”, then please fill of FATCA/ CRS Self certification Form If “No”, proceed to point C	
C. Is the account holder an Indian Financial Institution	Yes/ No
If “yes”, please provide your GIIN, if any	
If “No”, proceed to point D	
D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen	Yes/No
If “yes”, (then please fill FATCA/ CRS self -certi cation form). If “No”, proceed to sign the declaration	

Customer Declaration

( ) Under penalty of perjury, I/we certify that:

1.The applicant is:

(i) An applicant taxable as a US person under the laws of the United States of America (“U.S.”) or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S.,

(ii) An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)

2. The applicant is an applicant taxable as a tax resident under the lows of country outside India.

(ii) I/We understand that the <Broker/DP> is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The <Broker/DP> is not able to offer any tax advice on FATCA/CRS or its impact on the applcant. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iv) I/We agree that as may be required by domestic regulators/tax authorities the <Broker/DP> may also be required to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature (as per MOP)	
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder	

Part II

Self Certification Form (Entity) for Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standards (CRS)

Section 1: Entity information

Name of Entity	
Customer id (if existing)	
Entity Constitution Type (Refer Appendix 2)	
Entity Identification type (Refer Appendix 2)	T G C E O
Entity Identification No (based on entity identification type)	
Entity Identification issuing country	
Country of Residence for tax purpose	

Section 2: Classification of Non Financial entities I/We (on behalf of the entity) certify that the entity is:

a) An entity incorporated and taxable in US (Specified US person)	Yes/No
If "Yes", please provide your U.S.Taxpayer Identification Number (TIN)	
b) An entity incorporated and taxable outside of India (other than US)	Yes/No
If "Yes", please provide your TIN or its functional equivalent	
Provide your TIN issuing country	
Please provide the following additional details if you are not a Specified US Person	
FATCA / CRS classification for Non financial entities (NFFE)	
Active NFFE	Yes/No
Passive NFFE without any controlling Person	Yes/No
Passive NFFE with Controlling Person(s)	US/ Others
Direct Reporting NFFE (Choose this if any entity	Yes/No

has registered itself for direct reporting for FATCA and thus <Broker/DP> is not required to do the reporting)	
Please provide GIIN number	

has registered itself for direct reporting for FATCA and thus <Broker/DP> is not required to do the reporting)	
Please provide GIIN number	

Section 3: Classification of financial institutions (including Banks) I/We (on behalf of the entity) certify that the entity is

a. An entity is a U.S. financial institution	Yes/No
If "Yes", (i) Please provide your Taxpayer Identification Number (TIN)	
Please provide GIIN, if	
If "No", please tick one of the following boxes below:	
FATCA classification	Please provide the Global Intermediary Identification number (GIIN) or other information where
Reporting Foreign Financial Institution in a Model 1 applicable Inter -Governmental Agreement ("IGA") Jurisdiction	
Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction	
Participating FFI in a Non-IGA Jurisdiction	
Non -reporting FI	
Non -Participating FI	
Owner -Documented FI with specified US owners	

Section 4: Controlling person declaration

If you are classified as "Passive NFFE with Controlling Person(s)" or "Owner documented FFI" or "Specified US person", please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing Country	Controlling person Type

Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification Type (Refer Appendix 2)					
Identification Number					
Occupation Type (Refer Appendix 2)					
Occupation					

Birth Date					
Nationality					
Country of Birth					

Section 5: Declaration

(i) Under penalty of perjury, I/we certify that:

1. The number shown on this form is the correct taxpayer identification number of the applicant, and
2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or
3. The applicant Is an applicant taxable as a tax resident under the laws of country outside India.

(ii) I/We understand that the <Broker/DP> is relying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. The <Broker/DP> is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.

(iv) I/ We agree as may be required by /Regulatory authorities, <Broker/DP> shall be required to comply to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

I/We hereby confirm that details provided are accurate, correct and complete

Signature (as per MOP)	
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder	

(Company Seal, if applicable, to be affixed)

Self-Certification for Entities (non-individuals who are not listed/ not an Indian Financial Institution)

To,
Asit C. Mehta Investment Interrmediates Ltd.
Pantomath Nucleus House, Saki-Vihar road,
Andheri (E), Mumbai- 400 072.

I/we hereby declare that

- The account holder is not a Government body/International Organization/ listed company on recognized stock exchange
- The account holder is not tax resident of any country other than India
- The account holder is not an Indian Financial Institution as defined under Rule 114F(3) of the Income Tax Rules, 1962 as amended
- The substantial owners or controlling persons in the entity or chain of ownership is/are
  - not resident for tax purpose in any country outside India
  - are Indian citizen(s)

Under penalty of perjury, I/we further certify that:

- I/We understand that the <Broker/D>P is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The
- <Broker/DP> is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- I/We agree that as may be required by domestic regulators/tax authorities the <Broker/DP may also be required to report, reportable details to CBDT or close or suspend my account.
- I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature (as per MOP)	
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder	

Additional KYC Form for Opening a Demat Account

For Non-individuals

Asit C. Mehta Investment Interrmediates Ltd.
Pantomath Nucleus House, Saki Vihar Road, Andheri (East), Mumbai 4000072.

(To be filled by the Depository Participant)

Application No.									Date	D	D	M	M	Y	Y	Y	Y
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

					Exchange Name & ID
Sole / First Holder's Name		Search Name		PAN	
				UCC	
Second Holder's Name				PAN	
				UID	
Third Holder's Name				PAN	
				UID	

Name *	______________________
*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	

Type of Account (Please tick whichever is applicable)

Status				**Sub – Status**
❑ Body Corporate ❑ Banks ❑ Trust ❑ Mutual Fund ❑ OCB ❑ FII ❑ CM ❑ FI ❑ Clearing House ❑ Other (Specify) ____________				**To be filled by the DP**
SEBI Registration No. (If Applicable)		SEBI Registration date	D D M M Y Y Y Y	
RBI Registration No. (If Applicable)		RBI Approval date	D D M M Y Y Y Y	
Nationality	❑ Indian ❑ 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] ❑ Yes ❑ 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')	❑ Yes ❑ No
Account Statement Requirement	❑ As per SEBI Regulation ❑ Daily ❑ Weekly ❑Fortnightly ❑Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID ______________	❑ Yes ❑ No
I / We would like to share the email ID with the RTA	❑ Yes ❑ No
I / We would like to receive the Annual Report ❑ Physical / ❑ Electronic / ❑ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be Physical)	

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]	❑ Yes ❑ No

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)	
IFS Code (11 character)	
Account number	
Account type	❑ Saving ❑ Current ❑ 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.

Other Details

Gross Annual Income Details	Income Range per annum: ❑ Up to Rs 1,00,000 ❑ Rs 1,00,000 to Rs.5,00,000 ❑ Rs.5,00,000 to Rs. 10,00,000 ❑ Rs. 10,00,000 to Rs. 25,00,000 ❑ Rs.25,00,000 to Rs. 1,00,00,000 ❑ More than Rs.1,00,00,000
	Net worth as on (Date) D D M M Y Y Y Y Rs
	[Net worth should not be older than 1 year]
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) ❑. Please provide details as per Annexure 2 2 A	
Any other information:	

SMS Alert Facility Refer to Terms & Conditions given as **Annexure - 2.4**	MOBILE NO. +91 __ __ __ __ __ __ __ __ __ __ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	
Transactions Using Secured Texting Facility (**TRUST**). Refer to Terms and Conditions **Annexure – 2.6**	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. ☐ Yes ☐ No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST	
Easi	To register for *e*asi, please visit our website www.cdslindia.com. *Easi* allows a BO to view his ISIN balances, transactions and value of the portfolio online	

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

I/We have received and read the document of Most Important Terms and Conditions (MITC) , '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

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

RUNNING ACCOUNT AUTHORITY LETTER

Non-Mandatory Document

Date:____________,

To,

Asit C. Mehta Investment Interrmediates Limited,

"Pantomath Nucleus House", Saki Vihar Road, Andheri (E), Mumbai 400072. INDIA.

Dear Sir,

Ref: Authorization to maintain running accounts for transactions and retention of securities and funds for my client code ___________

This has reference to the SEBI circular NIRSD/SE.Cir-19/2009 dated Dec 03, 2009, Exchange Circular NSE/INSP/13606 dated Dece 3, 2009, clarification circulars NSE/INSP/14048 dated February 3, 2010 and NSE/INSP/21651 dated Sep 07, 2012 as well as SEBI circular reference number CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20, 2019, regarding monthly/quarterly settlement of running accounts of clients.

I/We request you to settle my/our account on a monthly/quarterly basis (**strike off whichever is not applicable**)

I/We hereby authorize you to maintain running account (s) for my/our transactions execute through Asit C. Mehta Investment Interrmediates Limited on any of the stock exchanges/segments for funds available in my ledger balance with you. I/We also request you to consider the balances in my our running fund account with you for the purpose of margins/all trade related liabilities due to you. I/We further authorize you to retain funds (net amount across segments and across Stock Exchanges) as permitted by the Stock Exchanges while settling my/our account. I/We also authorize Asit C. Mehta Investment Interrmediates Limited to consider the funds so retained by Asit C. Mehta Investment Interrmediates Limited towards margin and for allowing enhanced gross exposure to me/us. I/We agree that Asit C. Mehta Investment Interrmediates Limited shall not be liable for any claim for loss or loss of profit, or for any consequential, incidental, special or exemplary damages , or otherwise, caused by retention of such funds.

Additionally the funds due to me/us may be released in the interim, on my/our specific request.

I/We understand and agree that no interest will be payable to me/us on the amount of funds as retained with you. The This authorisation may be revoked by me/us at any time by giving prior written intimation to Asit C. Mehta Investment Interrmediates Limited

	Full Name	Signature
Sole/First Holder		
Date d d / m m / y y y y		

Option form for issue of dis booklet (Mandatory)

To,

Asit C. Mehta Investment Interrmediates Ltd.
Pantomath Nucleus House, Saki-Vihar Road, Andheri (E), Mumbai - 400072.

Dear Sir / Madam

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

☐ Option 1:
I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with ______________________________ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager

☐ Option 2:
I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with ______________________________________ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

___________________________	___________________________	___________________________
1st Authorised Person's Signature	2nd Authorised Person's Signature	3rd Authorised Person's Signature
Name:	Name:	Name:

Pantomath Nucleus House, Saki Vihar Road, Andheri (East), Mumbai - 400 072.
Phone: 022-28584545 • Email: customerservice@acm.co.in
Web Site: www.investmentz.com

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

Name of the First Holder									Trading Account No.								
Name of the Second Holder																	
Name of the Third Holder																	
DP ID CDSL									Client ID								

Sr. No.	Purpose	Signature of 1st Holder	Signature of 2nd Holder	Signature of 3rd Holder
	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker			
	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.			
	Mutual fund transactions being executed on Stock exchange order entry platforms.			
	Tendering shares in open offers through Stock Exchange platforms			

Date : ....

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(ON LETTERHEAD OF PARTNERSHIP FIRM- TO BE SIGNED BY ALL PARTNERS)

CERTIFIED TRUE COPY OF THE MINUTES OF MEETING OF PARTNERS OF ________________________ HAVING ITS REGISTERED OFFICE AT ____________________________ HELD ON__________________ AT___________________________

____

"RESOLVED THAT ________________ (hereinafter referred to as "the firm") does agree with Asit C.Mehta Investment Intermediates Limited, SEBI registered member of the National Stock Exchange of India Limited (NSE), and BSE Limited (BSE) and SEBI registered Depository Participant with Central Depository Services (India) Limited for the purpose of dealing in Capital Market/Cash Segment, Derivatives/Futures & Options segment or any other segment that may be introduced by NSE and BSE in future and for the purpose of availing of depository operations facility of CDSL, to open trading and demat account in ACMIIL.

RESOLVED FURTHER since the demat account cannot be opened in the name of the partnership firm, the demat account be opened in the name of the following partners, who are hereby authorised to sign, execute, and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open and operate the aforesaid accounts and to give effect to this resolution

Details of partners (for opening and operating of account)

Sr.No.	Partner name	Partner designation (if applicable)	Specimen signature of partner	Photograph of partner
1				
2				
3				

RESOLVED FURTHER THAT Asit C. Mehta Investment Interrmediates be and is hereby authorised to honour instructions whether oral and/or written and/or electronic given on behalf of the firm by the above authorised signatories as per the mode of operation mentioned below:

Mode of operation: Anyone/All jointly/Specify mode of operation *(select mode of operation applicable and strike out the rest)*

RESOLVED FURTHER THAT the aforesaid persons are authorised to sell, purchase, transfer, endorse, and negotiate documents and/or otherwise deal through Asit C. Mehta Investment Interrmediates Limited on behalf of the firm.

RESOLVED FURTHER THAT a copy of these minutes of meeting duly certified to be a true copy by the partners of the firm be furnished to Asit C. Mehta Investment Interrmediates Limited and that Asit C. Mehta Investment Interrmediates Limited be and is hereby requested to act upon the same

\\CERTIFIED TO BE TRUE

For (name of the firm)

Signatures:____________ _________________ ___________

Name :___________________

Designation:______________

(ON LETTERHEAD OF TRUST- TO BE SIGNED BY TRUSTEES)

CERTIFIED TRUE COPY OF THE MINUTES OF MEETING OF TRSUTEES OF ________________________ HAVING ITS REGISTERED OFFICE AT ____________________________ HELD ON__________________ AT___________________________

____

"RESOLVED THAT ________________ (hereinafter referred to as "the TRUST") does agree with Asit C.Mehta Investment Intermediates Limited, SEBI registered member of the National Stock Exchange of India Limited (NSE), and BSE Limited (BSE) and SEBI registered Depository Participant with Central Depository Services (India) Limited for the purpose of dealing in Capital Market/Cash Segment, Derivatives/Futures & Options segment or any other segment that may be introduced by NSE and BSE in future and for the purpose of availing of depository operations facility of CDSL, to open trading and demat account in ACMIIL.

RESOLVED FURTHER since the demat account cannot be opened in the name of the trust, the demat account be opened in the name of the following trustee/s who are hereby authorised to sign, execute, and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open and operate the aforesaid accounts and to give effect to this resolution

Details of trustees (for opening and operating of account)

Sr.No.	Trustee name	Trustee designation (if applicable)	Specimen signature of trustee	Photograph of trustee
1				
2				
3				

RESOLVED FURTHER THAT Asit C. Mehta Investment Interrmediates be and is hereby authorised to honour instructions whether oral and/or written and/or electronic given on behalf of the trust by the above authorised signatories as per the mode of operation mentioned below:

Mode of operation: Anyone/All jointly/Specify mode of operation *(select mode of operation applicable and strike out the rest)*

RESOLVED FURTHER THAT the aforesaid persons are authorised to sell, purchase, transfer, endorse, and negotiate documents and/or otherwise deal through Asit C. Mehta Investment Interrmediates Limited on behalf of the trust.

RESOLVED FURTHER THAT a copy of these minutes of meeting duly certified to be a true copy by the Managing Trustee of the trust be furnished to Asit C. Mehta Investment Interrmediates Limited and that Asit C. Mehta Investment Interrmediates Limited be and is hereby requested to act upon the same

\\CERTIFIED TO BE TRUE

For (name of the trust)

Signature:____________

Name :___________________

Designation:______________

(ON LETTERHEAD OF CORPORATE ENTITY)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF ________________________ HAVING ITS REGISTERED OFFICE AT ____________________________ HELD ON__________________ AT___________________________

____

"RESOLVED THAT ________________ (hereinafter referred to as "the company") does agree with Asit C.Mehta Investment Intermediates Limited, SEBI registered member of the National Stock Exchange of India Limited (NSE), and BSE Limited (BSE) and SEBI registered Depository Participant with Central Depository Services (India) Limited for the purpose of dealing in Capital Market/Cash Segment, Derivatives/Futures & Options segment or any other segment that may be introduced by NSE and BSE in future and for the purpose of availing of depository operations facility of CDSL, to open trading and demat account in ACMIIL.

The following persons are hereby authorised to jointly/severally *(select as mode as applicable and strike out the other)* to sign, execute, and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open and operate the aforesaid accounts and to give effect to this resolution

Details of Authorised signatories (for opening and operating of account)

Sr.No.	**Authorised Signatory name**	**Authorised Signatory designation**	**Specimen signature of authorised signatory**	**Photograph of authorised signatory**
1				
2				
3				

RESOLVED FURTHER THAT Asit C. Mehta Investment Interrmediates be and is hereby authorised to honour instructions whether oral and/or written and/or electronic given on behalf of the Company by the above authorised signatories as per the mode of operation mentioned below:

Mode of operation: Anyone/All jointly/Specify mode of operation *(select mode of operation applicable and strike out the rest)*

RESOLVED FURTHER THAT the aforesaid persons are authorised to sell, purchase, transfer, endorse, and negotiate documents and/or otherwise deal through Asit C. Mehta Investment Interrmediates Limited on behalf of the Company.

RESOLVED FURTHER THAT a copy of this resolution duly certified to be a true copy by _____ , Company Secretary and/or __________________Director, of the Company be furnished to Asit C. Mehta Investment Interrmediates Limited and that Asit C. Mehta Investment Interrmediates Limited be and is hereby requested to act upon the same

\\CERTIFIED TO BE TRUE

For (name of the company)

Signature:____________

Name :___________________

Designation:______________

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FOR OFFICE USE ONLY

UCC Code allotted to the Client: --------------------

	Document verified with Originals	Client Interviewed by	In-Person Verification done by
Name of the Employee/ Official			
Employee Code/ RC 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 and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

____

Signature of the Authorised Signatory

Date:____________________________

____

Seal/Stamp of the stock broker

CLIENT ACCOUNT BRIEF

Cheque Details:______________________________

Cheque No.: ____ Cheque Date: ____

Cheque Amount: ____ Bank Name: ____

Stamps

Stamp of Special Scheme No.	RC No. where client to be mapped

Brokerage Slab

Segment	**Scheme No.**	**Segment**	**Scheme No.**
Cash - Delivery		Future	
Cash - Intra Day		Options - Stock	
Currency		Option Index	
Mutual Fund			

Please mention Brokerage schemes details which are to be applied as per ACMIIL internal Circular.

Most Important Terms and Conditions (MITC)
(For non-custodial settled trading accounts)

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

Management:

Chairman and Whole-time Director: Mr. Asit C. Mehta

Designated Directors : Mrs. Deena A. Mehta & Mr. Kirit H. Vora

SEBI / Regulatory Registration nos of Group Company

- BSE / NSE/ Single Regn No. : INZ000186336
- Merchant Banking: INM000010973
- DP Reg: IN-DP-685-2022
- DP ID -CDSL12013200
- Research Analyst: INH000002483
- PMS: INP000005801
- PFRDA : POP21092018

Membership:

NSE: Cash, Derivatives, Debt & Currency Derivatives

BSE: Cash & Derivatives

SEBI: Merchant Banking category 1 /Research Analyst/PMS

CDSL: Depository Participant

Commodities: NSEL & COTTON ASSOCIATION OF INDIA (through associate company)

Principal Banker:

State Bank of India

Call and Trade No.:

022-2858 4444 / 022-6787 8987

Customer Service No.:

022-2858 4545 / 022-6787 8988

Asit C. Mehta
INVESTMENT INTERRMEDIATES LTD.

Pantomath Nucleus House, Saki Vihar Road, Andheri (E), Mumbai 400072. INDIA
Tel.: 022 - 2858 3333 / 022 - 6132 5757 Fax: 022 - 2857 7647 / 022 - 2857 7894
Website: www.investmentz.com
Email: customerservice@acm.co.in; investorgrievance@acm.co.in
CIN: U65990MH1993PLC075388