



CLIENT REGISTRATION KIT

INDIVIDUAL CORPORATE HUF FIRM OTHERS

MAXIZO TRADING LLP

LLPIN - AAI-9061

Member : NATIONAL STOCK EXCHANGE OF INDIA LTD.

MULTI COMMODITY EXCHANGE OF INDIA LTD.

BSE LIMITED

Form No.

KRA Ref. No.

Client Code

CKYC No.

Name

Branch

Date

AP



Maxizo Trading LLP

LLPIN - AAI-9061

Registered Office : 284/22, Sonapat Stand, Durga Colony,
Rohtak, Haryana-124001

Corp. Office : Unit No-616, Ring Road Mall,
Sector-3, Rohini, Delhi-110085

Phone : 011-45684000

E-mail : investors@maxizotrading.com • **Web :** www.maxizotrading.com

Exchange	Membership No.	SEBI Registration No.
National Stock Exchange of India Ltd. Multi Commodity Exchange of Inida Ltd. BSE Limited	90130 56890	INZ000180555

<i>Partner's Name, Phone No. & Email Id:</i> MANAN SINGHAL Phone : 9968971450 E-mail Id : investors@maxizotrading.com	<i>Compliance Officer's Name, Phone No. & Email Id:</i> SANKET SHARMA Phone : 9311113337 E-mail Id : compliance@maxizotrading.com
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CONTACT DETAILS FOR HANDLING INVESTOR'S GRIEVANCES

In case of any dispute / complaint, clients may communicate with the below-mentioned official of MAXIZO TRADING LLP			
Contact Person	Designation	Contact No.	E-mail Id
Sanket Sharma	Compliance Officer	9311113337	compliance@maxizotrading.com
Details of Investor's Grievances Cell of the Stock Exchange/s : (to be contacted if Maxizo's response to grievance/dispute is not satisfactory)			
Name of Stock Exchange	Contact No.		E-mail Id
NSE	(022) 26598190		ignse@nse.co.in
MCX	(022) 66494151		grievance@mcxindia.com
BSE	(022) 22728517		ISC.Mumbai@bseindia.com

ACKNOWLEDGEMENT

To,

MAXIZO TRADING LLP

Corp. Office : Unit No. 814-816, Ring Road Mall,
Sector-3, Rohini, Delhi-110085

Dated :.....

I/We hereby acknowledge the receipt of duly executed copy of the KYC along with Non-Mandatory pages and booklet containing standard documents i.e. Right & Obligation (Trading), Risk Disclosure Documents, Policy and Producer, Do's and Don'ts. Further I/We confirm that the supporting documents for KYC submitted by me/us are true and correct. I/We acknowledge that the other details related to my/our account are as under:

Name.....

Trading Code.....

My Email Id.....



Signature of Client

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INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.No.	Name of the Document*	Brief Significance of the Document	Page No.
1.	Account Opening Form	(a) KYC Form - Document captures the basic information about the constituent and an instruction / check list.	1-16
		(b) Document captures the additional information about the constituent relevant to trading account and an instruction / check list.	17-23
2.	Declaration by HUF	Declaration by HUF	24
3.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ trading member, authorised person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Given to the Client with Welcome Kit
4.	Risk Disclosure Document	Document detailing risks associated with dealing in the securities market.	
5.	Guidance Note	Documents detailing do's and don'ts for trading on exchange, for the education of the investors.	
6.	Policies and Procedures	Document describing significant policies and procedure of the stock broker.	25-27
7.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	28

VOLUNTARY DOCUMENTS AS PROVIDED BY GRAVITON RESEARCH CAPITAL LLP

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Running Account Authorisation	Authority to the Trading Member to maintain a running account for the Client.	29
2.	Declaration for Name Mismatch	Declaration for Name Mismatch	30
3.	Additional Rights & Obligations	Additional Rights & Obligations agreed to between the Trading Member and Client	31-35
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5.	PMLA Declaration	Declaration for PMLA	37
6.	Client's Defaulter Declaration	Client's Non-defaulter declaration	37
7.	SMS & E-mail Alerts	Authorisation for SMS & E-mail alerts to the clients given by the Exchanges.	38
8.	Specimen of Board Resolution	Specimen of Board Resolution	39

NOTES:

- A. Kindly note that information provided in the Client Registration Kit shall not be disclosed to any person/entity except in accordance with law
- B. Kindly also note that MAXIZO TRADING LLP also does Proprietary (Own A/c) trading in addition to Clients' trading.

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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 to accounts opened using OTP based E-KYC in non-face to face mode.

MAXIZO TRADING LLP

For office use only
(To be filled by financial institution)

Application Type* New Update

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)

<input type="checkbox"/> Name* (Same as ID proof)					Prefix	First Name	Middle Name	Last Name
Maiden Name								
Father / Spouse Name								
Mother Name								
Date of Birth*	DD - MM - YYYY							
Gender*	<input type="checkbox"/> M- Male		<input type="checkbox"/> F- Female		<input type="checkbox"/> T-Transgender			
Marital Status*	<input type="checkbox"/> Married		<input type="checkbox"/> Unmarried		<input type="checkbox"/> Others			
PAN*	<input type="text"/>				<input type="checkbox"/> Form 60 furnished			
Citizenship*	<input type="checkbox"/> IN- Indian		<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> <input type="text"/>)					
Residential Status*	<input type="checkbox"/> Resident Individual		<input type="checkbox"/> Foreign National		<input type="checkbox"/> Non Resident Indian			
					<input type="checkbox"/> Person of Indian Origin			

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*



Signature / Thumb Impression

Address

Line 1*	<input type="text"/>									
Line 2	<input type="text"/>									
Line 3	<input type="text"/>									
District*	<input type="text"/>			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 to 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

Address

Line 1*	<input type="text"/>									
Line 2	<input type="text"/>									
Line 3	<input type="text"/>									
District*	<input type="text"/>			Pin / Post Code*		State / U.T Code*		City / Town / Village*		ISO 3166 Country Code*

4. CONTACT DETAILS (All communications will be sent to Mobile number / Email-ID provided) (Please refer instruction C at the end)

Tel. (Off) - Tel. (Res) - Mobile -
Email ID

5. REMARKS (If any)

6. APPLICANT DECLARATION

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.



[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Date : -- Place :

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies E-KYC data received from UIDAI Data received from Offline Verification Digital KYC Process
 Equivalent e-document Video Based KYC IPV Done

KYC / IN-PERSON VERIFICATION CARRIED OUT BY

Date -- Place
Emp. Name
Emp. Code
Emp. Designation
Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **MAXIZO TRADING LLP**
Code

[Signature of Authorised Signatory]

[Institution Stamp]

Annexure A1

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

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 available before the 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.

MAXIZO TRADING LLP

For office use only (To be filled by financial institution)

Application Type* New Update Delete

KYC Number (Mandatory for KYC update request)

1 DETAILS OF RELATED PERSON* (Please refer instruction D & E at the end)

Addition of Related Person Deletion of Related Person Updation KYC Number of Related Person (if available*)

Related Person Type* Guardian of Minor Assignee Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details are optional)

Maiden Name

Father / Spouse Name

Mother Name

Date of Birth* DD - MM - YYYY

Gender* M- Male F- Female T-Transgender

PAN* Form 60 furnished

2 PROOF OF IDENTITY AND ADDRESS*

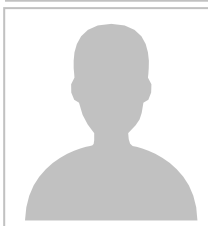
I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- 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 City / Town / Village*

District* Pin / Post Code* State / U.T. Code* 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 PoA

V Self Declaration

Address

Line 1*

Line 2

Line 3 City / Town / Village*

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

4. CONTACT DETAILS

Tel. (Off) - Tel. (Res) - Mobile -

FAX - Email ID

5. REMARKS (if any)

6. APPLICANT DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that I/we may be held liable for it.
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.



[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Date : - - Place :

7. ATTESTATION / FOR OFFICE USE ONLY

- Documents Received**
- Certified Copies
 - E-KYC data received from UIDAI
 - Data received from Offline verification
 - Digital KYC process
 - Equivalent e-document
 - Video Based KYC

Date - -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

Name **MAXIZO TRADING LLP**

Code

[Employee Signature]

[Institution Stamp]

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

MAXIZO TRADING LLP

Please fill in ENGLISH and in BLOCK LETTERS with black ink

Application No. :

A. Identity Details (please see guidelines overleaf)

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

Name

Father's/Spouse Name

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

 /

 /

3. Nationality Indian Other (Please specify) _____

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

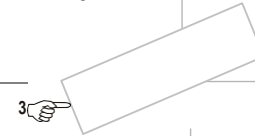
5. PAN

 Please enclose a duly attested copy of your PAN Card

Unique Identification Number (UID)/Aadhaar, if any: _____

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

UID (Aadhaar) Passport Voter ID Driving Licence Others _____



(Please see guideline 'D' overleaf)

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village		Pin Code	
State		Country	

2. Contact Details

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

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

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

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

 /

 /

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

City / Town / Village		Pin Code	
State		Country	

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

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

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

 /

 /

6. Any other information : _____

DECLARATION

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

Place: _____

Date: _____

SIGNATURE OF APPLICANT



FOR OFFICE USE ONLY

IPV Done on

 /

 /

AMC/Intermediary name OR code

MAXIZO TRADING LLP

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

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

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

• All joint holders are required to submit separate forms.

Please Tear Here

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/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository Participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark Sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

1. PAN card with photograph. This is 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 shall be acceptable, subject to the submission of proof of relationship alongwith the same.

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

F. Additional documents to be submitted in case you wish to trade on Futures and Options and/or Currency Derivatives Segments (provide any one).

- 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.

Please Submit the KYC Documents on A4 Size Paper Only.

FATCA & CRS Declaration (Individual)

PAN [| | | | | | | |] Trading Code [| | | | | | | |] DP BO ID [| | | | | | | |]

Name [| | | | | | | | | | | | | | | | | | | | | | | | | | |]

Place of Birth [| | | | | | | |] Country of Birth [| | | | | | | |]

Nationality [| | | | | | | | | | | | | | | | | | | | |]

Annual Income Below Rs. 1 Lac Rs. 1 Lac to 5 Lac Rs. 5 Lac to 10 Lac
 Rs. 10 Lac to 25 Lac Rs. 25 Lac to 1 Crore >1 CroreNet Worth **Amount Rs**.....Net Worth as on [D | D | M | M | Y | Y | Y | Y]
(Net worth should not be older than 1 year)Occupational Detail Business Private Sector Professional Government Service Public Sector
 Agriculturist Housewife Student Retired Forex Dealer Others Pl. SpecifyPolitically Exposed Person (PEP) Related to Politically Exposed Person (RPEP) Are you a tax resident of any country other than India Yes No

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

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

DECLARATION

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

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

5 

Date : [D | D | M | M | Y | Y | Y | Y]

Place : [| | | | | | | |]

For Investor convenience, MAXIZO TRADING LLP collecting this mandatory information for updating across all Group Entities of MAXIZO TRADING LLP whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at our Regd./Corp. office or you can dispatch the hard copy to-

MAXIZO TRADING LLP

**Corporate Office : Unit No. 814-816, Ring Road Mall,
Sector-3, Rohini, Delhi-110085**

• For Detail Terms & Conditions please visit www.maxizotrading.com

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

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked * are pertaining to CKYC and mandatory only if processing CKYC also

**CDSL VENTURES LIMITED**

....Exploring New Horizons



Application Number: _____

Application Type*: New KYC Modification KYC**1. Entity Details (please refer guidelines)**

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Date of Incorporation* _____ Place of Incorporation* _____

Date of Commencement* _____ Registration Number* _____

Entity Type* Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership

Please Tick (✓) Trust/Charity/NGO HUF FPI Category I FPI Category II

AOP Bank Government Body Defence Establishment

Body of Individuals Society LLP

Non-Government Organization

Others _____

2. Proof of Identity* (please refer the guidelines)

- Officially Valid Document(s) in respect of person authorized to transact
- Certificate of Incorporation/Formation _____ Registration Certificate _____
- Memorandum of Articles and Association Partnership Deed Trust Deed
- Board Resolution Power of attorney granted to its manager, office, employees to transact on its behalf
- Activity Proof -1* (For Sole Proprietorship Only) Activity Proof -2* (For Sole Proprietorship Only)

3. Address Details* (please refer the guidelines)**A. Registered Address***

Line 1* _____

Line 2 _____

Line3 _____

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

State* _____ Country* _____

B. Correspondence/Local Address in India (if different from above)*

Line 1* _____

Line 2 _____

Line3 _____

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

State* _____ Country* _____

Applicant Digital Signature (DSC)

Proof of Address* (attested copy of any one POA to be submitted—"Not more than 3 months old)

- Certificate of Incorporation/Formation Registration Certificate Other document _____
 Latest Telephone Bill* (Landline only) Latest Electricity Bill* Latest Bank Account Statement*
 Registered Lease/ Sale Agreement of Office Premises **Validity/Expiry Date of POA** (Expiry Date) _____
 Any other proof of address document (as listed overleaf) _____

4. Contact Details

Email ID _____ Mobile No. _____
 Email ID _____ Mobile No. _____
 Tel (Off) _____ Fax _____

5. Annexures Submitted

Number of Related Persons -

6. Remarks / Additional Information**7. Applicant 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: _____

Applicant Digital Signature (DSC)

Applicant Wet Signature

8. For Office Use Only

KYC carried out by*	Intermediary Details*
KYC Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input type="checkbox"/> Self certified document copies received (Originals Verified) <input type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name OR Code: _____
Employee Signature and Stamp	Employee Signature and Stamp

— This space is intentionally left blank — This space is intentionally left blank — This space is intentionally left blank — This space is intentionally left blank —

Know Your Client (KYC)
Annexure (For Non- Individuals Only)



CDSL VENTURES LIMITED
Exploring New Horizons



Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked * are pertaining to CKYC and mandatory only if processing CKYC also

Application Number: _____

Application Type*: New KYC Modification KYC

1. Identity Details of Related Person (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name* (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* _____

Gender* Male Female Transgender

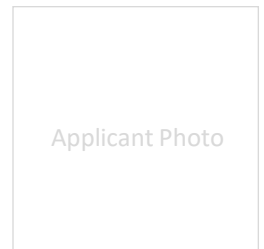
Nationality* Indian Other _____

Related Person Type*

Director Promoter Karta Trustee Partner Court Appointed Official Proprietor

Beneficiary Authorized Signatory Beneficial Owner Power of Attorney Holder

Others _____ (please specify) DIN: _____ (mandatory if the related person is Director)



Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

A — Aadhaar Card XXXX XXXX _____

B — Passport Number _____ (Expiry Date) _____

C — Voter ID Card _____

D — Driving License _____ (Expiry Date) _____

E — NREGA Job Card _____

F — NPR _____

Z — Others _____ (any document notified by Central Government)

Identification Number _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line 3 _____

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

State* _____ Country* _____

Address Type* Residential/Business Residential Business Registered Office Unspecified

Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____
 Line 2 _____
 Line3 _____
 City/Town/Village* _____ District* _____ Pin Code* _____
 State* _____ Country* _____
 Address Type* Residential/Business Residential Business Registered Office Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A — Aadhaar Card XXXX XXXX _____
 B — Passport Number _____ (Expiry Date) _____
 C — Voter ID Card _____
 D — Driving License _____ (Expiry Date) _____
 E — NREGA Job Card _____
 F — NPR Letter _____
 Z—Others _____ (any document notified by Central Government)
 Identification Number _____

3. Contact Details

Email ID _____
 Mobile No. _____
 Tel (off) _____ Tel (Res) _____

4. Applicant 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: _____

Applicant e-SIGN

Applicant Wet Signature

5. For Office Use Only

KYC carried out by*	Intermediary Details*
KYC Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
Employee Signature and Stamp	Institution Name and Stamp

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/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository Participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark Sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments; senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

1. PAN card with photograph. This is 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

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

1. 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 apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse shall be acceptable, subject to the submission of proof of relationship alongwith the same.

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
 2. Investors residing in the state of Sikkim.
 3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
 4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
 5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.
- ### E. List of people authorized to attest the documents:
1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
 2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.






Types of entity	Documentary Requirments
Corporate	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army/Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • 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

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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
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

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Name & Signature of the Authorised Signatory(ies)

Date

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

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FATCA & CRS Declaration (Non-Individual)

PAN Trading Code DP BO ID

Name

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India Yes No
(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

In case Tax Identification Number is not available, kindly provide its functional equivalent.
In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

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

PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1. We are a, Financial institution (Refer 1 of Part C) <input type="checkbox"/> or Direct reporting NFE (Refer 3(vii) of Part C) (please tick as appropriate) <input type="checkbox"/>	GIIN <input type="text"/>
	Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity <input type="text"/>
GIIN not available (please tick as applicable)	<input type="checkbox"/> Applied for <input type="checkbox"/> Not obtained – Non-participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input type="text"/> (Refer 1 A of Part C)

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


1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange <input type="text"/>
2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company <input type="text"/> Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange <input type="text"/>
3. Is the Entity an active NFE (Refer 2c of Part C)	Yes <input type="checkbox"/> Nature of Business <input type="text"/> Please specify the sub-category of Active NFE <input type="text"/> (Mention code - refer 2c of Part C)
4. Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes <input type="checkbox"/> Nature of Business <input type="text"/>

UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

Category (Please tick applicable category): Unlisted Company Partnership Firm Limited Liability Partnership Company
 Unincorporated association / body of individuals Public Charitable Trust Religious Trust Private Trust
 Others (please specify)

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID %			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) ⁵			
<p>* To include US, where controlling person is a US citizen or green card holder</p> <p>⁴ If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.</p> <p>⁶ In case Tax Identification Number is not available, kindly provide functional equivalent</p> <p>⁵ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary</p>			
DECLARATION			
<p>I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform MAXIZO TRADING LLP for any modification to this information promptly.</p> <p>I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).</p>			
Name			
Designation			
	Date :	D D M M Y Y Y Y	
	Place :	_____	
<p>For Investor convenience, MAXIZO TRADING LLP collecting this mandatory information for updating across all Group Entities of MAXIZO TRADING LLP whether you are already an investor or would become an investor in future.</p> <p>Please submit the form fully filled, signed, for all the holders, separately, and submit at our Regd./Corp. office or you can dispatch the hard copy to-</p> <p>MAXIZO TRADING LLP Corporate Office : Unit No. 814-816, Ring Road Mall, Sector-3, Rohini, Delhi-110085</p>			
<p>• For Detail Terms & Conditions please visit www.maxizotrading.com</p>			

PART 3 - TRADING ACCOUNT RELATED DETAILS - MANDATORY FOR ALL

A. BANK ACCOUNT(S) DETAILS (Through which transactions shall generally be routed)

Bank Name	Branch Address	Account Number	Account Type Saving/Current/Others	MICR Number	IFSC Code
			in case of NRI/NRE/NRO		

B. DEPOSITORY ACCOUNT(S) DETAILS (Through which transactions shall generally be routed)

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

C. TRADING PREFERENCES

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

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker. **Currency derivative segment include interest rate future

Stock Exchange	Market Segment/s			
NSE MCX BSE	Cash	<input type="text"/>	F&O	<input type="text"/>
	Currency	<input type="text"/>	Debt	<input type="text"/>
	Commodity	<input type="text"/>	Mutual Fund	<input type="text"/>

If you do not wish to trade in any of the segments, please mention here:

D. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:

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E. OTHER DETAILS

1. **Gross Annual Income Details** (Please tick (✓) : Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac
 > 25 Lacs > 1 Crore **OR**

Net-worth in ₹. (*Net worth should not be older than 1 year) **as on (date)**

2. **Occupation** (Please tick (✓) any one and give brief details) :

Private Sector Service Public Sector Government Service Business Professional Agriculturist
 Retired Housewife Student Forex Dealer Others (Pl. specify) _____

3. **Please tick, if applicable** : Related to a Politically Exposed Person Politically Exposed Person N.A.

4. If Mobile No./Email Id proposed to be used by the client belongs to a different person, then please provide these additional details	Name of the user of Mobile No. _____	Relation with Mobile No. user : <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent
	Name of the user of Email Id : _____	Relation with Email Id user : <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent

5. **Is the entity involved/providing any of the following services** YES NO

– For Foreign Exchange / Money Changer Services YES NO

– Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) YES NO

– Money Lending / Pawning YES NO

6. **Any other information** : _____

F. GST DETAILS (As applicable, State wise)

Legal Name	_____		
Trade Name	_____		
GSTIN	_____	Registration Date	_____
Name of the State	_____	State Code	_____
Other State GSTIN	_____	Registration Date	_____
Name of the State	_____	State Code	_____

G. DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

If case client has dealt through any other broker / auth. person, please provide the following details:
(if case dealing with multiple stock brokers/auth. person, provide details of all. Separate sheets may be used if required)

Name of the Broker : _____

Client Code : _____ Exchange : _____

Details of disputes/dues pending from/to such stock broker/auth. person, if any: _____

Please provide following additional in case clients had been introduced by a Authorised Person:

Auth. Person's Name: _____ SEBI Registration number: _____

Registered office address: _____

Ph: _____ Fax: _____ Website: _____

H. 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 along with relevant details: _____

Details of persons authorized to deal on behalf of Non-Individual Clients (Separate annexure may be used if required).

PHOTOGRAPH

Sign across the
Photograph

PHOTOGRAPH

Sign across the
Photograph

Name.....

Designation.....

PAN.....

UID/Aadhaar.....

Residential Address.....

.....

.....

Signature.....

Any other information :.....

.....

Whether Politically Exposed PEP (Politically Exposed Person) NO RPEP (Related to Politically Exposed Person)

Name.....

Designation.....

PAN.....

UID/Aadhaar.....

Residential Address.....

.....

.....

Signature.....

Any other information :.....

.....

Whether Politically Exposed PEP (Politically Exposed Person) NO RPEP (Related to Politically Exposed Person)

I. DETAILS OF INTRODUCER (Optional)

Signature	
Name	
Address	
Phone/Mobile No.	
Status of Introducer	<input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (Pl. Specify

I/we request that I/we may be provided with the copies of Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading); Uniform Risk Disclosure Documents (for all segments/ exchanges); and Guidance Note detailing Do's and Don'ts for trading on stock exchanges in the following form: (*Please tick the applicable box*)

Physical Form Electronic Form (through E-mail)

DECLARATION

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

Place _____

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Date

Signature of Client / All Authorized Signatory (ies)

NOMINATION FORM

(To be filled in by individual applying singly or jointly)

MAXIZO TRADING LLPCorp. Office : Unit No. 814-816, Ring Road Mall,
Sector-3, Rohini, Delhi-110085

DATE	D	D	M	M	Y	Y	Y	Y	UCC/DP ID										Client ID									
------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--	--	-----------	--	--	--	--	--	--	--	--	--

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

NOMINATION DETAILS


I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me/us in the said beneficiary owner account in the event of my / our death.

Nomination can be made upto three nominees in the account		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the nominee(s) Mr./Ms.)			
2.	Share of each Nominee	Equally [If not equally, please specify percentage]	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				
3.	Relationship with the Applicant (if any)			
4.	Address of Nominee(s) City / Place State / Country			
	PIN Code			
5.	Mobile/Telephone No. of Nominee(s)			
6.	Email ID of nominee(s)			
7.	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 A/c 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 :

8.	Date of Birth {in case of minor nominee(s)}			
9.	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10.	Address of Guardian(s) City / Place State / Country			
	PIN Code			
11.	Mobile/Telephone No. of Guardian			
12.	Email ID of nominee(s)			

	Relationship of Guardian with nominee			
14.	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 A/c 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.)		16 
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

Note : This nomination shall supersede any prior nomination made by the account holder(s), if any.

DECLARATION FORM FOR OPTING OUT OF NOMINATION

To,

MAXIZO TRADING LLP

Corp. Office : Unit No. 814-816, Ring Road Mall,
Sector-3, Rohini, Delhi-110085

DATE	D	D	M	M	Y	Y	Y	Y	UCC/DP ID								Client ID							
------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	-----------	--	--	--	--	--	--	--

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.

Signatures of Holder(s)

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Sole/First Holder/Signatory's Signature

Second Holder/Signatory's Signature

Third Holder/Signatory's Signature

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			
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, Do's and Don'ts 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 www.maxizotrading.com, for the information of the clients.

Signature of the Authorised Signatory

Date :

Seal / Stamp of Graviton

INSTRUCTIONS / CHECK LIST

1. 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.
2. Demat master or recent holding statement issued by DP bearing name of the client.
3. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
4. 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.

DECLARATION BY HUF

To,

Date :.....

MAXIZO TRADING LLP

Corp. Office : Unit No. 814-816, Ring Road Mall,
Sector-3, Rohini, Delhi-110085

Dear Sir/s,

As our HUF Firm (Joint Hindu Family) wishes to open a trading account with you for the purpose of trading in the name of we beg to say that the first signatory to this letter i.e., is the Karta of our family and other signatories are the adult co-parceners of the said family is authorized to sell, buy, transfer, endorse, negotiate and/or otherwise deal through you on behalf of the HUF. He is also authorized to sign, execute and submit such application, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF towards you and agree and confirm that any claim due to the you form the HUF shall be recoverable form the assets of any one or all of us and also form the estate of the said joint family including the interest thereon of every co-parceners of the said joint family and the share of the minor co-parceners, if any.

In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1932, we have not got our said firm registered under the said Act. We hereby undertake to inform you about the death or birth of a co-parceners or of any other change occurring at any time in the membership of our joint family, during the currency of the said trading account.

Name & signature of Karta

Name _____



Name & Signature of Adult Co-parceners (Use annexure for additional members)

S. No.	Name	Signature
1	_____	_____
2	_____	_____
3	_____	_____
4	_____	_____

Mandatory document dealing with Policies and Procedures pursuant to SEBI's Circular No. MIRSD/SE/Cir-19/2009 dated December 3, 2009

- 1. Refusal of order for Penny stocks :**
 MAXIZO shall have the absolute discretion to accept, refuse or partially accept any buy or sell order for execution from a client in respect of penny stocks, illiquid stocks, stocks having low liquidity, illiquid futures/options, far month futures/options, writing of options, stocks in S, ST, X,Z,P and GSM category and any other contracts which as per the perception of MAXIZO are extremely volatile or subject to Market manipulation.
- MAXIZO may permit restrictive acceptance of orders in such scrips/contracts in controlled environments like orders received from clients being forwarded by branches to a centralized desk at HO instead of allowing trading in such scrips/Contracts at branch level or through Online trading platform. MAXIZO shall not be responsible for delay in execution of such orders and consequential opportunity loss or financial loss to the client.
- MAXIZO may cancel orders in such scrips/contracts received from clients before execution or after partial execution without assigning any reasons thereof. MAXIZO may take appropriate declarations from the clients before accepting such orders.
- MAXIZO shall have the prerogative to place such restrictions, notwithstanding the fact that the client has adequate credit balance or margin available in his account and/or the client had previously purchased or sold such securities / contracts through MAXIZO itself.
- 2. Setting up client's Exposure limits :**
Purchase Limit : MAXIZO may provide a exposure limit for intraday and delivery based purchases by a client which would be a multiple (varying between one to four times) of the clear ledger balance in the account of the client plus value of paid up collaterals computed after appropriate haircut. The value of the "multiple" and the "haircut" shall be decided by MAXIZO based on Market Volatility and quality of collaterals.
- Sell Limit :** MAXIZO may provide a sell limit to the client equivalent to the value of securities held by the client in his POA enabled Demat account plus the collateral held by MAXIZO on behalf of the client in its Beneficiary and Margin Pool account after making appropriate adjustments for the unsettled delivery positions of the client.
- Exposure for F&O :** MAXIZO may provide exposure for F&O based on availability of initial margin (SPAN + Exposure) in the form of cash and approved securities (with appropriate hair cut).
- Client-wise differential Limits :** MAXIZO shall have the prerogative to allow differential purchase limits and sell limits varying from client to client, depending upon credit worthiness, integrity and past conduct of each client.
- 3. Applicable Brokerage Rates**
 Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration of the client and/or subsequently through a written agreement between the client and MAXIZO. The rate of Brokerage shall not exceed the maximum brokerage permissible under Exchange bye-laws.
- The slab rates of brokerage fixed by MAXIZO are function of the quality and cost of services provided to the client and the volume and revenue expected from an account. It shall be reviewed by the MAXIZO from time to time and may be increased with prospective effect at a notice of 15 days sent to the E-mail address or postal address of the client registered with MAXIZO.
- The brokerage shall however be exclusive of the following :
- DP Annual maintenance charges
 - DP transaction charges / Pledge / Re-pledge / Demat / Remat charges
 - DP Inter settlement charges
 - Account Opening charges
 - Delayed Payment charges
 - Penalties levied by Exchange
 - Research advisory charges
 - Courier charges
 - Bank charges towards the cheques received unpaid,
 - DP, Bank and other processing charges towards periodic settlement of Funds/ Securities on periodic basis
 - Statutory charges payable to Exchange/ SEBI/Govt. Authorities etc.,
 - SEBI/Exchange/Clearing Member Turnover charges
 - Other out of pocket and service related charges
- 4. Imposition of Penalty / delayed payment charges by either party, specifying the rate and the period.**
Delayed payment charges / Charges on Exposure against collaterals :
 As a matter of policy MAXIZO does not provide funding facility(ies) to any of it's client.
- Pursuant to Exchange Bye-laws, the Member broker is currently required to make pay-in of funds to the Exchange by T+1 / T+2 morning and arrange delivery of securities to the Exchange latest by T+2 morning. Further Member broker is also required to maintain adequate upfront margins with the Exchange to avail exposure for trading. The Exchanges have also defined the ratios in which the cash and collaterals are to be deposited and maintained by the Member broker. In addition, the Exchange requires the member broker to deposit some of the margins like MTM, in Cash only.

MAXIZO shall therefore charge a delayed payment penalty, not exceeding 2% per month plus GST, on account of delays/failure by the client in meeting the pay-in obligations on the scheduled date and also where the clients take exposure in F&O segment by depositing collaterals in a ratio which is disproportionate to the Cash versus collaterals ratios prescribed by the Exchanges. The above-mentioned delayed payment charges shall be levied for the entire period commencing from expiry of respective pay-in deadline till the date of actual realization of relevant dues from the client.

MAXIZO may also pay interest at such rates not exceeding prevailing bank rates on the unutilized margin amount lying on behalf of the client with MAXIZO to such clients, as it may deem fit in its sole discretion, from time to time.

Penalties levied by Exchanges :

Further Exchanges levy various penalties on the member brokers on auction resulting from short deliveries, non adherence to client-wise exposure limits, client-wise shortfall in F&O Margin and for other reasons which may be defined by the Exchange from time to time. MAXIZO shall therefore pass on any such penalty levied on it to the respective client's account.

Interest Free Deposits :

MAXIZO provides exposure against the upfront margin received in the form of cash / collateral from the client. The client may at anytime demand withdrawal of cash and collaterals at his discretion. Therefore MAXIZO shall not pay any interest or other benefit to the client for maintaining cash balances or depositing collateral margins with MAXIZO.

5. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues

MAXIZO shall have right to sell client's securities, both unpaid securities as well as collaterals deposited towards margins, or close out client's open positions, without giving notice to the client where there is a delay/ failure of the client to meet the pay-in obligations and / or there is a failure of the client to bring additional margins to cover the increase in risk in the dynamic market conditions.

a. Unpaid Securities in Capital Market :

i. In case of unpaid obligation on T+3, MAXIZO may sell the unpaid/ partially paid securities. In addition MAXIZO may sell the collaterals deposited by the client towards margins and/ or paid securities purchased by the client in earlier settlements where the sale of proceeds of unpaid securities are inadequate to cover the pay-in obligations and/ where the unpaid securities appear to be comparatively illiquid and cannot be sold at reasonable rates to the extent required.

ii. MAXIZO may follow the LIFO method for liquidation of securities but it shall not be binding on it to follow this method in all cases.

b. The margin shortfall in F&O:

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

ii. While computing margin shortfall, value of unapproved securities shall not be considered.

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

c. Intra-day Positions :

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

d. General :

i. While selling the securities/ closing the clients positions, MAXIZO may take into account the sales made by the client, positions closed by the client or collections received from the client till a cut-off time (presently 2.15pm).

ii. While selling the securities/ closing the clients positions, MAXIZO may not take into consideration Cheques/Bank drafts/Pay orders deposited by the client with MAXIZO until clear proceeds of such instruments are received by MAXIZO in its bank account.

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

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

MAXIZO shall strive to handle all the instances involving internal shortages in terms of NSE Clearing Limited's Circular No. NCL/CMPT/46456 dated 25th November, 2020 as may be applicable from time to time.

However, in all such cases, wherein the internal shortages cannot be handled as per afore-mentioned circular, the internal shortages shall be handled in terms of policy declared on our website www.maxizotrading.com

- 7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client**
- a. All Markets :**
Where client is not having adequate margins as per conditions defined under Section 2.
- b. Capital Market:**
- i. Where the client has not been able to meet his pay-in obligation in cash by the schedule date of pay-in irrespective of the value of collaterals available with MAXIZO.
 - ii. Clear proceeds of the cheque deposited by the client to meet the pay-in obligations has not yet been received by MAXIZO.
 - iii. Client is trading in "illiquid" scrips and volumes in his account exceed internal cut off limit fixed by MAXIZO.
 - iv. MAXIZO exposure at "house level" in a specific scrip / contract exceeds the internal limits fixed by MAXIZO.
- c. F&O:**
- i. Where the client has not met Market to Market loss in cash
 - ii. Where the "open" positions in a contract exceed or are close to market wide cut-off limits
 - iii. Where the client's position is close to client-wise permissible "open" positions.
 - iv. During the applicable delivery/tender period.
- d. INTRA-DAY :**
Clients will not be able to place intra-day orders after a cut-off time fixed by MAXIZO. (Presently 20 minutes prior to close of market)
- Event Based:** Where based on happening of an event, by MAXIZO has the risk perception that further trading in the securities/ contracts may not be of interest of its clients and/or the market.
- 8. Temporarily suspending or closing a client's account at the client's request**
MAXIZO may carry a periodic review of the client accounts and may suspend the accounts from Trading in the following circumstances :
- Where the client is inactive for more than 12 months
 - Where the client has not cleared the naked or uncovered debits which are more than 7 days' old.
 - Where the account is under investigation by any regulatory body.
 - Based on the recommendations made by the Branch Manager due to excessive speculations, un-cleared balances etc.
- Physical contract notes are received back undelivered due to reasons like "no such person", "addressee left", refusal to accept mails, POD's signed by the third persons, signature mismatch on POD's or other reasons which may create suspicion.
 - Close out of the open positions.
 - Non updation of communications details viz., email id, Mobile no, Land line details or it is found to be belonging to a third person.
 - Client lodges a complaint either directly with MAXIZO or through Exchange alleging unauthorized trades being executed in his account.
 - On notices received from statutory, Government or Local authorities and/or Income Tax, Service Tax, Judicial or Quasi Judicial authority, etc.
 - Where a client is reported to or known to have expired.
 - MAXIZO may also suspend the account based on the written request received from the client.
- 9. Deregistering a client**
- MAXIZO may de-register the client account based on action taken by SEBI/NSE or being part of list of debarred entities published by SEBI.
 - MAXIZO may also initiate action for deregistering a client on basis of the information found in sites of CIBIL, Watch out investors, world check or client having suspicious back ground, link with suspicious organization, etc.,
 - MAXIZO shall have right to close out the existing positions, sell the collaterals to recover its dues, if any, before de-registering the client.
- 10. Payment Terms**
The clients' shall be required to ensure that full payment towards funds pay-in obligations are made by them latest by respective pay-in deadline. Any default on this count may lead to retention of securities received in pay-out. Such securities, if any, shall be dealt with in accordance with the contents of para "Handling of Unpaid Securities".
- 11. Handling of Unpaid Securities**
In all such cases, wherein client is unable to fulfill his/her funds pay-in obligation by respective pay-in deadline, then the securities pay-out due to the client may be transferred to company's "Client Unpaid Securities Account" as per company's applicable Risk Management Policy. Further, in case of non-payment within 5 trading days from the date of securities pay-out, the unpaid securities may be sold from the Unique Client Code (UCC) of the respective client as per company's applicable Risk Management Policy. Profit/loss on the sale transaction, if any, in relation to sale of unpaid securities, shall be transferred to /adjusted from the respective client account. Remaining securities lying in Client Unpaid Securities Account, if any, shall be returned to the client.

TARIFF SHEET

Brokerage Charges**Capital Market Segment**

Stock Exchange	Delivery Charges (in %age terms)	Minimum Delivery Charges per share (in Rs.)	Jobbing Charges(in %age terms)	Minimum Jobbing Charges per share (in Rs.)
NSE /BSE	_____ %	Rs. _____ /-	_____ %	Rs. _____ /-

Futures & Options – NSE /BSE/MCX

Nature of Transaction	in %age terms	Minimum (per Unit)	Minimum (per Lot)
Futures	_____ %	Rs. _____ /-	Rs. _____ /-
Options	_____ %	Rs. _____ /-	Rs. _____ /-

Currency Derivatives Segment – NSE/BSE

Nature of Transaction	in %age terms	Minimum (per Unit)	Minimum (per Lot)
Futures	_____ %	Rs. _____ /-	Rs. _____ /-
Options	_____ %	Rs. _____ /-	Rs. _____ /-

In addition to brokerage defined hereinabove, clients shall also be required to pay following additional charges which are subject to change from time to time:

Charges levied by Central Government, State Governments, SEBI, Stock Exchanges, Clearing Member and/or other Statutory / Legal Authorities:

- Securities Transaction Tax; / Commodity Transaction Tax (CTT)
- Stamp Duty;
- GST;
- SEBI Turnover Fees;
- Transaction Charges with GST :
- IPFT
- Clearing charges charged by Clearing Corporation / Clearing Member with GST;
- Any other statutory duties and levies applicable from time to time.

Other Charges **

- Late pay-in / delayed payment charges - upto 24% p.a.- N.A
- Demat charges - Rs. 10/- per transaction for all instances involving Off-market / Inter-settlement transfers and/or pay-in of shares out of securities held on behalf of respective client. - N.A
- Pledge charges - 0.025% (Min. Rs. 25/- and Max. Rs. 300/-) per transaction in respect of all such scrips which are tendered as collateral towards applicable margin in Futures and Options / Currency Derivatives Segment. - N.A
- Internet-based trading (IBT) facility - Rs. 300/- per segment per month for application based software (Rs. 100/- for browser based IBT facility) (Optional) - N.A
- Cheque bouncing charges - (As per Bank charges)
- Request for additional statement / bill / contract note - Rs. 5/- per page (Min. Rs. 25/- per request) + Courier Charges, if any
- All such charges / penalties that may be levied upon MAXIZO TRADING LLP by stock exchanges/SEBI/any other statutory authority due to any act/ommission/negligence, whether wilful or otherwise, on part of the client
- In addition to the above, appropriate charges shall also be levied for all such services/facilities that may be availed by the client in addition to services/facilities as per defined Rights and Obligations

** GST at applicable rates shall additionally be levied on all of these charges

RUNNING ACCOUNT AUTHORISATION - ALL EXCHANGES

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker and the client. The same are required for maintaining the account of the Client on a running basis. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document, in which eventuality; the stock broker shall maintain the account of the client on a settlement basis)

To,

MAXIZO TRADING LLP

Corp. Office : Unit No. 814-816, Ring Road Mall,
Sector-3, Rohini, Delhi-110085

Dated.....

I/ we / are/ shall be maintaining a trading account with you for the purpose of doing trading transactions and in order to facilitate ease of operations. I/ we authorize you as under:

1. My/ our trading account w.r.t funds transactions may please be maintained on a running basis i.e. the funds pay out due to me/ us on the date of pay- out may be retained with your good selves and adjusted towards my/ our future margin obligations and/ or funds pay-in obligations.
2. While settling my/ our trading account on a periodical basis, you may retain my/ our funds only to such extent as may be allowed as per applicable directives/ guidelines issued by Stock Exchanges/. SEBI.
3. I/ we confirm that I/ we shall bring to your notice all the discrepancies/ disputes, if any, arising out of statements sent to me/ us at the time of my/ our periodical settlement, within a period of 30 working days from the date of such statements.
4. I/ we reserve my/ our right to revoke this authorization at any time without any prior notice by submitting a written request with your goodselves:
5. I/ we would prefer to get my/ our trading account actually settled as per the periodicity indicated herein after:

 Once in every 30 days

 Once in every 90 days

Thanking you,

Yours faithfully,

Signature



Name _____ Client Code: _____

[Note: To be signed by person himself / herself not to be signed by his/her attorney/authorized person etc.]

DECLARATION FOR NAME MISMATCH

I S/o
R/o
do hereby declare that I have been known by two different names i.e.....
as per Income tax official website and as per the name
printed on PAN Card (PAN No.....) and all other subsequent identity
proofs. I further declare that both and
are one and the same person.

I confirm and undertakes that for the purpose of evidencing such my determination I shall at all times
hereafter in all records deeds and writings, whatsoever use and known by the name of.....
as my name in place.

20 

Date: _____

Client Name: _____ Client Code: _____

ADDITIONAL RIGHTS & OBLIGATIONS

(Kindly note that these additional clause(s) are voluntary and at the discretion of the stock broker and the client. The same are required for clarifying the scope and exact nature of authorities and responsibilities of the Stock Broker and the client vis-à-vis each other. The client need not execute this document if he / she

does not wish to. The client has the right to terminate the document. The Client also has the right to struck off all such clauses, if any, to which he/she doesn't agree. The Client is also expected to put his/her signatures against all such struck off clauses).

For the purpose of this document, unless the context otherwise requires:

- a) The words "MAXIZO" wherever used in this schedule shall be deemed to be referring to M/s. MAXIZO TRADING LLP, a LLP incorporated under the Limited Liability Partnership Act, 2008 and having its registered office at U284/22, Sonapat Stand, Durga Colony, Rohtak, Haryana-124001;
- b) Words denoting the singular number shall also include the plural and vice versa;
- c) The pronouns "he", "she", "it" and their cognate variations are used as interchangeable and interpreted in accordance with the context;
- d) Words denoting a person shall include an individual, corporation, company, partnership, trust or other entity; provided however that clauses specifically applicable to a company, partnership or body corporate shall not apply to any other entity;
- e) References to the words "include" or "including" shall be construed without limitation;
- f) References to recitals and clauses shall be deemed to be a reference to the recitals and clauses of this schedule; and
- g) Reference to any rule, regulation, by-laws, circulars, guidelines and / or directives shall be construed as referring also to any amendment, addition or deletion therein or re-enactment thereof.

Additional Rights & Obligations :

1. The Client agrees and acknowledges that MAXIZO shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment and as such all investment and disinvestment decisions shall be based on the Client's own evaluation of financial circumstances and investment objectives. This extends to any decision made by the Client on the basis of any information that may be made available by MAXIZO including that on the website/trading platform/through SMS etc. The Client will not hold nor seek to hold MAXIZO or any of its officers, directors, employees, agents, subsidiaries, affiliates or business associates liable for any trading losses or other losses, costs or damage incurred by the Client consequent upon relying on information, research opinions or advice or any other information whatsoever including that on the website whether put up by MAXIZO or any other agency. MAXIZO does not represent and shall not be deemed to have represented that the investment information is accurate or complete. The Client is aware that any information based on the research of MAXIZO or other external sources is merely an estimation of the viability or otherwise of certain investments, and MAXIZO shall not be deemed to have assumed any responsibility for such information. The Client should seek independent professional advice regarding the suitability of any investment decision. The Client also acknowledges that MAXIZO's employees/agents are not authorized to give any such advice and that the Client will not solicit or rely upon any such advice from MAXIZO or any of its employees/agents.
2. The Client hereby agrees and declares that he has fully assessed and accepted the risks involved in using the services / facilities including but not limited to internet based services such as but not limited to misuse of passwords, internet frauds, technology risks etc.; and agrees not to hold MAXIZO and/or services providers responsible for any damages, losses or negative consequences, which Client may suffer in any manner whatsoever.

3. The Client shall regularly review information relating to order placement, order confirmation, order modifications, order executions, trade confirmations, trade modifications and /or any other information that may be contained in bills, transaction statements, account statements, securities statements, margin statements etc. pertaining to Client's account, communicated or sent by MAXIZO either to Client himself or to any of his relatives, associates or authorized representatives in person or through telephone, SMS, e-mail, courier, ordinary post, speed post, registered post, telegram or any other means or modes that may be available with MAXIZO at the relevant time to Client's Mobile / Telephone No., E-mail Id and/or Postal Address as per MAXIZO's records, and to report the discrepancies in such information/ correspondence, if any, immediately within a period not exceeding 7 days after dispatch of the same from MAXIZO's end by delivering a physical letter in this regard at MAXIZO's corporate office.
4. The Client agrees to ensure that he shall not act as a portfolio manager / sub-broker / authorised person / intermediary without getting himself registered as such, in accordance with relevant provisions of rules, regulations, bye laws, circulars and guidelines of the respective stock exchange(s) and / or SEBI.
5. Client agrees to MAXIZO tape-recording the conversations between Client/Client's representative and MAXIZO's officers/ employees/agents etc. in its absolute discretion, either personally or over the telephone. Such recordings may be relied upon by MAXIZO in appropriate legal /conciliatory proceedings.
6. The Client undertakes that he shall neither place nor cause to be placed any such orders (including but not restricted to such orders which are either structured, synchronized or circular in nature and/or such other orders which has or may have the potential of manipulation of order books, prices and/or volumes of the respective scrips/securities/ contracts and/or such other orders which do not have any bonafide economic rationale or are otherwise in-genuine in nature) at the trading terminals of MAXIZO, which violates any of the provisions of rules, regulations, bye-laws, circulars, guidelines and/or directives of SEBI / respective Stock Exchange/s, as may be in force from time to time. In case of any default on the part of the Client in this regard, the Client unconditionally agrees to wholly indemnify MAXIZO against all such damages, losses and/or penalties, which MAXIZO may be required to incur or suffer on account of Client's violation/non-compliance of the conditions contained in this clause, irrespective of the fact whether such damage/loss/penalty arises during the period of existence of Broker-Client relation of the parties hereto, or at any time thereafter.
7. In case Client has made any sale of securities and due to any exigencies, Client is unable to make available the delivery of the same in the designated account within the designated time and it is an inter Client delivery at broker level, Client hereby agrees that MAXIZO may make purchases of the same in the market on Client's behalf to make available the delivery of the said securities to the opposite party.
8. Client agrees that his trading account/s may be debited with late payment charges as mentioned in Standard Policies and Procedures documents as MAXIZO may deem fit in its absolute sole discretion, in case the Client fails to meet his pay-in obligations by such pay-in deadlines as may be prescribed by respective Stock Exchange(s) / SEBI from time to time;
9. Client agrees that all such securities that have been deposited by the Client with MAXIZO towards collateral / margin and/or such other securities that may be lying with MAXIZO from time to time due to maintenance of running account by the Client with MAXIZO, may be deposited / pledged by MAXIZO with any stock exchange/clearing corporation/ clearing house / clearing member / any other

- person or entity, as MAXIZO may deem fit in its absolute discretion;
10. MAXIZO shall be within its right to demand sums due separately for any specific segment and/or stock exchange, if it so deems fit in its absolute discretion. Further, the Client authorizes MAXIZO to set-off outstanding balance/s in any of Clients' trading accounts with MAXIZO against credits available or arising in any other trading account/s maintained by the Client with MAXIZO, irrespective of the fact whether such credit pertains to transactions in different segments of the same Stock Exchange or of different Stock Exchanges and/or against the value of cash margin, securities and / or any other collateral deposited by the Client with MAXIZO;
 11. The Client agrees that all monies or securities which MAXIZO may hold on Client's account shall be held subject to a general lien for the discharge of Client's obligations towards MAXIZO.
 12. Client agrees that MAXIZO may in its sole discretion, set-off / appropriate / adjust a part or whole of the monies / credit balances in ledger and / or securities (shares/stocks/commodities etc) and / or Margin lying as credit in Client's account against any dues / debit balances in ledger including but not limited to dues by way of shortfall in Margin in any of Client's account.
 13. The Client understands and agrees that in no case MAXIZO shall be able to give to the Client, credit against Third Party Payments/ Deliveries tendered/transferred by the Client to the respective Bank and/or Demat Accounts of the MAXIZO. However, in case due to any error or omission, whether bonafide or otherwise on the part of any of the employees/agents etc. of MAXIZO, the Client gets credit towards any Third Party Payments/ Deliveries, then in such a case.
 - a) where the Client has received credit towards any third party payments, the Client unconditionally agrees to arrange for refund of the entire amount for which undue credit has been received by the Client from MAXIZO, forthwith on receipt of intimation / request in this regard from MAXIZO, and in a case, where the Client has failed to refund the entire amount within 7 days from the date of receipt of intimation / request as aforesaid, then he shall be liable to refund the said amount along with interest @ 18% p.a. plus GST payable for the entire period falling between date of receipt of intimation / request as aforesaid and the date of receipt of actual refund by MAXIZO from the Client; and
 - b) where the Client has received credit towards any third party deliveries, the Client unconditionally agrees to arrange for returning all such securities along with all the Corporate Benefits thereon, if any, received by the Client on such securities for which undue credit has been received by him, forthwith on receipt of intimation / request in this regard from MAXIZO, and in case, where the Client fails to return the Securities / Corporate Benefits as aforesaid, the Client shall be liable to pay to MAXIZO, the money equivalent to market value of the Securities / Corporate Benefits not so returned, calculated in accordance with market rates of the relevant securities, prevailing on the date of such payment.
 14. The Client understands and agrees that in case due to any error or omission, whether bonafide or otherwise, on the part of any of the employees/agents etc. of MAXIZO, MAXIZO pays / transfers / credits to the Client any funds / securities to which the Client was not entitled, then in such a case.


- a) where the Client has received any payment/credit from MAXIZO for an amount to which he was not entitled, the Client unconditionally agrees to arrange for refund of the entire amount unduly received by him, forthwith on receipt of intimation / request in this regard from MAXIZO, and in a case, where the Client has failed to refund the entire amount within 7 days from the date of receipt of intimation / request as aforesaid, then he shall be liable to refund the said amount along with interest @ 18% p.a. plus GST payable for the entire period falling between date of receipt of intimation / request as aforesaid and the date of actual receipt of refund by MAXIZO from the Client; and
- b) where the Client has received any securities from MAXIZO to which he was not entitled, the Client unconditionally agrees to arrange for returning all such securities along with all the Corporate Benefits thereon, if any, received by the Client on such securities unduly received by him, forthwith on receipt of intimation / request in this regard from MAXIZO, and in case, where the Client fails to return the Securities / Corporate Benefits as aforesaid, the Client shall be liable to pay to MAXIZO, the money equivalent to market value of the Securities / Corporate Benefits not so returned, calculated in accordance with market rates of the relevant securities, prevailing on the date of such payment.
- Irrespective of the fact whether such a payment/transfer takes place during the period of existence of Broker-Client relation of the parties hereto, or at any time commencing thereafter.
15. The Client agrees to accept the responsibility of himself knowing the status of all corporate action(s) including but not limited to Rights Issues, Bonus Issues, Dividends, Stock Splits, Consolidation of Shares, Buy Backs, Open Offers, Reduction / Reorganization of Capital, Merger, Demerger or Amalgamation of Companies and/or Delisting of Companies/ Securities etc. announced or intimated by Issuer Company from time to time, which may or may not have an impact on prices, volumes, lot sizes and/or tradability of respective securities and/or contracts. It is the Clients'

responsibility to keep track of all such corporate action/s in respect of all such securities / contracts in which Client intends to trade and / or those which are kept by Client with MAXIZO for ease of dealing / margin / collateral / security etc. and to make appropriate trading / dealing decisions by appropriately considering the impact of any such corporate action(s). MAXIZO shall not be able to act as an advisor to Client in any of these matters/ aspects.

The Client also agrees that in respect all such securities which are kept by Client with MAXIZO for ease of dealing / margin / collateral / security etc., MAXIZO shall not be responsible in any manner to provide any benefits arising out of various Corporate Actions including benefits arising out of Right Issues, Open Offers and Delisting Offers unless benefits, if any, under such Corporate Actions automatically gets credited to the respective Bank/Demat Accounts of MAXIZO, without requiring any action whatsoever on the part of MAXIZO. However, in case of dividend / bonus / stock splits, the benefit thereof shall be passed on to the respective Clients by the MAXIZO, within one month after receipt thereof.

Further, for availing the benefits arising out of Corporate Actions requiring some action e.g. Right Issues, Open Offers and Delisting Offers etc., in respect all such securities which are kept by Client with MAXIZO for any reason whatsoever, the Client shall be solely responsible for applying for such corporate benefits after himself taking initiative for getting such securities transferred into his own beneficiary account well in advance before applicable record date / cut-off date / book closure, if any. In exceptional circumstances only, MAXIZO may, upon written request of the Client given well in advance, take actions for and on behalf of the Client, to apply for and / or to receive such corporate benefits in respect of securities held by MAXIZO on behalf of the Client (subject to Client making available free funds etc. for the same well in advance). However, MAXIZO shall not be liable for any loss / claim whatsoever, in the event such application is rejected by Registrar / Company / Manager to the Issue, for any reason whatsoever.

16. The Client agrees to accept full responsibility of himself knowing all the applicable rules, regulations, byelaws and directives, if any, in relation to delivery transactions on Commodity Derivatives Segment/s. MAXIZO shall not be able to act as advisor to Client in any of these matters. The client agrees to assume complete and unconditional responsibility in respect of all the compliances, taxes, costs, charges, fee, levies and/or penalties etc., if any, relevant to delivery transactions on Commodity Derivatives Segment/s. The client also unconditionally agrees to reimburse all the costs, expenses and/penalties etc., if any, which MAXIZO may be required to incur and/or suffer on account of client's delivery transactions on Commodity Derivatives Segment/s.
17. The parties hereto have agreed that failure of either party to enforce at any time any terms contained in this schedule, shall not be construed to be the waiver of such terms or of the right to enforce such terms, at any time thereafter.
18. If any provisions of this schedule are held invalid or unenforceable by reason of any law, rule, administrative order or judicial decision by any court, or regulatory or self-regulatory agency or body, such invalidity or unenforceability shall attach only to such provisions held invalid. The validity of remaining provisions and terms shall not be affected thereby and these terms shall be carried out as if such invalid / unenforceable provisions or terms were not contained herein.

Signed by or on behalf of Client	
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Signed by:	
Title:	
Name of the client	
Place	Date

Signed on behalf of MAXIZO	
Signed by:	
Title:	
Name of the Stock Broker : MAXIZO TRADING LLP	
Place	Date

ELECTRONIC CONTRACT NOTE (ECN) DECLARATION

APPENDIX - A

To,

MAXIZO TRADING LLP

Corp. Office : Unit No. 814-816, Ring Road Mall,
Sector-3, Rohini, Delhi-110085

Dear Sir,

I _____ a client with member
M/s. MAXIZO TRADING LLP undertakes as follows:

- I am aware that the member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am 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 find that it is inconvenient for me to receive physical contract notes. Therefore , I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operation.
- My email id is _____.
This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other Indian language known to me.
- I am 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. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

Client Name: _____

Unique Client Code : _____

PAN: _____

Address : _____



Date : _____ Place: _____

Verification of the client signature done by,

Name of the designated officer of the Member _____

Signature _____

PMLA DECLARATION

To,

Date : _____

MAXIZO TRADING LLP

Corp. Office : Unit No. 814-816, Ring Road Mall,
Sector-3, Rohini, Delhi-110085

Dear Sir/s,

This has reference with the trading account bearing Client Code _____, already opened / proposed to be opened by me/us with you for the purpose of doing trading transactions in Commodity Derivative Contracts on stock exchanges.

With regard to the same, I/we wish to inform you that I/we propose to undertake high value transactions bearing value of more than Rs. 5,00,000/- (Rupees five lacs only) per day in the said trading account. The purpose of my/our trading shall be as follows:

- Speculation
 Hedging
 Arbitrage

(Please tick appropriate entry/ies)

I/we do hereby confirm that I/we shall abide by all the provisions as are contained in Prevention of Money Laundering Act, 2002 as well as all the rules, regulations and notifications issued pursuant thereto.

Further, I/we also do hereby confirm that I/we shall route all the receipts / payments in respect of my/our dealings in said trading account, only through such bank account/s that has/have been registered by me/us with you.

Kindly take the above on record and do the needful.

Thanking you,

Yours' truly,

Signature 

Name _____ Client Code _____

CLIENT DEFAULTER DECLARATION

I, _____ having PAN no. _____ do hereby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI/Various Stock Exchanges/ Regulatory bodies/CIBIL (Credit Information Bureau of India Ltd.) etc.

I further declare that the above mentioned declaration/statement is true and correct.



Date: _____

Client Name: _____ Client Code: _____

FOR REGISTRATION AND VERIFICATION OF MOBILE NUMBER AND E-MAIL ADDRESS

To,
The Compliance Officer
MAXIZO TRADING LLP

Date : _____

Corp. Office : Unit No. 814-816, Ring Road Mall,
 Sector-3, Rohini, Delhi-110085

I/We am/are aware that stock exchanges provide SMS/email alerts to the constituents (clients) of its member for trades executed on its platform. I/We hereby provide and confirm my/our mobile number and/or email address as stated below for the purpose of receipt of SMS/email alerts.

- I want to receive transaction alerts in SMS as well as email from Exchanges.
- I want to receive transaction alerts only in SMS from Exchanges.
- I want to receive transaction alerts only in Email from Exchanges.
- I do not want to receive any transaction alerts from Exchanges, specify reason

.....

The alerts should be sent on :

Mobile number (enter 10 digit mobile no.)

--	--	--	--	--	--	--	--	--	--

E-mail Id.....

I/We agree to the terms and conditions specified by the Stock Exchanges. I/We am/are aware that the receipt of SMS/E-mail alerts on the above mobile number and/or email address can be stopped only on my/our written request.

Name of the Client.....

Client Id

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Notes : The authorities provided hereinabove may be revoked at any time. Further, this authorisation must be signed by the client himself/herself.

SPECIMEN OF BOARD RESOLUTION*(To be provided on Pre-printed letter head of the company)*

CERTIFIED TRUE COPY OF RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF M/S..... HAVING ITS REGISTERED OFFICE AT..... HELD ONTH DAY OF, 20.....

“RESOLVED THAT the Company is empowered to deal on Capital Market, Futures & Options, Currency Derivatives of National Stock Exchange of India Ltd. (NSE) and/or any other Segment that may be introduced by NSE.

RESOLVED FURTHER THAT a Corporate Trading Account/s for the purpose of trading on NSE/BSE/MCX be opened with M/s. **MAXIZO TRADING LLP** having their Regd. Office at U 284/22, Sonepat Stand, Durga Colony, Rohtak, Haryana-124001. M/s. **MAXIZO TRADING LLP** be and is hereby authorized to honor instructions, oral or written, given on behalf of the company by any of the under noted authorized signatories:

Sl. No.	Name	Designation
1.
2.

who are authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through **MAXIZO TRADING LLP** on behalf of the Company.

FURTHER RESOLVED THAT Shri..... and/or Mr.....Directors and/or Mr, Authorized Signatory of the Company, be and are hereby authorized 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 accounts and give effect to this resolution.

RESOLVED FURTHER THAT the Common Seal of the Company be affixed, wherever necessary in accordance with the relevant clauses of Articles of Association of the Company.”

For

Chairman/Company Secretary

Specimen Signature of the Authorized Persons

Sl. No.	Name	Specimen Signature
1.
2.

MAXIZO TRADING LLP

LLPIN - AAI-9061

MEMBER : NSE, MCX,BSE
(Cash, F&O, Currency Derivatives Exchange)
SEBI Regn. No.: INZ000180555
Membership ID : NSE – 90130, MCX – 56890,
BSE -

Registered Office : U284/22, Sonapat Stand, Durga Colony,
Rohtak, Haryana-124001

Corp. Office : Unit No. 814-816, Ring Road Mall,
Sector-3, Rohini, Delhi-110085

Phone : 011-45684000

E-mail : investors@maxizotrading.com • **Web :** www.maxizotrading.com

