



# PATERSON

*Inspiring trust, creating wealth*

**EQUITY | MF | PMS | DP**

## ACCOUNT OPENING FORM FOR INDIVIDUAL/NON-INDIVIDUAL

DP ID	1	2	0	4	0	1	0	0								
-------	---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

Risk: ☐ High ☐ Medium ☐ Low

Segment: ☐ Cash ☐ F&O ☐ ECN ☐ DP-POA ☐ CD

Type: ☐ Online ☐ Offline ☐ Only Trading ☐ Trading & DP





Name		For Demat	
Client Code		Maker	
Branch		Checker	
DP 2		For Trading	
KRA status		Account Opened by	
KYC Number		Form & System Check	
RM Name		Scanned & Despatched by	



## INDEX OF DOCUMENTS

S.No	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	KRA Form and Account Opening Form (FATCA & Nomination) Individual&Non-Individual	A. KYC Form - Document captures the basic information about the constituent and an instruction/checklist.	1to14
		B. Document captures the additional information about the constituent relevant to Trading/ Demat account and an instruction/check list.	
2.	Tariff sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on stock exchange(s) & DP Service charges/Fee Structure	15
3.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	SEPARATE COPY FOR CLIENT
4.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker/Authorised Person and client for trading on exchange (including additional rights & obligations in case of internet/wireless technology based trading).	
5.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
6.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
7.	Rights & Obligations of Beneficial Owners & Depository Participants:	Document stating the Rights & Obligations of Beneficial Owners and Depository Participants.	
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
8.	Mutual Fund	Terms & Conditions for availing Mutual Fund services of BSE StAR / NSE MFSS facility.	
9.	SMS Alerts from Depository	Terms & Conditions cum Registration form for receiving SMS Alerts from Depository	
10.	Running Account Authorisation	Authorisation to maintain Running Account	16
11.	Voluntary Terms & Conditions	Additional terms & conditions specific to clients for the purpose of operational efficiency.	16to18
12.	Option Form For Issue Of Ids Booklet		19
13.	Power of Attorney for the purpose of settlement / Margin obligation	POA provided by Beneficiary Owner (BO) to Paterson for settlement /Margin purpose	21
14.	NACH Mandate	National Automated Clearing House (NACH) Mandate form for direct debit of charges.	23to24
15.	Mutual Fund - AOF for physial mode transaction	Document for availing mutual fund services for BSE	25
16.	Non- Individual	Additional Documents Required	26

### 1. Signature Types

<b>FH</b>  Signature of Client / First Holder	<b>SH</b>  Signature of Second Holder	<b>TH</b>  Signature of Third Holder	 Authorised Signatory of Member
--	--	---	--

### 2. In case of any correction in the form - Sign next to the correction done & that has to match the original Signature

**WE, PATERSON SECURITIES PVT. LTD. ARE DEALING IN BOTH CLIENT AND PROPRIETARY TRADING BUSINESS**

#### IMPORTANT INSTRUCTIONS

- All details to be filled in Block letters in Black / Blue Ink Only.
- Email ID & Mobile number are mandatory for account related passwords and transaction details.
- Corrections in the KYC form should be counter signed.
- Strike off whichever option, in the account opening form, is not applicable.
- All Originals to be produced for physical verification.
- If any proof of identity or address is in a regional language, then translation into English is required.
- Sole proprietor must make the application in his individual name & capacity.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.




## KYC CHECKLIST (PLEASE TICK WHEREVER APPROPRIATE)

Acceptable Documents (Copies of all documents to be self attested)		Please Tick
PAN Card	Account Holder & Joint Holders (If any)	
Photograph	One Colored Front Face Photograph on photographic Paper (Passport Size)	
Additional Proof of Identity (Any One)  (If PAN card not visible or Signatures in KYC and PAN Card are different)	1. Unique identification number (UID) (Aadhaar)	<input type="checkbox"/> KRA document used  (Email Id & Phone number to be provided on given KRA Form)
	2. Valid Passport (Name, Address & Photo page)	
	3. Voter ID (Both Sides)	
	4. Valid Driving License (Name, Address & Photo page)	
	5. PAN Card	
	6. Others (Pls. Specify) _____	
Proof of Address (Any One)  Permanent / Correspondence	1. Valid Passport (Name, Address & Photo page)	<input type="checkbox"/> KRA document used
	2. Voter ID (Both Sides)	
	3. Valid Driving License (Name, Address & Photo page)	
	4. Unique identification number (UID) (Aadhaar)	
	5. Bank Statement/Passbook (not more than 3 months old must contain complete address of client)	
	6. Banker's Verification Letter	
	7. Electricity Bill (not more than 3 months old)	
	8. Resident Landline Tel. Bill (not more than 3 months old)	
	9. Registered Flat Sale Agreement of Residence	
	10. Registered Lease/Leave & License Agreement	
Bank Proof With MICR / IFSC Code (1st Holder only)	1. Bank Statement / Bank Passbook with cheque leaf (not more than 3 months old)	
	2. Banker's Certificate on letter head of the Bank (ORIGINAL)	
	3. Cancelled Cheque leaf (bearing the name of the account holder)	
Demat Proof (Any One) (1st Holder only)	1. Client Master (CMR copy duly attested by DP)	
	2. DP Statement / Transaction cum Holding Statement	
Proof of Income (Any One)  (Mandatory for F&O / Currency Segments) (1st Holder only)	1. Copy of ITR Acknowledgement	
	2. In case of salary income - Salary Slip, Copy of Form 16	
	3. Net-worth certificate (Not more than 1 year old)	
	4. Copy of Demat Account Holding Statement	
	5. Bank Account Statement for last 6 months reflecting income	

### NRI - Acceptable Documents (Copies of all documents to be self attested)

<input type="checkbox"/> PAN Card <input type="checkbox"/> Passport <input type="checkbox"/> Valid VISA / Work Permit <input type="checkbox"/> Normal NRE / NRO Bank proof <input type="checkbox"/> OCI / PIO Card (In case of foreign national of Indian Origin) <input type="checkbox"/> FEMA Declaration duly signed by client <input type="checkbox"/> RBI permission letter (PIS Letter) <input type="checkbox"/> PIS (Portfolio Investment Scheme) bank account proof <input type="checkbox"/> In case of other DP - Client Master Copy duly attested with stamp by DP official & self attested by BO required		
Copy of Foreign Address Proof (Any One)	1. Passport (Validity period to be checked)	
	2. Driving License (Validity period to be checked)	
	3. Bank Statement / Passbook with latest transaction details for 3 months	
	4. Electricity/Telephone (Landline) bill (Not more than 3 months old)	
	5. Proof of address issued by Notary Central-State Government / Notary Public / Gazette Officer / Scheduled Commercial Banks / Parliament / Elected Representatives to the Legislative Assembly	
	6. Others (Pls. Specify) _____	

PLEASE SIGNATURE

FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL			
	First / Sole Holder	Second Holder	Third Holder
Client Code:		N/A	N/A
Demat Account No.			
1. Are you U.S. Person	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Specify Country of tax residency (If resident of more than one country, please specify all)			
3. Specify Country of citizenship (If resident of more than one country, please specify all)			
If "Yes" in point no.1 and/or "specifies countries other than India" in point no.2 and 3 above, please provide below details:-			
4. Provide Tax Identification Number			
5. Specify country of birth			
6. Specify city of birth and pin code			
7. Source of Wealth	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Rental Income <input type="checkbox"/> Prize Money <input type="checkbox"/> Royalty <input type="checkbox"/> Other (Please Specify) _____	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Rental Income <input type="checkbox"/> Prize Money <input type="checkbox"/> Royalty <input type="checkbox"/> Other (Please Specify) _____	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Rental Income <input type="checkbox"/> Prize Money <input type="checkbox"/> Royalty <input type="checkbox"/> Other (Please Specify) _____
<b>Declaration</b>  I /We hereby declare, agree and confirm the following:-  a) The details furnished above are true to the best of my knowledge and belief and shall undertake to inform Paterson Securities Private Limited within 30 days, in case of any change in the above given status on a future date;  b) If I/We am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by Paterson Securities Private Limited to the relevant tax authority, or information may be shared with concerned Asset Management Companies (AMCs) or such other product providers, to whom FATCA/ CRS norms are applicable or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India;  c) If my/our Country of Birth is US, however, I/We declare that I/We are not US Person, I/We shall provide a certificate of relinquishment of citizenship (Loss of nationality) OR a self certification stating reasons for not having such a certificate despite relinquishing US citizenship OR not obtaining US citizenship at birth.			
	First / Sole Holder	Second Holder	Third Holder
Signature	FH  1/16	SH  1/7	TH  1/7
Name			
Date			



# KNOW YOUR CLIENT (KYC) FIRST HOLDER APPLICATION FORM (FOR INDIVIDUALS ONLY)



Please fill in ENGLISH & in BLOCK LETTERS with black/blue ink & tick the appropriate options

## A. IDENTITY DETAILS

1. Name of Applicant											
2. Maiden Name	FOR MARRIED WOMEN ONLY										
3. Father <input type="checkbox"/> / Spouse Name <input type="checkbox"/>											<b>PHOTOGRAPH</b>  Please affix your recent passport size photograph and sign across it
4. Mother Name											
5. a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender										
b. Date of birth	DD / MM / YYYY		c. Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others								
6. Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others(ISO 3166 Country Code) <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>										
7. Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Individual <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin										FH 2/16
8. PAN	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>										
9. Specify the proof of identity submitted :											

## B. ADDRESS DETAILS

1. Residence / Correspondence Address											
City/Town/Village						District					
Pin Code				State				Country			
2. Contact/Mobile No						Tel (Res.)					
Tel (Off.)						Email id					
3. Specify the proof of address submitted for Residence / Correspondence Address:											
4. Permanent Address (if different from above correspondence address) (Mandatory for NRIs)											
City/Town/Village						District					
Pin Code				State				Country			

## RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA

Country of Jurisdiction of Residence*	<input type="text"/>	Country of Birth*	<input type="text"/>	ISO 3166 Country Code of Birth*	<input type="text"/>
Tax Identification Number or Equivalent (If issued by Jurisdiction)			<input type="text"/>		

## 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.

Date DD / MM / YYYY	Place	Signature of Applicant	FH 3/16
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## FOR OFFICE USE ONLY

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by	Seal/Stamp of the Intermediary
Name & E Code				
Designation				
Date	DD / MM / YYYY	DD / MM / YYYY	DD / MM / YYYY	
Signature				

PLEASE SIGNATURE

# KNOW YOUR CLIENT (KYC) SECOND HOLDER APPLICATION FORM (FOR INDIVIDUALS ONLY)



Please fill in ENGLISH & in BLOCK LETTERS with black/blue ink & tick the appropriate options

(DP Purpose Only)

## A. IDENTITY DETAILS

1. Name of Applicant												
2. Maiden Name	FOR MARRIED WOMEN ONLY											
3. Father <input type="checkbox"/> / Spouse Name <input type="checkbox"/>												
4. Mother Name												
5. a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender											
b. Date of birth	DD / MM / YYYY			c. Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others							
6. Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others(ISO 3166 Country Code) <input type="text"/>											
7. Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Individual <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin											
8. PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
9. Specify the proof of identity submitted :												

### PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

SH  
2/7

## B. ADDRESS DETAILS

1. Residence / Correspondence Address											
City/Town/Village							District				
Pin Code				State				Country			
2. Contact/Mobile No							Tel (Res.)				
Tel (Off.)							Email id				
3. Specify the proof of address submitted for Residence / Correspondence Address:											
4. Permanent Address (if different from above correspondence address) (Mandatory for NRIs)											
City/Town/Village							District				
Pin Code				State				Country			

## RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA

Country of Jurisdiction of Residence*	<input type="text"/>	Country of Birth*	<input type="text"/>	ISO 3166 Country Code of Birth*	<input type="text"/>
Tax Identification Number or Equivalent (If issued by Jurisdiction)			<input type="text"/>		

## 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.

Date DD / MM / YYYY    Place \_\_\_\_\_    Signature of Applicant

SH  
3/7

## FOR OFFICE USE ONLY

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by	Seal/Stamp of the Intermediary
Name & E Code				
Designation				
Date	DD / MM / YYYY	DD / MM / YYYY	DD / MM / YYYY	
Signature				KYC Number:

# KNOW YOUR CLIENT (KYC) THIRD HOLDER APPLICATION FORM (FOR INDIVIDUALS ONLY)



Please fill in ENGLISH & in BLOCK LETTERS with black/blue ink & tick the appropriate options

(DP Purpose Only)

## A. IDENTITY DETAILS

1. Name of Applicant												
2. Maiden Name	FOR MARRIED WOMEN ONLY											
3. Father <input type="checkbox"/> / Spouse Name <input type="checkbox"/>												
4. Mother Name												
5. a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender											
b. Date of birth	DD / MM / YYYY			c. Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others							
6. Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (ISO 3166 Country Code)											
7. Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Individual <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin											
8. PAN												

### PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

TH  
27

## 9. Specify the proof of identity submitted :

## B. ADDRESS DETAILS

1. Residence / Correspondence Address												
City/Town/Village						District				Country		
Pin Code				State				Country				
2. Contact/Mobile No						Tel (Res.)						
Tel (Off.)						Email id						
3. Specify the proof of address submitted for Residence / Correspondence Address:												
4. Permanent Address (if different from above correspondence address) (Mandatory for NRIs)												
City/Town/Village						District				Country		
Pin Code				State				Country				

## RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA

Country of Jurisdiction of Residence*		Country of Birth*		ISO 3166 Country Code of Birth*	
Tax Identification Number or Equivalent (If issued by Jurisdiction)					

## 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.

Date DD / MM / YYYY    Place \_\_\_\_\_    Signature of Applicant

TH  
37

## FOR OFFICE USE ONLY

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by	Seal/Stamp of the Intermediary
Name & E Code				
Designation				
Date	DD / MM / YYYY	DD / MM / YYYY	DD / MM / YYYY	
Signature				KYC Number:

PLEASE SIGNATURE

**APPLICATION FOR OPENING A DEMAT & TRADING ACCOUNT****(Non Individuals - Corporate)****[Depository Participant : Central Depository Services (India) Ltd.]****Depository Participant****PATERSON SECURITIES PRIVATE LIMITED**

VANGUARD HOUSE, 48, Second Line Beach, IIIrd Floor, Chennai - 600 001.

Tel: 044 - 4262 3795, 2534 1413, 2534 2700 Fax: 044 - 2534 1741

E-mail : customer.grievance@paterson.co.in Web Site : www.paterson.co.in

**Depository ID****12040100****DP SEBI Regn. No.****IN-DP-CDSL-312-2005**Please fill all the details in **BLOCK LETTERS** in English**Dated****Account No.****1****2****0****4****0****1****0****0**

Dear Sir,

We request you, Paterson Securities Private Limited, to open a Depository Account in our name as per the following information.

**Name of the Applicant****Date of Incorporation /  
Formation****Place of Incorporation /  
Formation****Date of Commencement  
of Business****CIN No.  
(provide proof)****PAN****Registration No.****Type of Account (Please tick whichever is applicable)****Status****Sub Status**

- |   |   |   |                                      |
|---|---|---|--------------------------------------|
| <input type="checkbox"/> Private Limited Company      | <input type="checkbox"/> Public Limited Company | <input type="checkbox"/> Body Corporate | <input type="checkbox"/> Partnership |
| <input type="checkbox"/> Trust                        | <input type="checkbox"/> Charities              | <input type="checkbox"/> FI             | <input type="checkbox"/> FII         |
| <input type="checkbox"/> HUF                          | <input type="checkbox"/> AOP                    | <input type="checkbox"/> Bank           | <input type="checkbox"/> Govt. Body  |
| <input type="checkbox"/> Non-Govt. Orgn.              | <input type="checkbox"/> Defense Establishment  | <input type="checkbox"/> BOI            | <input type="checkbox"/> Society     |
| <input type="checkbox"/> LLP                          | <input type="checkbox"/> Clearing House         | <input type="checkbox"/> CM             | <input type="checkbox"/> Mutual Fund |
| <input type="checkbox"/> Others (Please Specify.....) |   |   |                                      |

To be filled by the DP

**Date of Incorporation /  
Formation****Place of Incorporation /  
Formation****Date of Commencement  
of Business****SEBI Registration No.  
(if applicable)****SEBI Registration  
Date****ROC Registration No.  
(if applicable)****ROC Registration  
Date****RBI Registration No.  
(if applicable)****RBI Approval  
Date****Nationality**☐ INDIAN - if others, specify .....

<b>FINANCIAL DETAILS (MANDATORY) (Please obtain Financial Evidence)</b>			
Gross Annual Income	<input type="checkbox"/> < ₹ 1 Lac <input type="checkbox"/> < ₹ 1-5 Lac <input type="checkbox"/> < ₹ 5-10 Lac <input type="checkbox"/> < ₹ 10-25 Lac <input type="checkbox"/> > ₹ 25 Lac    Specify ₹.....		
(or) Net Worth as on (Date) ..... (dd/mm/yyyy)    Rs. .... (net worth should not be older than 1 year)			
<b>ADDRESS DETAILS</b>			
Correspondence Address		Permanent Address (if different)	
City		City	
State		State	
Country		Country	
Pin Code		Pin Code	
Land Line No.		Land Line No.	
Mobile No.		Mobile No.	
Fax No.		Fax No.	
Email ID			
Specify the proof of Correspondence address submitted		Specify the proof of Permanent address submitted	
Name, PAN, Residential Address and Photographs of Promoters / Partner's / Karta / Trustees & Whole Time Directors : Please Fill Annexure A			
DIN / UID of Promoters / Partner / Karta / Trustees & Whole Time Directors : Please Fill Annexure A			
Please Tick, if applicable, for any of your Authorised Signatories / Promoters / Partners / Karta / Trustees & Whole Time Directors : <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)			
Any other information :			
<b>DECLARATION</b>			
I / We hereby declare that the details furnished above are true and correct to the best of my / our knowledge and belief. I / We undertake to inform you of any change therein, immediately. In case, any of the above information is found to be false or untrue or misleading, I / We, am / are aware that I / We may be held liable for it.			
Place : .....		 Name, Signature & Seal of Authorised Signatory	
Date : .....			

PLEASE SIGNATURE



# FATCA-CRS Declaration & Supplementary KYC Information

## Declaration Form for Entities

Please seek appropriate advice from your tax professional on your tax residency and related FATCA & CRS guidance

### PART - A

<b>PAN</b>										<b>Date of Incorporation</b>	d	d	/	m	m	/	y	y	y	y
<b>Name</b>																				
<b>Address Type (for KYC address)</b>	<input type="radio"/> Residential <input type="radio"/> Residential / Business <input type="radio"/> Business <input type="radio"/> Registered Office																			
<b>Place of Incorporation</b>										<b>Country of Incorporation</b>										
<b>Gross Annual Income Details in INR</b>	<input type="checkbox"/> < 1 Lakh <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> 25 Lacs-1 Crore <input type="checkbox"/> > 1 Crore									<b>Net Worth in INR in Lacs</b>	_____									
<b>Is the entity involved in / providing any of the following services:</b>	<input type="checkbox"/> Foreign Exchange / Money Changes Services <input type="checkbox"/> Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) <input type="checkbox"/> Money Laundering / Pawning									<b>Net Worth as of</b>										
										<b>Any other information</b>										

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 purpose and associated TIN)

S. No.	Country of Tax Residency	Tax Payer Identification Number / Functional Equivalent / Company Identification Number or Global Entity Identification Number	Identification Type (TIN or other please specify)
1.			
2.			
3.			

In case the Entity's Country of Incorporation / Tax Resident is US, but Entity is not a Specified US person, mention Entity's exemption code here \_\_\_\_\_ (Refer instruction O)

## Part B

(to be filled by Financial Institutions or Direct Reporting NFFEs)

We are a

GIIN (Global Intermediary Identification Number):

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

**Name of the sponsoring entity**



**Direct Reporting NFFE** *[refer instructions b.]*

**GIIN not available** *[tick any one]:*

☐ Applied For

☐ Not required to apply for – specify sub-category code   

☐ Not obtained – Non-participating FFI

## Part C [Fill any one as applicable - to be filled by NFEs other than Direct Reporting NFFEs]

1	Is the entity a listed company [whose shares are regularly traded on a recognized stock exchange] <i>[refer instructions d]</i>	<input type="checkbox"/> No <input type="checkbox"/> Yes (if Yes, please specify any one Stock Exchange on which the stock is traded regularly) Name of the Stock Exchange _____
2	Is the entity a "Related Entity" of a listed company [whose shares are regularly traded on a recognized stock exchange] <i>[refer instructions e]</i>	<input type="checkbox"/> No <input type="checkbox"/> Yes (please specify the name of the listed company and one Stock Exchange on which the stock is traded regularly) Name of the listed company _____ Nature of relation <input type="checkbox"/> Subsidiary <input type="checkbox"/> Controlled Name of the Stock Exchange _____
3	Is the entity an Active NFE?	<input type="checkbox"/> No <input type="checkbox"/> Yes, Nature of Business _____ Please specify the sub-category of Active NFE <span style="border: 1px solid black; padding: 0 5px;">  </span> <i>[refer instructions g]</i>
4	Is the entity an Passive NFE? <i>[refer instructions h]</i>	<input type="checkbox"/> No <input type="checkbox"/> Yes, Nature of Business _____ If Yes, fill UBO declaration in the next section

# if Passive NFE, please provide the below additional details for each of the controlling person  
(Please attach additional sheets if necessary)

S. No.	Name of UBO	Tax Payer Identification Number / PAN / Equilant ID Number	Place & Country of Birth	Country of Tax Residency*	Occupation Type (Service, Business, Others)	Nationality	Father's Name	Date of Birth dd/mm/yyyy	Gender (Male/ Female/ Other)
1									
2									
3									
4									

PLEASE SIGNATURE



# Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India  
~ In case TIN is not available, kindly provided functional equivalent  
\* If UBO has more than one tax residency outside India, details to be provided in separate rows for each of the tax residency countries

**Declaration:**

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may liable for it. I/We hereby authorize you [Paterson/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Equities, Derivatives, Currency Derivatives, Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. We also confirm that we have read and understood the FATCA & CRS Terms and Conditions given below and hereby accept the same

Signature with relevant seal:

Authorized Signatory	Authorized Signatory	Authorized Signatory
----------------------	----------------------	----------------------

Date :

Place :

**FATCA & CRS Terms & Conditions**

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which require Indian financial institutions such as the Banks/other financial entities to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Please note that you may receive more than one request for information if you have multiple relationships with MFs or its group entities / related parties. Therefore, it is important that you respond to such request, even if you believe you have already supplied any previously requested information.







**Acknowledgement**

We [Paterson, on behalf of participating Equities, Derivatives, Currency Derivatives, Mutual Funds] acknowledge the receipt of FATCA / CRS declaration form duly filled and signed from M/s. \_\_\_\_\_

PAN \_\_\_\_\_ on \_\_\_\_\_

Date:

Signature with Name, Emp. ID & Seal

TRADING & DEMAT ACCOUNT RELATED DETAILS																			
<b>TYPE OF ACCOUNT :</b>																			
<b>Status</b>		<b>Sub Status</b>																	
<input type="checkbox"/> Individual		<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Minor <input type="checkbox"/> Individual HUF/AOP <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c <input type="checkbox"/> Others:_____																	
		<input type="checkbox"/> NRI <input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI Non Repatriable Promoter <input type="checkbox"/> NRI Depository Receipts <input type="checkbox"/> Others:_____																	
<input type="checkbox"/> Foreign National		<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National Depository Receipts <input type="checkbox"/> Others:_____																	
<b>A. BANK ACCOUNT DETAILS</b>																			
<b>Details</b>		<b>Default Bank</b>								<b>Additional Bank</b>									
Bank Name																			
Branch Location																			
Account Type		<input type="checkbox"/> Savings   <input type="checkbox"/> Current   <input type="checkbox"/> NRE   <input type="checkbox"/> NRO   <input type="checkbox"/> Others:_____								<input type="checkbox"/> Savings   <input type="checkbox"/> Current   <input type="checkbox"/> NRE   <input type="checkbox"/> NRO   <input type="checkbox"/> Others:_____									
Account No.																			
MICR Number																			
IFSC Number																			
RBI Reference No.* (for NRIs)										RBI Approval Date.*		D	D	M	M	Y	Y	Y	Y
<b>B. DEPOSITORY ACCOUNT DETAILS (DP1 DETAILS CONSIDERED FOR PAYOUT OF SECURITIES IF FILLED)</b>																			
		<b>DP 1 Details</b>								<b>DP 2 Details</b>									
Depository		<input checked="" type="checkbox"/> CDSL								<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL									
DP Name		Paterson Securities Private Limited																	
Client Name																			
DP ID		1	2	0	4	0	1	0	0										
Client ID																			
<b>C. TRADING PREFERENCES</b> *Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client																			
<b>Exchange</b>		<b>Segment</b>		<b>Client Signature</b>															
NSE		Cash/Mutual Fund		FH  4/16															
BSE		Cash/Mutual Fund		FH  5/16															
NSE		F&O		FH  6/16															
BSE		F&O		FH  7/16															
NSE		Currency Derivative		FH  8/16															
BSE		Currency Derivative		FH  9/16															
If, in future, the client wants to trade on any New Segment / New Exchange, separate authorization letter will be taken.																			

Note: In case of any correction in the form - Sign next to the correction done & that has to match the original signature




<b>D. DEALING THROUGH SUB-BROKERS / AUTHORISED PERSON (AP) / OTHER STOCK BROKERS</b>		
If Yes, please specify:		
Name of Stock Broker	Name of SB/AP	
Name of Exchange	Client Code (as given by other broker)	
Details of disputes/dues pending from/to such stock broker/sub-broker:		
Whether you are a Member / Sub-broker / AP of any Exchange <input type="checkbox"/> Yes <input type="checkbox"/> No		
If yes, provide SEBI / EXCHANGES REGISTRATION NO:	Ph.	Website:
<b>E. STANDING INSTRUCTIONS / OTHER DETAILS / EMAIL - SMS ALERT / CONTRACT NOTE PREFERENCE</b>		
Contract Note/Holding & Transaction Statement including CAS/Other Documents*	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical	
Receive Delivery Instruction Slip	<input type="checkbox"/> No <input type="checkbox"/> Yes	
Share Email ID with Registrar & Transfer Agent	<input type="checkbox"/> No <input type="checkbox"/> Yes	
Receive Annual Report	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical <input type="checkbox"/> Both	
DP Account Statement	<input type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Weekly <input type="checkbox"/> As per SEBI Regulation	
Declaration for Mobile Number	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent <input type="checkbox"/> Do not have	
Declaration for Email ID	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent <input type="checkbox"/> Do not have	
Running Account Settlement	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly	
Whether you wish to avail of the facility of internet trading / wireless technology ( please specify)	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Note:</b> 1. Dividend / Interest will be credited to bank account via ECS. 2. In case client doesn't opt for DIS booklet, it would be issued on request at any later date. 3. BO can view his ISIN balances, transactions & value portfolio online. To register for Easi please visit <b>website <a href="http://www.cdslindia.com">www.cdslindia.com</a></b> 4. *Other documents includes SEBI prescribed standard documents i.e. Rights & Obligation documents for trading and depository account, Risk Disclosure Document and Guidance Note or any other communication /document disseminated by Paterson Securities. 5. Paterson may carry out proprietary trades on top of client trades.		
<b>F. PAST ACTIONS</b>		
Details of any action / proceedings initiated / pending / taken by SEBI / Exchanges / any other authority against the applicant / constituent Partners / promoters / whole time directors /authorized persons in charge of dealing in securities during the last 3 years:		
<input type="checkbox"/> No <input type="checkbox"/> If yes, please specify		
<b>G. INTRODUCER DETAILS</b>		
Status of Introducer <input type="checkbox"/> Sub-broker/AP <input type="checkbox"/> Employee <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (Specify):		
Introducer Name:		SB/Emp/Client Code:
Address:		
Mobile No:		
Signature of the Introducer		<div style="border: 1px solid black; width: 150px; height: 30px;"></div>
<b>H. GST REGISTRATION DETAILS</b>		
Registration No	Validity Date	Name of the State
GSTIN No:	DD / MM / YYYY	
<b>Note:</b> Paterson may carry out proprietary trades in addition to cliental trades.		

Note: In case of any correction in the form - Sign next to the correction done & that has to match the original signature



<b>I. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002</b>		
I/We intend to invest in Stock Market with: <input type="checkbox"/> Own Funds <input type="checkbox"/> Borrowed Funds		
<b>Experience</b>	Number of years of Investment / Trading Experience <input type="text"/> <input type="text"/> <input type="text"/>	
<b>Gross Annual Income</b>	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs <b>OR</b> Net Worth in ₹ <small>(*Net worth should not be older than 1 year)</small> as on date DD / MM / YYYY	
<b>Occupation</b> (Please tick)	<input type="checkbox"/> Govt Service <input type="checkbox"/> Professional <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist <input type="checkbox"/> Others _____ (Pls Specify)	
<b>Nature of Business</b>	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____	
<b>Client Category</b> Commercial participant Noncommercial participant	<input type="checkbox"/> value chain participant <input type="checkbox"/> exporter <input type="checkbox"/> importer <input type="checkbox"/> hedger <input type="checkbox"/> financial participant <input type="checkbox"/> trader <input type="checkbox"/> arbitrageur	
<b>Is the Client Politically Exposed Person (PEP) or Related to a PEP</b> <input type="checkbox"/> PEP <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not a PEP / RPEP		
For Office use: Risk Category: <input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low		
<b>DECLARATION</b> 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. In case of nonresident account, I/we also declare that I / we have complied and will continue to comply with FEMA regulations. 2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet. 3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, www.paterson.co.in. 4. I/We further confirm having read and understood the contents of the "Standard Documents" a) Rights and Obligations of stock broker, sub-broker and client for trading on Exchanges [including additional rights & obligations in case of internet/wireless technology based trading]; b) Rights and obligations of beneficial owner and depository participant as prescribed by SEBI and depositories; c) Risk Disclosure Documents detailing risks associated with dealing in the securities market; d) Guidance note detailing Do's and Don'ts for trading on stock exchanges; e) Policies and Procedures Document describing significant policies and procedures of the stock broker Note: The above mentioned documents [a,c,d] in the vernacular languages are available in our website. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website, www.paterson.co.in. 5. I/We further confirm having read and understood the contents of the "Terms & Conditions for availing Mutual Fund services of BSE StAR / NSE MFSS facility" & "Terms and Conditions-cum-registration/Modification form for receiving SMSAlerts from CDSL" and acknowledge that these are Voluntary [non-mandatory] documents for availing mutual fund services and SMS alert services as provided by Paterson Securities Pvt Ltd and unconditionally agree to abide by the terms and conditions mentioned therein. 6. I/We understand that, if I/we have signed the NACH mandate, it is applicable for Equity and Mutual Fund SIPs, Margin payments, collecting of MTM debit for derivative trades and for collecting charges on depository services as agreed by me while enrolling as a client of Paterson Securities Pvt Ltd. I/We further confirm having read and understood the terms and conditions applicable to the NACH mandate given along with the standard documents.		
FH 10/16	SH 5/7	TH 5/7
(First/Sole Holder)	(Second Holder)	(Third Holder)
Place: _____		Date: DD / MM / YYYY

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NOMINEE DETAILS FOR TRADING AND DEMAT ACCOUNT							
Client Name		Trading Code		DP ID	12040100	Client ID	
<input type="checkbox"/> I/We wish to nominate <input type="checkbox"/> I/We do not wish to nominate							
Nominee Details	*Nominee 1		*Nominee 2		*Nominee 3		
First Name							
Middle Name							
Last Name							
Address							
City							
State							
PIN							
Mobile Number							
Email ID							
PAN							
UIDAI							
Date of Birth							
% of allocation of Securities							
Relationship with BO							
GUARDIAN DETAILS (IF NOMINEE IS A MINOR)							
First Name							
Address							
City							
State / Country							
PIN							
Relationship with Nominee							
Guardian Signature							
FH  11/16		SH  5/7		TH  5/7			
(First/Sole Holder)		(Second Holder)		(Third Holder)			
Date							
Place							
WITNESSES (ONLY APPLICABLE IN CASE THE ACCOUNT HOLDER HAS MADE NOMINATION)							
Name	Witness 1			Witness 2			
Address							
Signature							
* If in case of multiple nominees, Nominee 1 shall be entitled for Residual securities.							
OFFICE USE ONLY (To be filled by Depository Participant)							
DP ID	12040100			Client ID			
This nomination in accordance with the Section 109A of the Companies Act, 1956 and shall supersede any prior nomination made by me / us and also testamentary document executed by me / us. Two witness shall attest Thumb impressions. Nomination is accepted and registered vide Registration No.....dated.....							
For PATERSON SECURITIES PRIVATE LIMITED							
(Authorised Signatory)							

Note: In case of any correction in the form - Sign next to the correction done &amp; that has to match the original signature

## TARIFF SHEET NSE & BSE - CASH & DERIVATIVES SEGMENT

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

Name : \_\_\_\_\_

### Brokerage Details

#### Cash Segment:

Delivery	_____ %	Min : _____
Intraday	Buy _____ %    Sell _____ %	Min : _____

#### Derivatives Segment:

Delivery:			Intraday:			CD Segment Brokerage:	
Instrument Name	Buy %	Sell %	Instrument Name	Buy %	Sell %	Futures % _____	Min. _____
Index Futures			Index Futures			Options % _____	Min. _____
Stock Futures			Stock Futures			Same day squareoff _____ (Both Sides)	
Index Options			Index Options				
Stock Options			Stock Options				

#### Note:

- Other Charges like Transaction Charges, Stamp Duty, GST, Security Transaction Tax (STT) and any other statutory / Levies and Clearing Member Charges applicable for Derivative Segment as specified by the exchanges and the authorities.
- KRA charges on actual basis, on account fetching and /or registration from/ with KRA authority as specified.

Client Signature

FH  
12/16

## CHARGES FOR DEPOSITORY SERVICES

### DP AMC CHARGES

☐ **Annual Maintenance Charge (AMC)**

₹ 400 + Taxes for individual

☐ 1500 + Taxes for Corporates

☐ Life Time AMC

Onetime payment of  
₹ 5000 + (Inclusive Taxes)

S.No	Services	Tariff
1	Account Opening Charges	Nil
2	Custody Charges	Nil
3	Dematerialization Charges	₹3 per Certificate
4	Postage per Demat Request	₹ 75 /- or Actuals
5	Rematerialization	₹50
6	Sale Transactions	0.030% or ₹20 whichever is higher
7	Creation of Pledge	0.010% or ₹20 whichever is higher
8	Closure of Pledge	0.010% or ₹20 whichever is higher
9	Invocation of Pledge	0.010% or ₹50 whichever is higher
10	Account Closure Charges	Nil

#### Note:

- KRA , POA & documentation charges on actual basis, on account fetching and / or registration from / with KRA authority.
- Stamp duty, Taxes, Education cess & other statutory levies (if any) will be charged as applicable from time to time.
- Paterson Securities Pvt. Ltd. reserves the right to increase the tariff charges from time to time at its sole discretion, under 30 days prior intimation in writing to clients either by way of ordinary post or by an email and by notification on the back office interface.
- For availing 'Easiest' facility of CDSL, The charges as levied by CDSL would be collected from clients at actuals.

### Declaration

"I hereby agree to open a regular demat account with the above schedule of charges. For opening a BSDA account separate request letter has to be signed in the format available with Paterson's DP department."

First/Sole Holder

Second Holder

Third Holder

FH  
13/16

SH  
6/7

TH  
6/7

Note: In case of any correction in the form - Sign next to the correction done & that has to match the original signature

## STANDING INSTRUCTION TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY)

I / We request you to maintain my/our accounts for funds and securities on running accounts basis instead of 'bill to bill' settlement basis, unless I/we specifically request you for a payout of available free funds or securities in the account. You may settle the accounts at Monthly/Quarterly or at such other intervals as SEBI/Stock Exchanges may specify from time to time. I / We further authorize you to retain securities and/or funds as may be permitted by Stock Exchanges/SEBI from time to time or towards other unbilled services and/or charges applicable on my account, while settling the accounts. I/We further authorize you to also retain an amount of up to Rs. 10,000/- (Ten Thousand Only) or any other sum as may be permitted by SEBI / Stock Exchanges from time to

time, while settling my / our account. The above threshold limit on retention of amount shall not be applicable in case of clients who have not traded even once during the last one quarter, as the case may be. I / We understand and agree that no interest will be payable on the amount of funds retained by you as above. I / We agree that Paterson Securities shall not be liable for any claim for loss or loss of profit or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such securities/funds. The standing instruction/authorization for maintaining my/our account as running account shall remain valid until revoked in writing, addressed to you.

Date: \_\_\_\_\_

Client Signature FH  
14/16

## VOLUNTARY TERMS AND CONDITIONS

Whereas the client intends to open securities trading accounts with Paterson Securities Pvt. Ltd., (hereinafter referred to as Paterson) for the purpose of trading in Capital Market Segment, Futures & Options and Currency Derivative Segments of the National Stock Exchange of India Ltd., the Bombay Stock Exchange Ltd., and the Metropolitan Stock Exchange of India Ltd. and Mutual Fund transactions Facilities offered by SEBI recognized Stock Exchange and whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by Paterson and also the additional services that may be made available by Paterson from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions. The Client understands that these terms and conditions are voluntary i.e., non-mandatory in nature but on their acceptance, these shall constitute the contract between the parties and bind them fully and be enforceable by each party against the other.

### 1. Authorization to debit additional charges with regard to

**Trading and Demat Account:** Without prejudice to the other rights and obligations of the parties, the client understands and agrees that Paterson may levy additional charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account for any service rendered by Paterson and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients ledger account with Paterson Securities.

**2. Lien:** All securities, funds and/or properties of the Client as may be permitted by the Exchange(s) from time to time to be placed with Paterson shall be subject to a lien for the payments or fulfillment of all undischarged liabilities and obligations of the Client in relation to its transactions or owing to any of the group companies of Paterson. Paterson shall be entitled to withhold such securities, funds and/or property of the Client as security towards any such un-discharged liabilities or obligation of the Client and to sell and/or appropriate to itself all such securities, funds or properties at its sole discretion & at any point of time.

**3. Authorization for delivering / pledging shares:** The client understands and agrees that Paterson may deliver to the Exchange any securities held by it on behalf of the client to discharge settlement obligations in respect of securities sold by the client or pledge the same with the clearing house of the recognized stock exchange in any segment where the Client is registered for trading for the purpose of providing margin for the

trading positions contracted or to be contracted by the Client or with any scheduled commercial bank, Non-Banking Financial Institution or other financial institution for raising funds to the extent account of the client carries debit balance but without any obligation on its part to so raise funds by pledging the securities and without prejudice to the right of Paterson to enforce, at its option, the collateral security in the securities to recover the debit balance at any time.

### 4. Authorization for Inter segment fund balance transfer and stock transfers:

The client hereby authorizes Paterson to transfer its debit/credit balances in the ledger account arising during the course of trades in any segment to its ledger account in any other segment or to transfer any stock purchased/lying in its account in any segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of Paterson.

**5. Disclaimer:** The Client understands and agrees that neither Paterson nor any other party disseminating any market data, message or information through the Website of Paterson or in any other media shall be liable for:

- (a) Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or
- (b) Any loss or damage arising from or occasioned by (i) Any such inaccuracy, error, delay or omission, (ii) Nonperformance, or (iii) Interruption in making available any such data, information or message, due to either any act or omission by Paterson or any disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of Paterson or any disseminating party.

### 6. Manner/Mode of placing orders/instructions and the Nonexecution/delay/cancellation of Orders:

The Client may communicate orders and other instructions to Paterson or the subbroker/authorised person as the case may be over phone at the designated contact telephone number, or in writing, or through designated email, or by personally visiting the designated office. The client hereby agrees that Paterson or the Exchanges shall not be liable for non execution or partial

Note: In case of any correction in the form - Sign next to the correction done & that has to match the original signature



execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication networks, hardware or software problems, or failure of the electronic trading beyond the control of Paterson or the Exchange.

**7. Client not to act on representations of agents, employees:**

Client is aware that Paterson has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of Paterson.

**8. Recording of Conversation:** The client is aware and agrees that Paterson may record the conversation between the client/client's representative and Paterson, whether over the telephone or in person. Paterson may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.

**9. Confidentiality of Client Details:** Paterson may disclose the client information to any person /entity as required under the law or to any broker's Association or organisations in case of dispute in order to take informed decision. The Client hereby agrees and give its consents for the disclosure by Paterson to any person or entity including but not limited to any independent third parties or any entities of Paterson Group, whether within or outside India, of any information and data relating to Client or relating to Client's trading account with Paterson for the purposes of or in connection with, any present or proposed initiatives, including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services availed of or to be availed, by Client in future.

**10. Disclosure as to Proprietary Trades by Paterson:** Paterson may carry out proprietary trades in addition to trades on behalf of its Clients.

**11. Severance:** In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.

**12. No Waiver:** No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specifically agreed in writing.

**13. Notices:** All notices or communications issued by Paterson shall be served on the Client in any one or more or all of the following ways at the ordinary business address and/or ordinary place of residence and/or last known address of the client:

13.1 (a) By ordinary post or (b) By registered post (c) Under certificate of posting or (d) By express delivery post or (e) by SMS on registered mobile or by telephonic call or (f) By affixing it on the door at the last known business or residential address or (g) By oral communication to the party or on the last known telephone number or on the recording machine of such number

or (h) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (i) By publishing it in the website of Paterson wherein secured log-id and password to Client is provided or (j) By a notice posted on the notice board of the Exchange if no address be known or (k) By electronic mail or fax or (l) By hand delivery or By Courier or any other mode as may be allowed for communication.

13.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between Paterson and the Client may be made orally.

**14. Electronic Contract Note (ECN):**

14.1. Client agrees to receive contract notes in Electronic/Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through e-mail by authorizing Paterson in this connection and providing the e-mail address(es) at which the Client wishes the ECN to be sent.

14.2. The Client shall access and verify the ECN and all information contained therein, In case of discrepancy the Client, shall inform Paterson either in writing or via E-mail within reasonable time of the receipt of the same. Paterson shall also publish the Contract Note on the Web site [www.paterson.co.in](http://www.paterson.co.in) or on any other designated location specified by Paterson from time to time. The Client will be issued a login and password by which the Client can login in to his account and view/save/print the ECN. Should the Client experience any difficulty in opening the ECN, Paterson may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy).

**15. Electronic Transmission of other Documents** The Client who has opted for ECN agrees that Paterson may transmit to the Client any statements, documents or intimation including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls & other notices / communications in electronic mode either at the e-mail ID designated for delivery of ECN or to the mobile number of the Client or both and, in case of non receipt of bounced mail/nondelivery of SMS notification, Paterson shall be deemed to have fulfilled his obligation to deliver to the Client such documents. Discrepancies if any in documents should be brought to the notice of Paterson within reasonable time from issuance failing which the documents shall be deemed to be true and correct record of transactions stated therein.

**16. Electronic Payment Gateway for Net Banking Services:**

Paterson may provide on its internet trading website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with Paterson. Client understands that Paterson is only providing access to the electronic fund transfer facility provided by the banker of the Client through Paterson's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising therefrom. Client undertakes not to make Paterson a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out



of or in connection with any transactions on the Gateway and agrees that Paterson's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank.

**17. Internet / Wireless Technology based Trading facility:**

17.1. Paterson offers Internet and mobile Trading facility for transaction in securities on the concerned Exchanges including facilities for online application of IPO / FPO / NFO / Bond issues or any other issues of securities or services to apply/purchase/redeem/ sale/buyback or otherwise deal in the units of Mutual Funds (hereinafter referred to as "the Internet/wireless Trading system") through Exchange approved software. The Client can route its orders to Paterson over the internet/mobile/laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail of such Trading facility provided by Paterson by complying with the formalities prescribed therein.

17.2. Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading Facility for a continuous period of 3 months or such other period as Paterson may notify, the facility may be deactivated without notice and the Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of Paterson.

17.3. The client understands and agrees that Paterson has different product of the Internet Trading /Wireless Trading softwares which have been approved by the Exchanges and the client shall be allotted such product as may be chosen by him. The client also understands and agrees that depending on the trading activity of the client, Paterson shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the Internet Trading/Wireless Trading facility.

17.4. Orders of Client subject to review by Paterson: The Client agrees that Paterson may, on being suspicious of any of the transactions, review any order placed by a Client, which may cause delays in the processing of the Client's order or may result in rejection of such order.

**18. Extra Ordinary Events and termination/suspension of trading facility:** Paterson will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication network or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond Paterson's control resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any Paterson may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extra ordinary event occurring without giving prior notice to the Client.

**19. Amendments to the terms and conditions:** Paterson reserves the right to amend the terms and conditions herein

contained by adding, deleting, modifying or varying the provisions thereof by giving 15 days notice to the Client. In the event where the client has not objected to revised terms and conditions within 15 days of receiving the notification, the same shall be binding on the client.

**20. Mutual Fund Service System Facility / BSE Star MF:**

Client is registered with Paterson Securities and has executed Know Your Client Form and certain other documents for the purpose of trading in securities market on the recognized Stock Exchange (herein after referred to as "Exchange"). In case client opts for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the SEBI recognized Stock Exchanges (Mutual Fund Transaction Facilities), Know Your Client details as submitted by the client for the stock broking shall be considered for the purpose of Mutual fund transaction facilities and abide by the terms and conditions as mentioned in the circulars as may be specified by the Exchanges from time to time in this regard. Client shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). Client shall read & understand the contents of the Scheme Information Document and Key Information Memorandum, addendum issued regarding each Mutual Fund Scheme with respect to which client chooses to subscribe / redeem. Client further agrees to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. Client confirms to have read & understood the terms & conditions for using Mutual Fund transaction facility as stated in KYC handout (customer copy)

21. Parties agree that all claims, differences or disputes between them, arising out of or in relation to this agreement, any contracts, dealings and transactions made subject to the Bye-laws, Rules and Regulations of the Exchanges shall be submitted to arbitration for resolution in accordance with the provisions of the Arbitration and Conciliation Act, 1996 and the Bye-laws and Regulations of the concerned Exchange. Provided, however, that recourse shall not be had to the arbitration, the grievance redressal mechanisms or to the investor protection schemes of the Exchanges or SEBI where the claims, differences or disputes exclusively arise out of or relate to any contracts entered into; transactions carried out; schemes, leagues or competition joined; other arrangements or understandings reached or relations established by the client with a group concern or associate of the Stock Broker or any third parties and to which the Bye-laws, Rules and Regulations of the Exchange are not attracted and the Client understands and agrees that any application for invoking the arbitration/grievance redressal mechanisms or investor protection schemes of the Exchange in relation to any such dispute, claims or differences shall be liable to be dismissed.

I/We hereby confirm to have read and understood the terms and conditions as mentioned above and agree to abide by the same.

Client Signature

FH  
15/16

**Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL  
(SMS Alerts will be sent by CDSL to BOs for all debits)**

**Definitions :**

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise :

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalai Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns. 2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

**Availability :**

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to the mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

**Receiving Alerts :**

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is on 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the Infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and / or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and / or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred / suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account / un authorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to / transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

**Disclaimer :**

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alert transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or In connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and / or SMS alert on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use / misuse of such information by any third person.

**Liability and Indemnity :**

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the informaton meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

**Amendments :**

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

**Governing Law and Jurisdiction :**

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I / We consent to CDSL providing to the service provider such information pertaining to account / transactins in my / our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendment thereto made by the depository from time to time. I/we further undertake to pay fee / charges as may be levied by the depository from time to time.

I/We further understand that the SMS alerts would be sent for a maximum for ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DR

I/We am / are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of **Registration / Modification (Please cancel out what is not applicable).**

BOID

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

(Please write your 8 digit DPID)

(Please write your 8 digit Client

DPID)

Sole / First Holder's Name : \_\_\_\_\_

Second Holder's Name : \_\_\_\_\_

Third Holder's Name : \_\_\_\_\_

Mobile Number to which  
message are to be sent

+91											
-----	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code

or zero)

The mobile number is registered in the name of : \_\_\_\_\_

Email ID : \_\_\_\_\_

(Please write only ONE valid email ID on which communication; if any, is to be sent)

\_\_\_\_\_  
Sole / First Holder

\_\_\_\_\_  
Second Holder

\_\_\_\_\_  
Third Holder

Signatures

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

Date : \_\_\_\_\_

## **Rights and Obligations of Beneficial Owner and Depository Participant as Prescribed by SEBI and Depositories**

### **General Clause**

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules / Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.

2. The DP shall open / activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

### **Beneficial Owner information**

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.

4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

### **Fees / Charges / Tariff**

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"

6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and / or Depository circulars/directions/notifications issued from time to time.

7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

### **Dematerialization**

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

### **Separate Accounts**

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and / or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws / Operating Instructions / Business Rules of the Depositories.

### **Transfer of Securities**

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.

12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

### **Statement of account**

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.

14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.

15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat account in physical form.

16. In case of Basic Services Demat Accounts, the DP shall send the transaction statement as mandated by SEBI and / or Depository from time to time.

### **Manner of Closure of Demat account**

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instruction of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.



**Default in payment of charges**

19. In event of Beneficial Owner committing a default in the payment of any amount provided in clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5 & 6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

**Liability of the Depository**

21. As per Section 16 of Depositories Act, 1996,

1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

**Freezing / Defreezing of accounts**

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business rules / Operating Instructions.

23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

**Redressal of Investor grievance**

24. The DP shall redress all grievances of the Beneficial Owner against DP within a period of thirty days from the date of receipt of the complaint.

**Authorized Representative**

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

## **Law and Jurisdiction**

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The Provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars / notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his / her account, that may be in force from time to time.

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in the document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and / or SEBI.

30. Any changes in the rights and obligations which are specified by SEBI / Depositories shall also be brought to the notice of the clients at once.

31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

### **Addendum for the Demat account opening form :**

I/we instruct the depository participant to receive each and every credit in my / our account.

I/We would like to instruct the DP to accept all the pledge instruction in my/our account without any other further instruction from my / our end.

I/We wish to receive dividend / Interest directly in to my bank account (already provided) as given below through ECS.

Sms Alert facility terms & Conditions given as Annexure 2-4

We received a copy of right and obligations provided by the Depository participant.

Residual Securities (Please tick any one nominee if tick not marked default will be first nominee)

First holder

Second holder

Third holder



**OPTION FORM FOR ISSUE OF DIS BOOKLET**

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

DP ID

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

Client ID

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

First Holder Name

Second Holder Name

Third Holder Name

To,

**PATERSON SECURITIES PRIVATE LIMITED**

No. 48, VANGUARD HOUSE, Chennai - 600 001.

Dear Sir / Madam,

I / We hereby state that :

[select one of the options given below]

☐ **Option 1 :**

I / We require to issue Delivery Instructions Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though I / We have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the Attorney / Clearing Member / PMS Manager) for executing delivery instructions for settling Stock Exchange Trades (settlement related transactions) effected through such Clearing Member / by PMS Manager.

Yours faithfully

	First Holder Name	Second Holder Name	Third Holder Name
Name			
Signature			

**OR**

Dear Sir / Madam,

I / We hereby state that :

[select one of the options given below]

☐ **Option 2 :**

I / We do not require to issue Delivery Instructions Slip (DIS) booklet for time being, since I / We have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the Attorney / Clearing Member / PMS Manager) for executing delivery instructions for settling Stock Exchange Trades (settlement related transactions) effected through such Clearing Member / by PMS Manager. However, the Delivery Instructions Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First Holder Name	Second Holder Name	Third Holder Name
Name			
Signature			

----- (Please Tear Here) -----

**ACKNOWLEDGEMENT RECEIPT**

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from :

DP ID

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

Client ID

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

First Holder Name

Second Holder Name

Third Holder Name

Depository Participant Seal &amp; Signature







UMRN

Date

Tick (✓)

CREATE  
MODIFY  
CANCEL

Sponsor Bank Code

HDFC0000060

Utility Code

NACH0000000000001872

I/We hereby authorize

Paterson Securities Pvt Ltd

to debit (tick✓)

SB/CA/CC/SB-NRE / SB-NRO / Other

Bank a/c number

with Bank

IFSC

or MICR

an amount of Rupees

₹

FREQUENCY ☒ Mthly ☒ Qtly ☒ H-Yrly ☒ Yrly ☒ As & when presentedDEBIT TYPE ☒ Fixed Amount ☒ Maximum Amount

Reference 1

Phone No.

Reference 2

Email ID

I agree for the debit of Mandate processing charges by the Bank whom I am authorizing to debit my account as per latest Schedule of charges of the Bank.

PERIOD

From

To

Or

☒ Until Cancelled

\* This is to confirm that the declaration has been carefully read, understood and made by me/us. I am authorizing the user entity/corporate to debit my account.

\* I have understood that I am authorizing to uncancel/amend the mandate by appropriately communicating the cancellation/amendment request to the user entity/corporate or to the bank whom I have authorized to debit.

I/We hereby declare that the above information is true and correct and that the mobile number listed above is registered in my/our name(s) and/or is the number that I/we use in the ordinary course. I/We hereby declare that, irrespective of my/our registration of the above mobile in the provider customer preference register, or in any similar register maintained under applicable laws, now or subsequent to the date hereof, I/We consent to the Bank communicating to me/us about the transaction carried out in my/our aforesaid account(s).

## DECLARATION

\*I/We hereby declare that the particulars given on this mandate are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I/We would not hold Paterson Securities Pvt. Ltd., their representatives, service providers, participating banks & other user institutions responsible. I/We have read the Terms & Conditions and agree to discharge the responsibility expected of me/us as a participant/s under the scheme. I/We authorize use of above mentioned contact details for the purpose of this specific mandate instruction processing. I/We hereby confirm adherence to the terms on this mandate.

Authorisation to Bank: I/We wish to inform you that I/We have registered with Paterson Securities Pvt. Ltd. for ECS / NACH / Direct Debit through their authorised Service Provider(s) and representative for my/our payment to the above mentioned beneficiary by debit to my/our above mentioned bank account. For this purpose I/We hereby approve to raise a debit to my/our above mentioned account with your branch. I/We hereby authorize you to honour all such requests received through to debit my/our account with the amount requested, for due remittance of the proceeds to the beneficiary.

## INSTRUCTIONS TO FILL MANDATE

- |  |   |
|--|---|
| 1. UMRN - To be left blank   | 12. Amount in words   |
| 2. Date in DD / MM / YYYY format   | 13. Amount in figures   |
| 3. Sponsor Bank IFSC code - HDFC0000060 - Already printed  | 14. Frequency at which the debit should happen  |
| 4. Utility Code: Unique code of the entity to whom mandate is being given - NACH0000000000001872 - Already printed | 15. Whether the amount is fixed or variable   |
| 5. Name of the entity to whom the mandate is being given   | 16. Reference 1: Any details requested by the entity to whom the mandate is being given |
| 6. Account type - SB/CA/CC/SB-NRE/SB-NRO/OTHER   | 17. Reference 2: Any details requested by the entity to whom the mandate is being given |
| 7. Tick - Select your appropriate action   | 18. Your phone number   |
| a. Create - For New Mandate  | 19. Your email id   |
| b. Modify - For Changes / Amendment on existing mandate  | 20. Period for which the debit mandate is valid   |
| c. Cancel - For cancelling the existing registered mandate   | a. Start Date   |
| 8. Your Bank Account Number for debiting the amount  | b. End Date   |
| 9. Name of your bank and branch  | c. Or until cancelled   |
| 10. Your bank branch IFSC code OR  | 21. Signature of the account holder   |
| 11. Your bank branch MICR code   | 22. Name of the account holder  |

### INSTRUCTIONS CUM TERMS AND CONDITIONS - NACH MANDATE

This mandate registration form will be submitted through National Automated Clearing House (NACH).

1. This facility is offered to investors having Bank accounts in select banks mentioned in the link <http://www.npci.org.in/>. The Banks in the list may be modified/updated/ changed/removed at any time in future entirely at the discretion of National Payments Corporation of India without assigning any reasons or prior notice. Standing instructions for investors in such Banks will be discontinued. We will inform you on such discontinuation.
2. Mobile Number and Email Id: Client(s) should mandatorily provide their mobile number and email id on the mandate form. Where the mobile number and email id mentioned on the mandate form differs from the ones already existing in the folio, the details provided on the mandate will be updated in the folio. All future communication whatsoever would be, thereafter, sent to the updated mobile number and email id.
3. Client(s) need to provide along with the mandate form an original cancelled cheque (or a copy) with name and account number pre-printed of the bank account to be registered or bank account verification letter for registration of the mandate failing which registration may not be accepted. The Client(s) cheque/ bank account details are subject to third party verification.
4. The investor agrees to abide by the terms and conditions of NACH facility of NPCI.
5. Client will not hold Paterson Securities Private Limited(Company) and its service providers responsible if the transaction is delayed or not affected by the client's Bank or if debited in advance or after the specific date due to various reasons or for any bank charges debited by his banker in his account towards NACH Registration/ Cancellation/ Rejections.
6. Cancellation of this facility can be done separately by submitting the request atleast 15 Business days in advance; however the associated NACH mandate can be retained for future investments
7. For intimating the change in bank particulars, please use separate form to modify transaction limit or add/remove banks from the NACH facility. Also fill-up all the relevant details as applicable.
8. Requests for any changes/cancellation in the NACH Bank Mandate should be submitted atleast 15 Business days in advance.
9. Date and the validity of the mandate should be mentioned in DD/MM/YYYY format.
10. Utility Code of the Service Provider will be mentioned by Paterson Securities Private Limited.
11. Please mention the Name of Bank and Branch, IFSC / MICR Code & also provide an Original Cancelled copy of the cheque of the same bank account registered in One Time Mandate.
12. The amount in figures should be same as the amount mentioned in words, in case of ambiguity the mandate will be rejected.
13. Please affix the Names of customer/s and signature/s as well as seal of Company (where required).
14. This Mandate is for the purposes of collection of Demat Account AMC dues, statutory levies and taxes and any other liability to Paterson Securities Private Limited like Equity and Mutual Fund SIPs, Margin payments, collecting of MTM debit for derivative trades, as agreed by the client while enrolling as a client of Paterson Securities Pvt Ltd.
15. Note that the charges for Individuals are 300 + Taxes as mentioned in the Demat Tariff. The other terms and conditions of the Demat Account shall continue to be applicable.



Broker/Agent Code ARN:		SUB-BROKER:		EUIN:	
<b>Unit Holder Information</b>					
<b>Name of the First Applicant :</b>					
PAN Number :		KYC:		Date of Birth :	
Father Name :			Mother Name :		
Name of Guardian :			PAN :		
<b>Contact Address :</b>					
City :		Pincode :		State : Country :	
Tel.(Off) :		Tel.(Res) :		Email :	
Fax (Off) :		Fax (Res) :		Mobile :	
Income Tax Slab/Networth :				Occupation Details	
Place of Birth :		Country of Tax Residence :			
Tax Id No. :					
Politically exposed person / Related to Politically exposed person etc.?				Yes	No
Mode of Holding :				Occupation :	
<b>Name of Second Applicant :</b>					
PAN Number :		KYC:		Date of Birth :	
Income Tax Slab/Networth :				Occupation Details	
Place of Birth :		Country of Tax Residence :			
Tax Id No. :					
Politically exposed person / Related to Politically exposed person etc.?				Yes	No
<b>Name of Third Applicant :</b>					
PAN Number :		KYC:		Date of Birth :	
Income Tax Slab/Networth :				Occupation Details	
Place of Birth :		Country of Tax Residence :			
Tax Id No. :					
Politically exposed person / Related to Politically exposed person etc.?				Yes	No
<b>Other Details of Sole/ 1st Applicant</b>					
<b>Overseas Address :</b>					
(In case of NRI investor)					
City :		Pincode :		Country :	
<b>Bank Mandate Details</b>					
Name of Bank :				Branch :	
A/C No. :		A/c Type :		IFSC Code:	
<b>Bank Address :</b>					
City :		Pincode :		State : Country :	
<b>Nomination Details</b>					
Nominee Name :				Relationship :	
Guardian Name (If Nominee is Minor) :					
<b>Nominee Address :</b>					
City :		Pincode :		State :	
<b>Declaration and Signature</b>					
I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.					
Date :				Place :	
1st applicant Signature :		2nd applicant Signature :		3rd applicant Signature :	

Incase of Non-Individuals, additional documents to be obtained from non -individuals, over & above the POI & POA as mentioned below :			
S. No.	Documents	Specify Documents Obtained	Deviation / Remarks
1.	Duly Signed / Crossed <b>Passport Size Photo(s)</b> of Individuals / Partners / Directors / Authorised Officials.	YES / NO	
2.	Copy of <b>Client Master of Demat Account</b> .	YES / NO	
3.	Latest Bank Statement and a Cancelled Cheque Leaf ( <b>Compulsory</b> ).	YES / NO	
4.	Copy of <b>PAN (Compulsory)</b> (in case of Partnership Firm and Corporate, PAN Card of all Partners and Directors / Whole Time Directors).	YES / NO	
5.	<b>Identity Proof (Driving Licence, Passport, Election ID Card)</b> (in case of Partnership Firm and Corporate, Identity Proof of all Partners and Directors / Whole Time Directors / Authorised Official).	YES / NO	
6.	<b>Proof of Address (Driving Licence, Passport, Voter ID, Bank Pass Book, Latest Electricity Bill)</b> (in case of Partnership Firm and Corporate, address Proof of all Partners and Directors / Whole Time Directors / Authorised Official).	YES / NO	
7.	<b>HUF Account :</b> Declaration of HUF	YES / NO	
8.	<b>Partnership Firm :</b> Certified Copy of Partnership Deed, Last Income Tax Return and Authority Letter by the Partners.	YES / NO	
9.	<b>NRI :</b> Copy of Passport, Foreign Address Proof & RBI Permission.	YES / NO	
10.	<b>Corporate :</b> Certified Copy of Board Resolution. Copy of Audited Annual Accounts, List of Directors / Whole Time Directors with Permanent Residential Address, Latest Shareholding Pattern, Certified Copy of MOA & AOA and Letter from Banker Certified Account Number & Networth Certificate.	YES / NO	
11.	<b>Trust :</b> 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.	YES / NO	
12.	<b>Unincorporated Association or a Body of Individuals :</b> Proof of existence / Constitution Document. Resolution of the Managing Body & Power of Attorney granted to transact business on its behalf. Authorised signatories list with specimen signatures.	YES / NO	
13.	<b>Banks / Institutional Investors :</b> Copy of the Constitution / Registration or Annual Report / Balance Sheet for the last 2 financial years. Authorised signatories list with specimen signatures.	YES / NO	
14.	<b>Army / Government Bodies:</b> Self-certification on letterhead. Authorised signatories list with specimen signatures.	YES / NO	







<b>PATERSON SECURITIES PVT LTD</b>		Website : <a href="http://www.paterson.co.in">www.paterson.co.in</a>	Corporate Identity Number: U65993TN1982PTC009656	GST Number: 33AAACP4386P1ZY
Registered Office : Vanguard House, 48, Second Line Beach, 3rd Floor, Chennai - 600001. Ph: 044-25341413. Corporate Office : Bhavani Mansion, No.3, 4th Lane, Nungambakkam High Road, Chennai - 600034. Ph: 044-42916500. Support: <a href="mailto:info@paterson.co.in">info@paterson.co.in</a>			Compliance Officer Name, Phone No & Email id:  Mrs.K. Nirmala, 044-42302721, <a href="mailto:nirmalak@paterson.co.in">nirmalak@paterson.co.in</a>	
National Stock Exchange Of India Ltd.		Bombay Stock Exchange Of India Ltd.		Metropolitan Stock Exchange of India Ltd.
Member Code : 13671 SEBI registration No. :- INB/INF/INE/231367195,		BSE Member Code: 3083 SEBI Registration No:- INB/INF/INE/011367134,		MSEIL Member Code: 32700 SEBI Registration No:- INB/INF/261367131 INE 261367192
AMFI Registration :- 3077		CDSL Depository Participant - SEBI Reg. No.: IN-DP-92-2015		CDSL DP-ID : 12040100
PMS Registration Code : INP000005422				
MD name, phone no & email id: M. Amarnath, 044-42916500, <a href="mailto:amarnath@paterson.co.in">amarnath@paterson.co.in</a>				
Clearing Member : NSE : CM & FO & BSE : CM - SELF CLEARING, NSE : CD & BSE : FO & CD - IL & FS SECURITIES SERVICES LTD IL & FS HOUSE, Plot No. 14, Raheja Vihar, Chandivili, Andheri East, Mumbai - 400 072.				
For any grievance/dispute please contact Paterson Securtities Pvt Ltd at the above address or email id <a href="mailto:customer.grievance@paterson.co.in">customer.grievance@paterson.co.in</a> and phone number : 044-25341413 / 1170. In case not satisfied with the response, please contact the concerned exchange(s) at the contact details given below:				
	Department	Email ID	Phone No.	
National Stock Exchange of India Limited	Investor Grievance Cell	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>	022-26598190	
Bombay Stock Exchange Limited	Investor Services	<a href="mailto:is@bseindia.com">is@bseindia.com</a>	022-22728138	
Metropolian Stock Exchange of India Ltd	Investor Complaints	<a href="mailto:investorcomplaints@msei.com">investorcomplaints@msei.com</a>	022 61129000 Ext. 9028	