

PART - A
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI

| SN | NAME | BRIEF SIGNIFICANCE | PAGE NO. |
|----|----------------------------|---|----------|
| 1. | CERSAI KYC | KYC form | 03 |
| 2. | RELATIONSHIP SET UP FORM | Additional details about client(s) relevant to trading, demat & PMS | 07 |
| 3. | FATCA DECLARATION | As per Income Tax requirement | 10 |
| 4. | RISK PROFILE QUESTIONNAIRE | Regulatory requirement | 11 |
| 5. | NRI NON-SOLICITATION | As required by SEBI for NRIs only | 13 |
| 6. | FEMA DECLARATION | As per FEMA requirements for NRIs only | 13 |
| 7. | ACKNOWLEDGEMENT | Regulatory requirement | 14 |

| REGISTRATIONS & MEMBERSHIPS | | COMPANY DETAILS | |
|--|------------------------------------|---------------------------------|--|
| APPLICATION NUMBER | KSPL/O | REGISTERED OFFICE ADDRESS | 1402, ONE BKC, B-Wing, G - Block, Bandra Kurla Complex, Mumbai - 400 051 |
| STOCK BROKER INZ-000-177934 | NSE - 90181 | CIN | U74140MH2016FTC287916 |
| | BSE - 6684 | WEBSITE | www.klaycapital.com |
| | MCX - 56005 | CONTACT NUMBER | +91 22 6910 6000 |
| ALTERNATIVE INVESTMENT FUND | IN/AIF3/19-20/0753 | GRIEVANCE REDRESSAL | grievanceredressal@klaycapital.com |
| PORTFOLIO MANAGEMENT SERVICES | INP-00000-6280 | COMPLIANCE OFFICER DETAILS | MR. NIREN VORA +91 73044 72200 compliance@klaycapital.in |
| DEPOSITORY PARTICIPANT IN-DP-388-2018 | CDSL - 12087200 NSDL - IN304455 | CHIEF EXECUTIVE OFFICER DETAILS | MR. IAN DSOUZA +91 97696 43444 ian@klaycapital.in |
| MUTUAL FUND DISTRIBUTION | ARN - 117710 | | |
| For any grievances/disputes please contact at the above details or email at grievanceredressal@klaycapital.com. In case not satisfied with the response, please contact the concerned exchange(s) at NSE: ignse@nse.co.in; BSE: is@bseindia.com & MCX: info@mcxindia.com | | | |
| Clients are requested to duly fill up Account opening, PMS DP & broking forms (as applicable) and return to KSPL. Client booklet and Disclosure Document is to be read, understood & retained by the Client. | | | |
| DISCLAIMER: INVESTMENTS IN THE SECURITIES MARKET ARE SUBJECT TO MARKET RISKS, PLEASE READ ALL THE RELATED DOCUMENTS BEFORE INVESTING. | | | |

Important Instructions

| | |
|-----|--|
| 1. | All details to be filled in Capital letters in Black/Blue ink only. |
| 2. | Holder's Names in all the required fields should be filled as per the supporting documents submitted. |
| 3. | Email ID & Mobile number are very important as account related passwords and transaction details will be communicated on that. |
| 4. | Ensure signatures are done on all MANDATORY forms & necessary VOLUNTARY documents |
| 5. | All KYC documents must be self attested and corrections should be counter signed on the left side of the page. |
| 6. | Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them. |
| 7. | In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application. |
| 8. | Strike off the option wherever it is not applicable in the AOF. |
| 9. | <p>General</p> <ul style="list-style-type: none"> • Trading Account will be in the name of the First/Sole Account holder of Demat and/or Bank A/c only • Thumb impression and signatures other than that in English, Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India and must be attested by a Magistrate or a Notary Public or a special Executive Magistrate • A Witness should be a person other than the co-holder / joint account holder • The applicant should authenticate any corrections/alterations in the account opening form • All the fields in the form must be duly filled up to expedite processing time. • The Applicant(s) have to sign wherever sign mark F,S,T is mentioned {F-First Holder, S-Second Holder, T-Third Holder} • In case Second or Third Account Holder are applying for demat account, additional forms need to be filled. • Signature should be preferably in black ink. • In case of any corrections/cancellations, please provide counter signature on the left side of the page. |
| 10. | <p>Bank Details</p> <ul style="list-style-type: none"> • Cheque/DD towards Registration fees & other charges should be drawn in favour of "Klay Securities Private Limited" • It is mandatory to provide complete Bank Account details. In absence of complete details, form may be rejected. • Provide correct Bank IFSC & MICR code for hassle free transactions in future. |
| 11. | <p>Demat Account:</p> <ul style="list-style-type: none"> • For Demat Account, Joint Holder and Nominee cannot be the same person • Photographs to be signed across and pasted (Not Stapled) for all the holders in Demat as well as the nominee and his/her guardian • In case of joint applicants it is mandatory to provide, copy of PAN, Proof of Address and Proof of Identity for all Applicants. • Demat Account cannot be linked with Trading Account where minor is the joint holder in Demat account |
| 12. | All correspondence/queries shall be addressed to the first/sole applicant. |

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

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
- B) Tick 'P' wherever applicable
- C) Please fill the form in English and in BLOCK letters.
- D) Please fill the date in DD-MM-YYYY format.
- E) For particular section update, please tick (P) in the box section number and strike off the sections not required to be updated..

- F) Please read section wise detailed guidelines / instructions at the end.
- G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- H) List of two character ISO 3166 country codes is available at the end.
- I) KYC number of applicant is mandatory for update application.



| | | | |
|---|-------------------|---------------------------------|---------------------------------|
| For office use only (To be filled by financial institution) | Application Type* | <input type="checkbox"/> New | <input type="checkbox"/> Update |
| | KYC Number | <input type="text"/> | |
| | Account Type* | <input type="checkbox"/> Normal | <input type="checkbox"/> Minor |

(Mandatory for KYC update request)

Aadhaar OTP based E-KYC (in non-face mode)

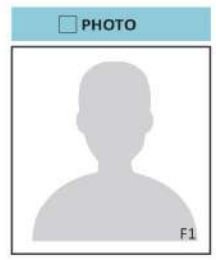
1. PERSONAL DETAILS (Please refer instruction A at the end)

| | | | | |
|---|----------------------------------|--|--|----------------------|
| | Prefix | First Name | Middle Name | Last Name |
| <input type="checkbox"/> Name* (Same as ID proof) | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Maiden Name | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Father / Spouse Name | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Mother Name | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Date of Birth | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Gender | <input type="checkbox"/> M- Male | <input type="checkbox"/> F- Female | <input type="checkbox"/> T-Transgender | |
| PAN* | <input type="text"/> | <input type="checkbox"/> Form 60 furnished | | |

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

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

| | |
|---|----------------------|
| <input type="checkbox"/> A- Passport Number | <input type="text"/> |
| <input type="checkbox"/> B- Voter ID Card | <input type="text"/> |
| <input type="checkbox"/> C- Driving Licence | <input type="text"/> |
| <input type="checkbox"/> D- NREGA Job Card | <input type="text"/> |
| <input type="checkbox"/> E- National Population Register Letter | <input type="text"/> |
| <input type="checkbox"/> F- Proof of Possession of Aadhaar | <input type="text"/> |
| II <input type="checkbox"/> E- KYC Authentication | <input type="text"/> |
| III <input type="checkbox"/> Offline Verification of Aadhaar | <input type="text"/> |



Address

Line 1*

Line 2

Line 3

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

3. CURRENT ADDRESS DETAILS (Please refer instruction C at the end)

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

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

| | |
|--|----------------------|
| <input type="checkbox"/> A- Passport Number | <input type="text"/> |
| <input type="checkbox"/> B- Voter ID Card | <input type="text"/> |
| <input type="checkbox"/> C- Driving Licence | <input type="text"/> |
| <input type="checkbox"/> D- NREGA Job Card | <input type="text"/> |
| <input type="checkbox"/> E- National Population Register Letter | <input type="text"/> |
| <input type="checkbox"/> F- Proof of Possession of Aadhaar | <input type="text"/> |
| II <input type="checkbox"/> E- KYC Authentication | <input type="text"/> |
| III <input type="checkbox"/> Offline Verification of Aadhaar | <input type="text"/> |
| IV <input type="checkbox"/> Deemed Proof of Address - Document Type code | <input type="text"/> |

Address

Line 1*

Line 2

Line 3

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

4. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction C at the end)

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

5. REMARKS (If any)

6. APPLICANT DECLARATION

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

[Signature / Thumb Impression]

Date : Place :

Signature / Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

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

KYC VERIFICATION CARRIED OUT BY **INSTITUTION DETAILS**

Date Name

Emp. Name Code

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature] [Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

A Clarification / Guidelines on filling 'Personal Details' section

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

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

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

| Document Code | Description |
|---------------|---|
| 01 | Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill). |
| 02 | Property or Municipal Tax receipt. |
| 03 | Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address. |
| 04 | Letter of allotment of accommodation from employer issued by State Government or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies leave and license agreements with such employers allotting official accommodation. |

- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of information by intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process'

C Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

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

- 1 Provide KYC number of related person if available.

E Clarification on Minor

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

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

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

List of ISO List of ISO 3166 two- digit Country Code

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

RELATIONSHIP SETUP FORM

A. ACCOUNT HOLDER DETAILS

FIRST HOLDER: (As appearing in supporting Identification document)

NAME

Passport Passport Expiry Date

Unique Identification No. (UID)/Aadhar Nationality Indian Other _____

Correspondence Address

Landmark City/Town

State Pin Code Country

SECOND HOLDER: (As appearing in supporting Identification document)

NAME

Passport Passport Expiry Date

Unique Identification No. (UID)/Aadhar Nationality Indian Other _____

THIRD HOLDER: (As appearing in supporting Identification document)

NAME

Passport Passport Expiry Date

Unique Identification No. (UID)/Aadhar Nationality Indian Other _____

B. TYPE OF RELATIONSHIP/SERVICES AVAILED

- Trading
 Demat
 DPMS/NDPMS
 Advisory
 All the Above

C. CLASSIFICATION OF CLIENT

- PEP or Relative PEP
 Trust /Charity/NGO
 HUF (Karta)
 Client in high risk countries
- Arms dealers/Real Estate Dealer/Bullion Dealer/Precious Metals Dealers
 Current/Former head of State/Diplomat
 Resident
 Non resident

D. BANK DETAILS

a. Trading & Demat

Bank Name

Branch Address

City/Town State Pin Code

Country

A/c No. IFSC

MICR

Type of account Savings Current Others (please specify) _____

b. PMS a/c

Bank Name

Branch Address

City/Town State Pin Code

Country

A/c No. IFSC

MICR

Type of account Savings Current Others (please specify) _____

c. Personal Bank a/c

Bank Name

Branch Address

City/Town State Pin Code

Country

A/c No. IFSC

MICR

Type of account Savings Current Others (please specify) _____

E. INCOME DETAILS

Occupation

Public/Pvt. Sector
 Govt. Service
 Business
 Professional
 Retired
 Housewife
 Agriculture
 Student
 Others (Pls. Specify) _____

Income Range (per Annum)

Gross Annual Income Details:
 (Please Specify)

Below ₹ 50 Lakhs
 ₹ 50 Lakhs to ₹ 2.5 Crore
 ₹ 2.5 Crore to ₹ 5 Crore
 ₹ 5 Crore to ₹ 10 Crore
 Above ₹ 10 Crore

Copy of ITR with Computation
 Copy of annual accounts
 Bank account statement for last 6 months
 Salary Slip
 Networth Certificate
 Copy of demat account holding statement

Net Worth

Net Worth Details:
 (Please Specify)

Less Than ₹ 5 Crore
 ₹ 5 Crore to ₹ 15 Crore
 ₹ 15 Crore to 30 Crore
 ₹ 30 Crore to ₹ 50 Crore
 Above ₹ 50 Crore

F. CLIENT CLASSIFICATION FOR MCX

Please select (✓) on the below appropriate category depending upon proposed nature of your activity against each product type.

| Commercial <input type="checkbox"/> | Non Commercial <input type="checkbox"/> |
|---|---|
| Product Type | Product Type |
| Bullion <input type="checkbox"/> | Bullion <input type="checkbox"/> |
| Base Metals- <input type="checkbox"/> | Base Metals <input type="checkbox"/> |
| Energy <input type="checkbox"/> | Energy <input type="checkbox"/> |
| Agri - Commodities <input type="checkbox"/> | Agri - Commodities <input type="checkbox"/> |

1. COMMERCIAL: Commercial Client includes Value Chain/Physical market participant/exporter/importer/having direct/indirect Exposure to the underlying Commodity.
2. NON-COMMERCIAL: Non Commercial Client includes Trader/Arbitrageur

G. ADDITIONAL DETAILS
A. PAST ACTIONS

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

B. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- If client is dealing through the sub-brokre, provide the following details:
 Sub-broker's Name: SEBI Registration number :
 Registered office address: Ph:Fax:.....Website:.....
 Client Code: Exchange:
- Details of disputes/dues pending from/to such stock broker/sub-broker:

C. E-MAIL /SMS ALERTS FROM EXCHANGES/DEPOSITORIES WILL BE SENT ON MOBILE NO. & EMAIL ID MENTIONED IN KYC FORM:

I/We wish to avail the SMS/Email alert facility offered by respective Exchanges showing details of my daily transactions executed through Klay Securities Private Limited (KSPL) on my e-mail id/ mobile no. provided in KYC Form. (The above facility is provided by Exchanges and will be activated once the details are verified by Exchanges and confirmed by you)

Mobile no. belongs to: Self Spouse Dependent Children Dependent Parents (Owners PAN: _____)

Email Id belongs to: Self Spouse Dependent Children Dependent Parents (Owners PAN: _____)

D. I WISH TO UPDATE MY GSTIN Yes No If yes, provide your GSTIN _____

H. TRADING PREFERENCE

| | BSE | NSE | MCX |
|-----------------------|--|--|---|
| Commodity Derivatives | <input type="checkbox"/>  | <input type="checkbox"/>  | <input type="checkbox"/>  |
| Futures & Options | <input type="checkbox"/>  | <input type="checkbox"/>  | For NRI only: <input type="checkbox"/> I hereby consent that the confirmation for the trades (derivative segment) executed in my account shall be done by KSPL to the respective custodian. |
| Currency Derivatives | <input type="checkbox"/>  | <input type="checkbox"/>  | |
| Debt | <input type="checkbox"/>  | <input type="checkbox"/>  | |
| Capital Market | <input type="checkbox"/>  | <input type="checkbox"/>  | |
| Mutual Fund | <input type="checkbox"/>  | <input type="checkbox"/>  | |
| All of the above | <input type="checkbox"/>  | <input type="checkbox"/>  | |

I. INVESTMENT PROFILE FOR PMS

1. INVESTMENT PROFILE OF THE CLIENT

- a. Investment experience regarding securities _____.
- b. Overall investment goals
 Capital appreciation Capital appreciation and regular income Regular income
- c. Time period for which investments are proposed to be made with the portfolio manager
 As per the Agreement Others _____
- d. Systematic Withdrawal
 Monthly Quarterly Annually On demand

2. INVESTMENT APPROACH

1. _____ 2. _____
 3. _____ 4. _____

3. RISK TOLERANCE (✓)




- High Medium Low

4. DETAILS OF PORTFOLIO CONSTRUCTION FOR THE CLIENT (✓)

- a. Equity (Nature of equities in which investments are desired, may be indicated)
 b. Balanced (Percentage of debt/equity)
 c. Debt (Government Bonds, corporate debt etc.)
 d. Mutual funds
 e. Others (As agreed, upon by the client)

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.

| CLIENT NAME | FIRST HOLDER | SECOND HOLDER | THIRD HOLDER |
|-------------|--|--|--|
| SIGNATURES | FIRST HOLDER  | SECOND HOLDER  | THIRD HOLDER  |

FATCA / CRS DECLARATION

| SECTION 1: DECLARATION OF TAX RESIDENCY | | | |
|---|--------------------------------|--------------------------|--------------------------------|
| [Country of tax residence (as per section 6 of the Income-tax Act, 1961)] | | | |
| First Holder | | Second holder | |
| <input type="checkbox"/> | A. Only India | <input type="checkbox"/> | A. Only India |
| <input type="checkbox"/> | B. India and any other country | <input type="checkbox"/> | B. India and any other country |
| <input type="checkbox"/> | C. Any other country | <input type="checkbox"/> | C. Any other country |

If answer to option (B) or (C) is selected, please provide the following details and documents:

| | First Holder | Second holder |
|--|--------------|---------------|
| Country/Countries of Tax Residency | | |
| Tax Identification Number (TIN)/ Functional Equivalent | | |
| Country Issuing TIN/ Functional Equivalent | | |
| Documents Provided (Copy of Certificate of Residence/ Copy of TIN) | | |

SECTION 2: INDIVIDUAL IDENTIFICATION



| | |
|------------------------|--|
| Father's Name | |
| Place/Country of Birth | |
| Occupation | |

For the purposes of taxation, I am a resident in the above countries and my Tax Identification Number (TIN)/functional equivalent in each country is set out above or I have indicated that a TIN/functional equivalent is unavailable (kindly fill details of all countries of tax residence if more than one). :

Documents required: A copy of certificate of residence or a copy of TIN for all the countries listed in the above table.

DECLARATION

The information provided in the Form is in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962. The information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise. I/We permit/authorized the Company to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign. I / We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self-certification along with documentary evidence. I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GOI) /RBI for the purpose or take any other action as may be deemed appropriate by the Company if the deficiency is not remedied by us within the stipulated period. I / We hereby accept and acknowledge that the Company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the Company. It shall be my / our responsibilities to educate myself / ourselves and to comply at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder. I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein. I/We shall indemnify the Company for any loss that may arise to the Company on account of providing incorrect or incomplete information.

| | | |
|--------------------|--|---|
| CLIENT NAME | FIRST HOLDER | SECOND HOLDER |
| SIGNATURES | FIRST HOLDER  | SECOND HOLDER  |

Date:

INVESTMENT OBJECTIVES AND RESTRICTIONS

Please take time to answer these questions as they will assist the Investment Manager to develop an appropriate investment strategy that will meet your investment objectives and restrictions.

Time Horizon

1. I plan to begin withdrawing money from my investments in

- a) Less than 3 years
- b) From 3 - 5 years
- c) From 5-10 years
- d) More than 10 years

2. Once I begin withdrawing funds, I plan the funds to last

- a) Less than 3 years
- b) From 3 - 5 years
- c) From 5-10 years
- d) More than 10 years

Risk Tolerance

3. Generally, I prefer investments with little or no fluctuation in value, and I'm willing to accept lower return for lower risk

- a) Strongly disagree
- b) Disagree
- c) Somewhat agree
- d) Agree
- e) Strongly agree

4. When I invest my money, I am

- a) Most concerned about my investment losing value
- b) Equally concerned about my investment losing or gaining value
- c) Most concerned about my investment gaining value

5. During market declines, I would begin to feel uncomfortable if the total value of my investments fell by...

- a) 10%
- b) 20%
- c) 30%
- d) 40%
- e) 50% or more

6. Of the following best case and worst case annual returns in the three hypothetical portfolios* I would be most inclined to invest in

| S. No. | REPRESENTATIVE DATA | PORTFOLIO A | PORTFOLIO B | PORTFOLIO C |
|--------|---|-------------|-------------|-------------|
| 1 | Best 60 month Compounded Annualised Return (in %) | 10.65 | 16.01 | 19.23 |
| 2 | Worst Loss (peak to trough) (in %) | -9.47 | -23.57 | -38.91 |
| 3 | Longest Time to Recover (regain peak value) | 13 months | 40 months | 60 months |
| 4 | Average loss (peak to trough) (in %) | -1.62 | -3.42 | -6.16 |
| 5 | Average Recovery Period | 2.74 months | 4.54 months | 6.05 months |

* The maximum gain or loss on an investment is impossible to predict. The ranges shown in the chart are hypothetical and are designed solely to gauge an investor's risk tolerance.

- a) Portfolio A
- b) Portfolio B
- c) Portfolio C

7. Have you ever invested in complex and/or high risk instruments such as derivatives, currencies, commodities & structured products?

- a) No
- b) Yes, but very rarely
- c) Yes, a few times
- d) Yes, somewhat frequently
- e) Yes, very frequently

8. Have you every borrowed money to make an investment? (Other than your home)

- a) Yes
- b) No

Your Scores
 Risk Tolerance
 Time Horizon

Your Risk Profile

Declaration:

I hereby declare that the information provided by me in this form is true, correct and complete to the best of my knowledge 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.

The concepts of investment risk and risk profiling were explained to me and I am happy to proceed on this basis. I hereby acknowledge that the risk category assigned to me in terms of the risk profiling undertaken by you is consistent with my investment ideology and the returns that I am looking for.

OR

I wish to be assigned a _____ risk category and services provided accordingly.

FIRST HOLDER  F4

FOR OFFICE USE ONLY

CALCULATION KEY:

| | Q 1 | Q 2 | Q 3 | Q 4 | Q 5 | Q 6 | Q 7 | Q 8 |
|---|-----|-----|-----|-----|-----|-----|-----|-----|
| a | 3 | 0 | 1 | 1 | 1 | 1 | 1 | 5 |
| b | 5 | 7 | 3 | 3 | 3 | 3 | 3 | 1 |
| c | 7 | 9 | 5 | 5 | 5 | 5 | 5 | |
| d | 9 | 11 | 7 | | 7 | | 7 | |
| e | | | 9 | | 9 | | 9 | |

Less than or equal to 25:conservative; 26 to 42:Balanced; 43 and above: aggressive

Employee Signature  E

Employee Name

DECLARATION BY NRI - NON-SOLICITATION

To,

Klay Securities Private Limited

- I/We hereby confirm and declare that the availability of trading and investment services by Klay Securities Private Limited does not constitute an offer to buy or sell or a solicitation in this regard made to any person/entity.
- Further I/We are aware that:
 1. This trading and investment service is not available to foreign citizens/residents including non-resident Indians (NRIs) residing in United States or citizens of United States.
 2. This service is available only to NRIs residing in jurisdictions permitting investment and trading of Indian securities on Indian Stock Exchanges.
 3. This trading and investment service is not available to any person or entity who is a citizen or resident of any state, locality, country or other jurisdiction where offering/availing of such services would be contrary to any applicable law or regulation or which would subject Klay Securities Private Limited to any licensing or registration requirement within such jurisdiction.
 4. Availability of this trading and investment service to NRIs is subject to compliance with procedural formalities as prescribed by SEBI/ Exchange(s)/Klay Securities Private Limited from time to time.
- I/we the undersigned hereby declare that I/we am/are desirous that Klay Securities Private Limited or any of its representatives can contact me/us at the contact details as below or as separately furnished to a representative of Klay Securities Private Limited for providing information to me/us on the services of Klay Securities Private Limited and its affiliates (encompassing access to securities market transactions, demat account, forms, agreements etc, to avail of the trading and investment services of Klay Securities Private Limited.)
- I/We hereby further declare that I/we are making such requests independently and without having been solicited by Klay Securities Private Limited or its officers/ agents/ representatives to do so in any manner whatsoever. I/we confirm that I/we have complied with and will continue to comply with the Foreign Exchange Management Act, 1999 of India, the regulations made there under and other rules and regulations as applicable from time to time.

Yours faithfully,

FIRST HOLDER

 FS**FEMA DECLARATION (NRI CLIENTS ONLY)**

To,

Klay Securities Private Limited

- I/We hereby declare that all transactions, as may be entrusted by us to Klay Securities Private Limited from time to time will be in strict conformity with the prevailing provisions of Foreign Exchange Management Act, 1999 at the time the transactions are put through.
- I/We declare that all the securities held by me/us and to be purchased were/will be, subject to necessary approvals and compliances under FEMA and any other applicable law.
- I/We undertake to indemnify Klay Securities Private Limited against any actual / notional loss incurred due to noncompliance by me/us with FEMA or any other regulations in place.
- I/We also hereby agree and undertake to give such information/documents as will reasonably satisfy you about this transaction in terms of the above declaration as may be require from time to time.
- I/We also understand that if I/We refuse to comply with any such requirement or make only unsatisfactory
- compliance therewith, Klay Securities Private Limited shall refuse to undertake the transaction and shall if it has reason to believe that any contravention/ evasion is contemplated by me/us report the matter to Reserve Bank of India.
- I/We understand that as a NRI I/We can have only one PIS Account as NRE/NRO. I/We here by undertake to either close /transfer the existing PIS Account if any held by me/us.

FIRST HOLDER




 F6

ACKNOWLEDGEMENT

To,
KLAY SECURITIES PRIVATE LIMITED

I/We hereby acknowledge that the following documents/ process were made available/ explained to me:

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients(Trading)
2. Rights and Obligations of Beneficial owner and Depository Participant(DP)
3. Rights & Obligations of Clearing Member/Participant and its Client (SLBS)
4. Risk Disclosure Document for Capital Market and Derivatives Segments
5. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors
6. Policies and Procedures of Klay Securities Private Limited pursuant to the SEBI circular dated December 03, 2009
7. General Terms and Conditions governing securities trading and Broking services of Klay Securities Private Limited
8. Terms & Conditions for Basic Services Demat Account(BSDA),if applicable
9. Terms & Conditions for Distribution services.
10. PMS Disclosure Document
11. I/We understand that the Voluntary documents executed by me are out of my/our free will.
12. I/We hereby confirm that I have clearly understood and agree to abide by the Policies and Procedures, Rights and obligations, Terms and Conditions (containing para 1to 105) and Tariff Structure and be bound by same and by the bye laws as are in force from time to time as described by Klay Securities Private Limited (KSPL). I also understand and agree that these Policies and Procedures, Terms and Conditions and Tariff Structure can be changed by KSPL from time to time with prior notice of 30 days through email.
13. I/We agree and authorize KSPL to share / disclose information contained in the client enrolment form that I/We have signed and submit ed to KSPL, to its affiliate(s) and / or group companies, agents or to any third-party service provider(s) for the purpose of processing and storing. I/We have no objection in such information being used for analysis and for generating management reports with a view to offer and deliver me/us products and services from time to time and to serve me/us better and to manage the relationship. Further, I/We hereby give my consent to be called, for sharing the details of various financial products and investment opportunities, on the telephone/mobile number provided by me/us from time to time.
14. I/We hereby authorize you to capture my Aadhar number in your records and share the same with any regulators or agencies/authorities as may be required.
15. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application and I undertake that it would be my responsibility to check, scrutinize the said forms and documents within 15 days of account opening and intimate discrepancies if any therein to KSPL immediately and in any case within one month of account opening. I/We further agree that any false/ misleading information given by me/us, or suppression of any material information will render my account liable for termination and suitable action.
16. I/We understand that KSPL, does have a proprietary trading portfolio of Securities, appropriately carried on with due approval from the respective stock exchanges with whom it is a member.
17. I/We would prefer to get a copy of Account opening form duly executed by me in electronic/physical copy.
18. All communication shall be sent at the address of the Sole/First holder only.
19. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
20. For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
21. In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
22. In case if 'first holder' is selected, the communication will be sent as per the preference mentioned. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned and communication to other holders will be in electronic mode. The default option will be communication to 'first holder' if no option selected.

| CLIENT NAME | FIRST HOLDER | SECOND HOLDER | THIRD HOLDER |
|-------------|---|--|---|
| SIGNATURES | FIRST HOLDER  F2 | SECOND HOLDER  S2 | THIRD HOLDER  T2 |

PART - B
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGE

| SN | NAME | BRIEF SIGNIFICANCE | PAGE NO. |
|--|---|---|----------|
| 1. | TARIFF SHEET | Transaction charges | 02 |
| VOLUNTARY DOCUMENTS AS PROVIDED BY STOCK BROKER | | | |
| 2. | POWER OF ATTORNEY | POA for opening broking and demat accounts | 03 |
| 3. | AUTHORISATION - RUNNING ACCOUNT | Authorization for maintain running account | 05 |
| 4. | AUTHORISATION - SIP | Auto debit mandate form for SIP in Mutual Fund | 05 |
| 5. | AUTHORISATION - BSE STAR | Authorization for BSE STAR | 06 |
| 6. | AUTHORISATION - OPTION TRADING | Authorization for activation of option trading on derivatives | 07 |
| 7. | AUTHORISATION - MARGIN TRADING FACILITY | Consent to avail margin trading facility | 07 |
| 8. | AUTHORISATION - DISTRIBUTION SERVICES | Authorization for availing KSPL distribution services | 08 |

| REGISTRATIONS & MEMBERSHIPS | | COMPANY DETAILS | |
|--|--------------------|---------------------------------|--|
| APPLICATION NUMBER | KSPL/O | REGISTERED OFFICE ADDRESS | 1402, ONE BKC, B-Wing, G - Block, Bandra Kurla Complex, Mumbai - 400 051 |
| STOCK BROKER INZ-000-177934 | NSE - 90181 | CIN | U74140MH2016FTC287916 |
| | BSE - 6684 | WEBSITE | www.klaycapital.com |
| | MCX - 56005 | CONTACT NUMBER | +91 22 6910 6000 |
| ALTERNATIVE INVESTMENT FUND | IN/AIF3/19-20/0753 | GRIEVANCE REDRESSAL | grievanceredressal@klaycapital.com |
| PORTFOLIO MANAGEMENT SERVICES | INP-00000-6280 | COMPLIANCE OFFICER DETAILS | MR. NIREN VORA +91 73044 72200 compliance@klaycapital.in |
| DEPOSITORY PARTICIPANT IN-DP-388-2018 | CDSL - 12087200 | CHIEF EXECUTIVE OFFICER DETAILS | MR. IAN DSOUZA +91 97696 43444 ian@klaycapital.in |
| | NSDL - IN304455 | | |
| MUTUAL FUND DISTRIBUTION | ARN - 117710 | | |
| For any grievances/disputes please contact at the above details or email at grievanceredressal@klaycapital.com. In case not satisfied with the response, please contact the concerned exchange(s) at NSE: ignse@nse.co.in; BSE: is@bseindia.com & MCX: info@mcxindia.com | | | |
| Clients are requested to duly fill up Account opening, PMS DP & broking forms (as applicable) and return to KSPL. Client booklet and Disclosure Document is to be read, understood & retained by the Client. | | | |
| DISCLAIMER: INVESTMENTS IN THE SECURITIES MARKET ARE SUBJECT TO MARKET RISKS, PLEASE READ ALL THE RELATED DOCUMENTS BEFORE INVESTING. | | | |

TARIFF SHEET RELATED FOR TRADING ACCOUNT




| | | | | |
|----|---------------------------------------|-------------------|---|---|
| 1. | APPLICATION PROCESSING CHARGES | | Resident | ₹ 1500/- |
| | | | Non-Resident | ₹ 5000/- |
| 2. | CAPITAL MARKET SEGMENT | Buy and Sell | Brokerage % for Delivery Trades | Resident - 0.5 % Non-Resident - 0.25 % |
| | | | Brokerage % for Intraday Trades | Resident - 0.25 % Non-Resident - NA |
| | | Minimum brokerage | Brokerage % for Delivery Trades | ₹ 500 per transaction* |
| | | | Brokerage % for Intraday Trades | ₹ 500 per transaction* |
| 3. | DERIVATIVES SEGMENT | Buy and Sell | Brokerage % for Trades in Future | 0.05% |
| | | | Brokerage (Per lot) for Trades in Options | 1 % Premium |
| | | Minimum | Brokerage % for Trades in Future | Rs. 500/- per contract* |
| | | | Brokerage (Per lot) for Trades in Options | Rs. 100/- per lot |
| | | Maximum | Brokerage % for Trades in Future | 2.5% of each order value |
| | | | Brokerage (Per lot) for Trades in Options | N.A. |
| 4. | CURRENCY SEGMENT | Buy and Sell | Brokerage % for Trades in Future | 0.05% |
| | | | Brokerage (Per lot) for Trades in Options | Rs. 100/- per lot |
| 5. | F&O SEGMENT (MCX) | Buy and Sell | Brokerage % for Trades in Future | 0.10% |
| | | | Brokerage (Per lot) for Trades in Options | 0.10% |

* Subject to 2.5 % of individual order value.

T&C:

- 6.
- For Intraday trades, brokerage will be levied at both sides for all segment.
 - Levies such as GST, Stamp duty, Transaction Charges, Other charges will be charged as per norms defined from time to time.
 - No transaction charges will be levied for the following mode of funds transfer till further notification: NEFT/RTGS/UPI/Debit card transfer.
 - DELAYED PAYMENT INTEREST (DPI) : The Delayed Payment Interest will be levied at the rate of 21% p.a. (plus taxes, if any applicable) for all the debits, from pay-in /payout date, compounded monthly.
 - DPI will be charged on the debits in client ledger. For the purpose of debit, it will include Debit against cash market transaction with or Debit against Margin short-fall, without NRML, Debit against MTM on F&O transaction, Debit on account of DP AMC Fees, Debit on account of Brokerage due, Debit on account of "Delayed Payment Interest" (including statutory charges).
 - Any Non- cash collateral balance in your account will not be adjusted against the cash margin requirement in F&O segment for the purpose of Debit Calculation.
 - Marking of Pledge is purely for Exposure & Risk management Purpose only.
 - Guidelines for DPI:-
 - The Delayed Payment Interest will be accrued (at applicable rates) everyday (including holiday) at EOD on the debit balance in client ledger.
 - On first week of every month, a debit entry will be passed in client ledger for the total Delayed Payment Interest accrued for the previous month.
 - Once the DPI is posted in client ledger & because of that client ledger is in debit, DPI will be charged on that debit as well.
 - Accrued Delayed Payment Interest during the month will be deducted (on daily basis) from Exposure Limits allotted to client for trading purpose & from the funds available for withdrawals.

I hereby agree to the above fees structure.

| CLIENT NAME | FIRST HOLDER | SECOND HOLDER | THIRD HOLDER |
|-------------|--|---|--|
| SIGNATURES | FIRST HOLDER  | SECOND HOLDER  | THIRD HOLDER  |

AUTHORISATION FOR MAINTAINING RUNNING ACCOUNT

To,
Klay Securities Private Limited,

- I/We am/are aware that payout from the exchange(s) against settlement of transaction as per settlement cycle is available within the prescribed time of receiving relevant payout from the Exchange/s. It is difficult for me/us to make available the required funds on every pay-in of funds obligation / margin obligation, hence we request you to maintain our account on a running basis and retain the payout received / credit balance in our account for my/our future obligation / margin obligation or other liabilities unless we instruct otherwise.
- I/We hereby further authorize you to debit / credit / transfer the amounts between the various segments either on the same Exchange and / or Exchanges to meet my/our obligation or various dues payable to you / Exchange(s).
- If payment of funds is required, I/We shall request you in writing or through the web option for funds withdrawal on the web login. Further it may be noted that if required I/We may revoke this authorization at any time after giving request in writing
- This running account authorisation would continue until it is revoked by me/us. The actual settlement of funds shall be done at least once in the preference period selected below:
 Once in a calendar quarter Once in a month
- While settling the account having outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations calculated in the manner specified by the exchanges.
- Further I/We consent for retaining any such amount as prescribed by the exchanges for every settlement of my/our running account done by you.
- I/We shall bring any dispute arising from the statement of account or settlement so made to your notice within 7 working days from the date of receipt of funds or statement, as the case may be. In case of non- receipt of any such communication the statement / settlement of running account shall be considered as final as agreed and accepted by me/us.

FIRST HOLDER



NACH/ECS/AUTO DEBIT MANDATE INSTRUCTION FORM FOR SIP IN MUTUAL FUND

NACH/ECS/AUTO DEBIT
MANDATE INSTRUCTION FORM
(tick ✓)

UMRN

Date

Sponsor Bank Code

Utility Code

 CREATE MODIFY CANCEL

I/We hereby authorize

BSE Limited

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 As & when presentedDEBIT TYPE Fixed Amount Maximum Amount

Reference 1 (Mandate Reference No.)

Phone No.

Reference 2 (Unique Client Code-UCC)

Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing debit my account as per latest schedule of charges of the bank.

PERIOD

From

FIRST HOLDER



SECOND HOLDER



THIRD HOLDER



To

First Holder

Second Holder

Third Holder

Or

 Until Cancelled

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/Corporate to debit my account, based on the instructions as agreed and signed by me.

- I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit.

POWER OF ATTORNEY

LEFT BLANK FOR FRANKING

Voluntary and Limited purpose POA in favor of KSPL for operational requirements as per client authorization/ instruction.

THIS POWER OF ATTORNEY is made on the date, and place as mentioned in the Schedule hereunder by the persons mentioned in the Schedule under title "Demat Account Holders" (hereinafter referred to as "Demat Account Holders")

IN FAVOUR OF Klay Securities Private Limited, a Company incorporated under the Companies Act, 1956 having its Registered Office 1402, ONE BKC, B WING, G-Block, Bandra Kurla Complex, Mumbai - 400 051 (hereinafter referred to as "Attorney"/"Klay Securities Private Limited" which expression shall unless repugnant to the context thereof shall mean and include its successor) acting through its directors, officers or such other persons as may be authorized by the Attorney from time to time in this regard

WHEREAS The persons mentioned in the Schedule under title "Client Details" (hereinafter referred to as "the Client") has opened/is desirous of opening a Trading Account with Klay Securities Private Limited.

The Demat Account Holders hold demat account/s with Klay Securities Private Limited, a Depository Participant details whereof are mentioned in the Schedule hereunder under title "Demat Account Details" (hereinafter referred to as "the Demat Account"). The Client is also the first holder/sole holder of the Demat Account; (the Account Holders).

To facilitate proper execution of various transactions carried out by the Client, including but not limited to transactions placed by the Clients for Shares, Securities, Derivatives, Futures & Options Contracts, Bonds, IPOs /Public Offers of various Companies and in various Mutual Fund Schemes and such other Services /Products/Facilities availed by the Client from time to time With respect to these aforesaid activities, the Client is now desirous of constituting and appointing Klay Securities Private Limited as their lawfully constituted attorney and confer upon it the powers hereinafter stated

NOW KNOW ALL AND THIS POWER OF ATTORNEY WITNESSETH that I/we, the Account Holders hereby nominate, appoint and constitute Klay Securities Private Limited, acting through its directors, officers or employees or such other persons as may be authorised by Klay Securities Private Limited in this regard from time to time as the true and lawful attorney to do the following acts, deeds, and things for and on my/our behalf; namely:

1. To operate and debit the Demat Account(s) which is in my/our name for facilitating transactions by/through Klay Securities Private Limited to meet all margin / settlement obligations and for recovering any outstanding amounts due from me/us to Klay Securities Private Limited and for any of the facilities / services offered by Klay Securities Private Limited and availed by me/us and to do the following:
 - a. to transfer securities from the Demat Account for the purpose of delivering the same in respect of securities sold by me/us or other obligations in respect of any transactions done or any of the Exchange(s) by me/us;
 - b. to transfer securities from my/our Demat Account to Demat account(s) of the Attorney mentioned herein below or to any other accounts as may be updated/amended by proper communication without executing a new Power of Attorney every time.
 - c. to block and/or hold all or any of the Securities lying in the Demat Account(s) including in the Attorney's internal systems belonging to me/us or in such other manner as the Attorney may determine, without any further instructions to transfer all the said securities to the Attorney or any account(s) of the Attorney or in accordance with the instructions of the Attorney;

- d. subject to permitted laws, to create/mark a lien, charge or pledge including margin pledge on all or any of the securities lying in the Demat Account(s) including in Klay Securities Private Limited internal systems belonging to me/us or in such other manner as the Attorney may determine, without any further instructions to transfer all the said Securities to the Attorney or any account(s) of the Attorney or in accordance with the instructions of the Attorney;
 - e. to sign, deliver, endorse and/or acknowledge all instructions, forms, transfer deeds, depository forms and instruments, slips, receipts and other instruments and writings which are required, necessary or advisable for performing all or any of the powers or authorities hereby conferred
 - f. To affect all non-cash corporate actions in respect of the securities held in my/our Demat Account, if applicable;
2. To sign the application forms, composite application forms, applications and the required documents for us/me to apply, subscribe and /or renounce in the Initial Public Offering (IPO), follow-on issues, rights issues, rights issue or other offerings of the securities and to facilitate in investment and redemption units of mutual fund schemes;
 3. To do all such acts, deeds and things as may be necessary for or incidental to the powers granted hereby;

AND GENERALLY to do, perform and execute all such other acts, deeds, instruments, matters and things on my/our behalf as the said Attorney may think fit to all intents and purposes as I/we myself/ourselves could do if I/we were personally present AND for the further, better and more effectually doing, effecting, executing and performing the several matters and things aforesaid AND I/we hereby ratify and confirm and agree and undertake to ratify and confirm whatsoever the said Attorney shall lawfully do or cause to be done by virtue of these presents.

The Attorney is authorized to send to me / us consolidated summary of scrip wise buy and sell positions by way of short messaging services or e-mails on a daily basis.

I/we hereby ratify and confirm any and all transactions, trades or dealings effected in and for my/our above-mentioned accounts by my/our Attorney.

This Power of Attorney and authorization is in addition to (and in no way limits or restricts) any and all rights which the Attorney may have under any other agreement or agreements between the Attorney and me/us.

The Attorney hereby agrees to return to me/ us the Securities that may have been received by it erroneously or that it was not entitled to receive. This Power of Attorney and authorization shall not be affected by lapse of time. It shall continue in full force and effect until the Attorney shall receive written notice of revocation thereof, signed by me/us;

This Power of Attorney shall be terminated by me/us without any notice period and in the event of termination thereof by my/our death/dissolution, until the Attorney shall have received actual notice thereof, and such revocation or termination shall in no way affect the validity of this POA, with reference to any transaction(s) initiated by me/us or by my/our Attorney prior to the actual receipt by the Attorney of a notice of such revocation or termination, as above provided I/We have read carefully the provisions of this Power of Attorney and understand that it authorizes my/our Attorney, to exercise all rights and powers set forth with respect to my/our Demat Account. I/We understand that anything my/our Attorney may do in the exercise of such rights and powers shall be fully binding upon me/us. The powers hereby given to the Attorney shall be given the widest interpretation. This Power of Attorney does not intend to give any exclusive rights to the Attorney on the Demat Account. The powers granted herein together with this POA shall be valid and effective only upon acceptance of the grant by Klay Securities Private Limited in whose favour the same is granted. This Power of Attorney shall be governed by the laws of India and shall be subject to the Jurisdiction of the Courts at Mumbai.

SCHEDULE

CLIENT DETAILS

| | | | |
|--------------------------|--|--|--|
| NAME | | | |
| ADDRESS | | | |
| CLIENT ID | | | |
| DESIGNATED DEMAT A/C NO. | | | |
| DESIGNATED BANK A/C NO. | | | |

DP DETAILS

| | |
|---|---------------------------------|
| DP NAME | KLAY SECURITIES PRIVATE LIMITED |
| DP ID CDSL | 12087200 |
| DP ID NSDL | IN304455 |
| KLAY SECURITIES PRIVATE LIMITED - BSE CLIENT BANK A/C | 57500000204292 |
| KLAY SECURITIES PRIVATE LIMITED - BSE PRINCIPAL A/C | 12087200 00000041 |
| KLAY SECURITIES PRIVATE LIMITED - MARGIN PLEDGE (CDSL) A/C | 12087200 00000343 |
| KLAY SECURITIES PRIVATE LIMITED - POOL A/C (PAY IN PAY OUT) | 12087200 00000149 |
| KLAY SECURITIES PRIVATE LIMITED - EARLY MARGIN A/C | 11000010 00024261 |
| CLIENT UNPAID SECURITIES A/C | 12087200 00000187 |
| KLAY SECURITIES PRIVATE LIMITED (NSDL POOL) A/C | IN304455 10000029 |
| KLAY SECURITIES PRIVATE LIMITED - CLIENT SECURITIES MARGIN PLEDGE A/C | IN304455 10000551 |

IN WITNESS THEREOF

I/We have here unto set and subscribed my/our respective hands to these present the date & the year hereinafter above written

SIGNED & DELIVERED BY

| CLIENT NAME | FIRST HOLDER | SECOND HOLDER | THIRD HOLDER |
|---|--------------|---------------|--------------|
| SIGNATURES | FIRST HOLDER | SECOND HOLDER | THIRD HOLDER |
| CLIENTS' WITNESS FOR POWER OF ATTORNEY (for & on behalf of the Client) | | | |
| WITNESS 1 | NAME | | |
| | ADDRESS | | |
| | SIGNATURE | | |
| WITNESS 2 | NAME | | |
| | ADDRESS | | |
| | SIGNATURE | | |

We hereby agree to exercise the powers conferred upon us in terms of the clauses mentioned hereinabove.

For KLAY SECURITIES PRIVATE LIMITED

EMPLOYEE SIGNATURE

NOTARY



DEMAT DEBIT AND PLEDGE INSTRUCTION

Voluntary and limited purpose Demat Debit and Pledge Instruction (DDPI) for KSPL's operational requirements

This DDPI is made by the person on the date and place mentioned hereunder for the following purposes:

| S. No. | Purpose | Signature of Client |
|--------|---|---------------------|
| 1. | Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker. | First Client |
| 2. | Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange. | First Client |
| 3. | Mutual Fund transactions being executed on stock exchange order entry platforms and which shall be in compliance with SEBI circulars SEBI/HO/IMD/IMD-I DOF5/P/CIR/2021/634 dated October 04, 2021, SEBI/HO/IMD/IMD-I DOF5/P/CIR/2021/635 dated October 04, 2021 and SEBI/HO/IMD/IMD-I DOF5/P/CIR/2022/29 dated March 15, 2022 or any other circular which may be issued in this regard; and | First Client |
| 4. | Tendering shares in open offers which shall be in compliance with SEBI circular SEBI/HO/CFD/DCR-III/CIR/P/2021/615 dated August 13, 2021 or any other circular which may be issued in this regard. | First Client |

DP's demat accounts which can be used basis the DDPI:

| | |
|---|---------------------------------|
| DP NAME | KLAY SECURITIES PRIVATE LIMITED |
| DP ID CDSL | 12087200 |
| DP ID NSDL | IN304455 |
| KLAY SECURITIES PRIVATE LIMITED – BSE PRINCIPAL A/C | 12087200 00000041 |
| KLAY SECURITIES PRIVATE LIMITED – MARGIN PLEDGE (CDSL) A/C | 12087200 00000343 |
| KLAY SECURITIES PRIVATE LIMITED – POOL A/C (PAY IN PAY OUT) | 12087200 00000149 |
| CLIENT UNPAID SECURITIES A/C | 12087200 00000187 |
| KLAY SECURITIES PRIVATE LIMITED (NSDL POOL) A/C | IN304455 10000029 |
| KLAY SECURITIES PRIVATE LIMITED – CLIENT SECURITIES MARGIN PLEDGE A/C | IN304455 10000551 |

Signed and Delivered By:

| Client Name | First Holder | Second Holder | Third Holder |
|-------------|--------------|---------------|--------------|
| Signatures | First Holder | Second Holder | Third Holder |
| BO ID | | | |
| UCC | | | |

For KLAY SECURITIES PRIVATE LIMITED

Date:

Place:



LETTER FOR NSE MFSS / BSE STAR MF

To,
Klay Securities Private Limited

- I/We am / are registered as your client with Client Code as mentioned below for the purpose of trading in the Capital Market Segment.
- I/We am / are interested in availing the facility of the following Exchange for the purpose of dealing in the units of Mutual funds Scheme permitted to be dealt with.
 - BSE STAR MF
 - NSE MFSS
- For the purpose of availing the facility, I/We state that Know Your Client details as submitted by me/us for the securities broking may be considered for this purpose and I / We further confirm that the details contained in same remain unchanged as on date.
- I/We am/are willing to abide by the terms and conditions as mentioned in the Circular dated November 24, 2009 and as may be specified by the Exchange from time to time in this regard.
- I/We shall also ensure compliance with the requirements as may be specified from time to time by the Securities and Exchange Board of India and/or Association of Mutual Funds of India (AMFI).
- I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/We choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.
- I / We therefore request you to register me/us as your client for participating in the BSE STAR MF/NSE MFSS.

Terms and Conditions

- The client shall be bound by circulars issued by BSE, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New BSE STAR MF/NSE MFSS or at any time there after.
- The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
- The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- On redeem of Demat units the corresponding funds will be credited only to your ledger account.
- Klay Securities Private Limited (KSPL) reserve the right to discontinue any type of transaction with a notice of 15 days in advance.
- The client shall be wholly responsible for all his investment decisions and instruction.
- The client shall ensure continuous compliance with the requirements of the BSE, NSE, SEBI and AMFI.
- The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
- The client will furnish information to the Participant in writing , if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE/NSE or NSCCL/ICCL.
- In case of any dispute between the Participants and the investors.

FIRST HOLDER



AUTHORISATION FOR ACTIVATION OF OPTION TRADING ON DERIVATIVES

To,
Klay Securities Private Limited

- I/We am/are interested in availing the facility of trading in Options on Commodity Derivatives offered by KSPL and dealing in Commodity Future through a Trading account having client code as mentioned below.
- I/We do hereby undertake that I/we am/are competent in all respects to participate to trade in Options on Commodity Derivatives as may be permitted by KSPL/Exchange/SEBI from time to time.
- I/We hereby confirm having read and clearly understood the contents of the "Additional Risk Disclosure documents for Options Trading". I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website, if any.
- I/We hereby also agree and confirm that KSPL may demand additional exposure margin for any particular option position or from a particular client as per its own discretion.
- I/We hereby also agree and confirm that KSPL may liquidate any of my open option position in case of margin shortfall including short fall arise on account of devolvement margin requirement on devolvement of option positions into futures.
- This undertaking is in addition to the undertaking given by me/us earlier to KSPL.
- I/We request KSPL to provide all necessary facilities to enable me/us for trading in Options on Commodity Derivatives.

FIRST HOLDER


CONSENT TO AVAIL MARGIN TRADING FACILITY

To,
Klay Securities Private Limited

Dear Sir,

- I/We am/are registered client with you and dealing having client code as mentioned below.
- I/We is/are interested and wish to avail Margin Trading Facility offered by Klay Securities Private Limited (KSPL).
- Further, I/We hereby confirm that I/We have read and understood the Rights and Obligations with regard to Margin Trading Facility and Terms and Conditions prescribed by KSPL and agree to abide by the same.

FIRST HOLDER



Date:

Place : _____

AVAILING KSPL DISTRIBUTION SERVICES

 Yes No

I/We understand that:

1. Klay Securities Pvt. Ltd. (herein after referred as KSPL), its associates and subsidiaries of KSPL are engaged in providing various financial services including distribution and execution services of various financial products. Accordingly, for providing said services KSPL and its associates may earn fees (including arranger fees) or commission from issuers of mutual funds, alternative investment funds, venture capital funds, debt instruments etc.
2. Apart from above, investment may be made in securities of associates, investment transaction may be done with KSPL, its associates and group companies of KSPL as counter parties and KSPL, including its subsidiaries and associates may receive various form of remuneration linked to distribution services offered to the Client.
3. I/ We hereby agree to avail services like distribution of securities/financial products including but not limited to following offered by KSPL Distribution Services.
4. Initial Public Offer/Follow on Public Offer/Offer for sale, Mutual Funds, NPS, Bonds, Debentures & other financial products offered by KSPL Distribution Services.
5. I/We hereby give my/our consent to execute new Power of Attorney in favour of KSPL and enable KSPL to my investments & redemptions relating to KSPL Distribution Services being availed by me.
6. I/We hereby authorize KSPL and its associates to disclose, share, remit in any form, mode or manner, all/any of the information provided by me/us, including all changes, updates to such information as and when provided by me/us to associates of KSPL, issuers, brokers, Mutual Funds, AIFs, banks and other relevant parties ('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 agencies without any obligation of advising me/us of the same.
7. I/ We hereby declare that there is no action pending against me/us by any regulatory authority for violation of any law. There are no unpaid fines/penalties levied on me/us. I/ We have not violated any law applicable to us or circular/regulations issued under any law as on date. I/We have no legal or regulatory proceedings pending against me/us for any financial crimes or violation of Securities laws initiated by SEBI/RBI/Banks or any other financial institution.
8. Pursuant to my/our instructions, I/We hereby authorize KSPL, to invest the balance lying in my/our ledger account, demat account and/or bank account, in the units of mutual fund and/or in such other financial products of as specified above and redeem in part or full as and when to meet my account obligations with KSPL.

DECLARATION

1. I am aware that the mobile number shall be updated in all your records and databases including trading and demat account.
2. I declare that the registered is my personal mobile number and is always in my safe custody. I shall keep KSPL informed of any change in my mobile number immediately for updating the same in databases. I am aware that without intimation for change in mobile number, KSPL would not be able to send my Password over new mobile number and also would not be able to update in records and databases.
3. I am aware that in case of change in my mobile number any time any time after opening of this account, it is mandatory for me to submit the photocopy of a latest/last two months Mobile bill for postpaid connection. If I have prepaid connection connection, then I have to visit personally to the Branch/FANs along with my ID proofs (E.g.: Pan Card or Driving License) and get the documents verified by the branch officials.
4. I will be solely responsible for the security of the information provided on my aforesaid mobile number. Further,
5. I agree and undertake to indemnify KSPL and its group companies, that they will not be held liable/responsible for any losses, claims, damages, cost and liabilities etc. caused to me due to misuse of this information or pursuant to any litigations, non-litigation cases, complaints, actions, etc. that may arise in future on account of my above authorization request.
6. I/We confirm having received a hard copy of the following documents and further confirm having read and understood the contents of these documents.
 - SMS Alerts Facility by depository : I/ We consent to CDSL / NSDL providing to the service provider such information pertaining to account/ transactions 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 amendments 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 four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.
 - Terms & Conditions for Distribution of Securities.
 - Terms and Conditions for availing Mutual Fund Service System facility and BSE STAR/NSE MFSS offered by NSE and BSE respectively.
 - Terms and Condition for availing systematic investment in Mutual fund/Securities.

FIRST HOLDER



PART - D
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & DEPOSITORIES

| SN | NAME | BRIEF SIGNIFICANCE | PAGE NO. |
|----|--------------------|---|----------|
| 1. | ADDITIONAL DETAILS | Additional details required to open Demat account | 02 |
| 2. | NOMINATION FORM | Nominee details | 04 |
| 3. | TARIFF SHEET | Demat fees schedule | 06 |
| 4. | T & C FOR SMS | Terms & conditions for receiving SMS alerts | 07 |

| REGISTRATIONS & MEMBERSHIPS | | COMPANY DETAILS | |
|--|------------------------------------|---------------------------------|--|
| APPLICATION NUMBER | KSPL/O | REGISTERED OFFICE ADDRESS | 1402, ONE BKC, B-Wing, G - Block, Bandra Kurla Complex, Mumbai - 400 051 |
| STOCK BROKER INZ-000-177934 | NSE - 90181 | CIN | U74140MH2016FTC287916 |
| | BSE - 6684 | WEBSITE | www.klaycapital.com |
| | MCX - 56005 | CONTACT NUMBER | +91 22 6910 6000 |
| ALTERNATIVE INVESTMENT FUND | IN/AIF3/19-20/0753 | GRIEVANCE REDRESSAL | grievanceredressal@klaycapital.com |
| PORTFOLIO MANAGEMENT SERVICES | INP-00000-6280 | COMPLIANCE OFFICER DETAILS | MR. NIREN VORA +91 73044 72200 compliance@klaycapital.in |
| DEPOSITORY PARTICIPANT IN-DP-388-2018 | CDSL - 12087200 NSDL - IN304455 | CHIEF EXECUTIVE OFFICER DETAILS | MR. IAN DSOUZA +91 97696 43444 ian@klaycapital.in |
| MUTUAL FUND DISTRIBUTION | ARN - 117710 | | |

For any grievances/disputes please contact at the above details or email at grievanceredressal@klaycapital.com. In case not satisfied with the response, please contact the concerned exchange(s) at NSE: ignse@nse.co.in; BSE: is@bseindia.com & MCX: info@mcxindia.com

Clients are requested to duly fill up Account opening, PMS DP & broking forms (as applicable) and return to KSPL. Client booklet and Disclosure Document is to be read, understood & retained by the Client.

DISCLAIMER: INVESTMENTS IN THE SECURITIES MARKET ARE SUBJECT TO MARKET RISKS, PLEASE READ ALL THE RELATED DOCUMENTS BEFORE INVESTING.

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT

(To be filled by DP)


| | | | |
|---------------------------|-----------------|-----------------------|--|
| CDSL DP ID | 12087200 | CDSL CLIENT ID | |
| NSDL DP ID | IN304455 | NSDL CLIENT ID | |
| UNIQUE CLIENT CODE | | | |

| Type of Account (Please tick whichever is applicable) | | |
|---|--|---|
| Status | Sub - Status | |
| <input type="checkbox"/> Individual | <input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) | <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others(specify) _____ |
| <input type="checkbox"/> NRI | <input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts | <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify) _____ |
| <input type="checkbox"/> Foreign National | <input type="checkbox"/> Foreign National <input type="checkbox"/> Others (specify) _____ | <input type="checkbox"/> Foreign National - Depository Receipts |

| Details of Guardian (in case the account holder is minor) | | |
|---|--|-----|
| Guardian's Name | | PAN |

| Additional Information | |
|---|---|
| I / We instruct the DP to receive each and every credit in my / our account. <small>(If not marked, the default option would be 'Yes')</small> | [Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end. <small>(If not marked, the default option would be 'No')</small> | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We request you to send Electronic Transaction -cum-Holding Statement at the email ID _____ | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We would like to share the email ID with the RTA | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I/ We wish to receive dividend / interest directly in to my bank account as given below through ECS <small>(If not marked, the default option would be 'Yes' [ECS is mandatory for locations notified by SEBI from time to time]</small> | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Mode of Operation for Joint Accounts | <input type="checkbox"/> Jointly <input type="checkbox"/> Anyone of the survivor(s) |
| For Joint accounts, communication to be sent to <small>(If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.)</small> | <input type="checkbox"/> 1 st Holder <input type="checkbox"/> All Holders |
| Account Statement Requirement | <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly |
| I / We would like to receive the Annual Report | <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic <small>(Tick the applicable box. If not marked the default option would be in Physical)</small> |
| SMS Alert Facility <small>Refer to T&C given as annexure</small> | MOBILE No. +91 _____ <small>(Mandatory , if you are giving POA) (if POA is not granted & you do not wish to avail of this facility, cancel this option).</small> |
| Easi / SPEED-e | To register for easi/speed-e, please visit website www.cdslindia.com or https://eservices.nsdl.com/ . Easi allows a BO to view his ISIN balances, transactions, and value of the portfolio online. |

I do not require the delivery instruction slip (DIS) for the time being, since I have issued Power of Attorney in favor of Klay Securities Pvt. Ltd. for executing delivery instruction for safely transaction through Klay Securities Pvt. Ltd. However, DIS Booklet should be issued to me immediately on my request at any later date.

| CLIENT NAME | FIRST HOLDER | SECOND HOLDER | THIRD HOLDER |
|-------------------|--|---|--|
| SIGNATURES | FIRST HOLDER  | SECOND HOLDER  | THIRD HOLDER  |

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT

(To be filled by DP)



| | | | |
|---------------------------|-----------------|-----------------------|--|
| CDSL DP ID | 12087200 | CDSL CLIENT ID | |
| NSDL DP ID | IN304455 | NSDL CLIENT ID | |
| UNIQUE CLIENT CODE | | | |

| Type of Account (Please tick whichever is applicable) | | |
|---|--|---|
| Status | Sub - Status | |
| <input type="checkbox"/> Individual | <input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) | <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others(specify) _____ |
| <input type="checkbox"/> NRI | <input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts | <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify) _____ |
| <input type="checkbox"/> Foreign National | <input type="checkbox"/> Foreign National <input type="checkbox"/> Others (specify) _____ | <input type="checkbox"/> Foreign National - Depository Receipts |

| Details of Guardian (in case the account holder is minor) | | |
|---|--|-----|
| Guardian's Name | | PAN |

| Additional Information | |
|---|---|
| I / We instruct the DP to receive each and every credit in my / our account. <small>(If not marked, the default option would be 'Yes')</small> | [Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end. <small>(If not marked, the default option would be 'No')</small> | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We request you to send Electronic Transaction -cum-Holding Statement at the email ID _____ | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We would like to share the email ID with the RTA | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I/ We wish to receive dividend / interest directly in to my bank account as given below through ECS <small>(If not marked, the default option would be 'Yes' [ECS is mandatory for locations notified by SEBI from time to time]</small> | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Mode of Operation for Joint Accounts | <input type="checkbox"/> Jointly <input type="checkbox"/> Anyone of the survivor(s) |
| For Joint accounts, communication to be sent to <small>(If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.)</small> | <input type="checkbox"/> 1 st Holder <input type="checkbox"/> All Holders |
| Account Statement Requirement | <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly |
| I / We would like to receive the Annual Report | <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic <small>(Tick the applicable box. If not marked the default option would be in Physical)</small> |
| SMS Alert Facility <small>Refer to T&C given as annexure</small> | MOBILE No. +91 _____ <small>(Mandatory , if you are giving POA) (if POA is not granted & you do not wish to avail of this facility, cancel this option).</small> |
| Easi / SPEED-e | To register for easi/speed-e, please visit website www.cdslindia.com or https://eservices.nsdl.com/ . Easi allows a BO to view his ISIN balances, transactions, and value of the portfolio online. |

I do not require the delivery instruction slip (DIS) for the time being, since I have issued Power of Attorney in favor of Klay Securities Pvt. Ltd. for executing delivery instruction for safely transaction through Klay Securities Pvt. Ltd. However, DIS Booklet should be issued to me immediately on my request at any later date.

| CLIENT NAME | FIRST HOLDER | SECOND HOLDER | THIRD HOLDER |
|-------------------|--|---|--|
| SIGNATURES | FIRST HOLDER  | SECOND HOLDER  | THIRD HOLDER  |

NOMINATION FORM

To,
KLAY SECURITIES PVT. LTD.

| | |
|------------------|--|
| Date | |
| UCC | |
| DP ID | |
| CLIENT ID | |

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




| S.NO. | Nomination can be made upto 3 nominees in the account. | FIRST NOMINEE | SECOND NOMINEE | THIRD NOMINEE |
|--------------|---|----------------------|-----------------------|----------------------|
| 1 | Name of the nominee(s) (Mr./Ms) | | | |
| 2 | Share of each nominee(s) (Any odd lot after division shall be transferred to the first nominee mentioned in the form.) | % | % | % |
| 3 | Relationship With the Applicant (If Any) | | | |
| 4 | Address of Nominee(s) City / Place: State & Country: PIN: | | | |
| 5 | Mobile / Telephone No. of nominee(s) | | | |
| 6 | Email id of the nominee(s) | | | |
| 7 | Nominee Identification details [Please tick any one of following and provide details of same] a. Photograph& Signature b. PAN c. Aadhaar d. Saving Bank Account No. e. Proof of Identity f. Demat Account ID | | | |

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

| S.NO. | Nomination can be made upto 3 nominees in the account. | FIRST NOMINEE | SECOND NOMINEE | THIRD NOMINEE |
|-------|--|---------------|----------------|---------------|
| 8 | Date of Birth | | | |
| 9 | Name of Guardian (Mr./Ms.) | | | |
| 10 | Address of Guardian(s) City / Place: State & Country: PIN: | | | |
| 11 | Mobile / Telephone no. of Guardian | | | |
| 12 | Email ID of Guardian | | | |
| 13 | Relationship of Guardian with nominee | | | |
| 14 | Nominee Identification details [Please tick any one of following and provide details of same] a. Photograph& Signature b. PAN c. Aadhaar d. Saving Bank Account No. e. Proof of Identity f. Demat Account ID | | | |

Note:

- This nomination shall supersede any prior nomination made by the account holder(s), if any.
- The Trading Member/Depository Participant shall provide acknowledgment of the nomination form to the account holder(s)
- Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature




| CLIENT NAME | FIRST HOLDER | SECOND HOLDER | THIRD HOLDER |
|-------------|---|--|---|
| SIGNATURES | FIRST HOLDER  F1 | SECOND HOLDER  S1 | THIRD HOLDER  T1 |

DECLARATION FORM FOR OPTING OUT OF NOMINATION

To,
KLAY SECURITIES PVT. LTD.

| | |
|-----------|--|
| Date | |
| UCC | |
| DP ID | |
| CLIENT ID | |




I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

| CLIENT NAME | FIRST HOLDER | SECOND HOLDER | THIRD HOLDER |
|-------------|---|--|---|
| SIGNATURES | FIRST HOLDER  F2 | SECOND HOLDER  S2 | THIRD HOLDER  T2 |

DEMAT FEE SCHEDULE

| SN | FEE HEAD | PARTICULARS | DETAILS | CHARGES |
|----|---|---|---|--|
| 1. | ANNUAL MAINTENANCE CHARGES (AMC) | BSDA (Only for Individual having one demat ac) | If Holding value at any date is not greater than Rs. 50,000/- <small>(Rs. 1,00,000 incase of Debt)</small> | Nil |
| | | | If Holding value at any date between Rs. 50,001/- <small>(Rs. 1,00,000 to Rs. 2,00,000 incase of Debt)</small> to Rs. 200,000/- | Rs. 100/- p.a. |
| | | Regular Demat Account (Non BSDA) | For Individual/HUFs/Trust/Corporate/Other Non-Individuals | Rs. 2500/- p.a. |
| | | | For NRIs / Foreign Nationals | Rs. 5000/- p.a. |
| 2. | A/C OPENING CHARGES | | | Nil |
| 3. | TRANSACTION CHARGES | SELL (Market & Off Market) For instructions given in physical form | | 0.06 % of transaction value or Minimum of Rs. 100/- per ISIN |
| | | Inter depository Transaction Charges | | 0.06 % of transaction value or Minimum of Rs. 100/- per ISIN |
| | | Extra charges for processing of instructions submitted on the execution date (accepted at Client's risk, only for physical instructions) | | Rs. 75/- per ISIN |
| 4. | DEMATERIALIZATION | For each request form Extra for each certificate | | Rs. 100/- Rs. 20/- |
| 5. | REMATERIALIZATION | A fee of Rs. 40/- for 100 securities or part thereof or a flat fee of Rs. 25/- per certificate whichever is higher in addition to Regd. post charges, subject to minimum Rs. 25/- | | |
| 6. | CLOSURE OF ACCOUNT | | | Nil |
| 7. | PLEDGE SET UP / REMOVAL / CONFIRMATION / INVOCATION | | | 0.05 % of transaction value or min Rs. 30/- |
| 8. | FAILED INSTRUCTION CHARGES | | | Nil |
| 9. | ADDITIONAL ACCOUNT STATEMENTS | For Individual /HUFs /Trust/Corporate /Other Non - Individuals | | Rs. 40/- per statement |
| | | For NRI at Indian address | | Rs. 100/- per statement |
| | | For NRI at foreign address | | Rs. 1000/- per statement |
| | | Physical statement | | Rs. 25/- per statement |
| 10 | CUSTODY CHARGES | | | On actuals |
| 11 | RE ISSUE OF DIS BOOKLET | | | Rs. 500/- |
| 12 | MODIFICATION OF DETAILS | | | Nil |

- Deposit amount will be refunded only on closer of Demat Account by credit to the ledger of client.
- AMC charges are levied on monthly basis.
- There will be a charge of Rs. 100/- for dishonor of any cheque or unsuccessful attempt to recover payment through direct debit or ECS. The depository services are liable to discontinuation if Klay Securities Private Limited is unable to recover charges from the customer, for any reason whatsoever. There will be a charge of Rs. 250/- for resumption of services in such cases. Klay Securities Private Limited will resume services after a minimum of 3 working days from the date of receipt. Any service, which is not mentioned above, will be charged separately as per the rates applicable from time to time.
- Klay Securities Private Limited reserves the right to revise the tariff structure from time to time with a notice of 30 days. This notice may be given by ordinary post or by an advertisement in a National Daily or by email to customers. We shall charge the Depository AMC only if there is any holding in the account on the last day of the month OR if there is any transaction in that particular month. The AMC will be charged at the beginning of every month for previous month. We understand that in case the demat account is requested to be closed during the month, any charges due till that date of request, the same will be charged to me/us. GST and other government/ statutory levies will be charged extra.
- Holding statement, Transaction statement, changes request conformation and Bills may be sent to the email ID of the client.
- For BSDA(Circular No. CIR/MRD/DP/22/2012 dated August 27, 2012): a) The individual shall have only one BSDA in his/her name across all depositories (CDSL&NSDL). b) Value of securities held in BSDA shall not exceed Rs. 2,00,000/- (Rupees Two Lakhs) at any point of time. c) If the value of holding in such BSDA exceeds the prescribed criteria at any date, the DPs may levy charges as applicable to regular accounts (non BSDA) from that date onwards. d) All BOs opting for the facility of BSDA, shall register their mobile number for availing the SMS alert facility for debit transactions. e) In case the individual already has BSDA or open a new BSDA on a later date, then status of this demat account as BSDA will be ceased to exist. f) Refer BSDA Terms and Conditions' for more details. g) Two statements will be provided free of cost in billing cycle. Additional Physical statement will be charged as above, whereas electronic statement will be provided free of charge.

| CLIENT NAME | FIRST HOLDER | SECOND HOLDER | THIRD HOLDER |
|-------------|--|--|--|
| SIGNATURES | FIRST HOLDER  | SECOND HOLDER  | THIRD HOLDER  |

ANNEXURE FOR TERMS AND CONDITIONS-CUM-REGISTRATION / MODIFICATION FORM FOR RECEIVING SMS ALERTS FROM CDSL

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, Dalal 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:

8. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those account holders 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.
9. The service is currently available to the BOs who are residing in India.
10. 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.
11. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number
12. i.e. to the mobile number as submitted at the time of registration / modification.
13. 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 mobile 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.
14. Receiving Alerts:
15. 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.
16. The BO acknowledges that the alerts will be received only if the mobile phone is in '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.
17. 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.
18. 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.
19. 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.
20. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized 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.
21. 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.
22. 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.
23. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

25. 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 alerts 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 sent 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:

27. 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 information 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.
28. Amendments:
29. 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.
30. Governing Law and Jurisdiction:
31. 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.
32. 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/transactions 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.
33. I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments 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.
34. I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.
35. 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.
36. I/We authorise the DP to use the contact information (email ID / mobile no.) as provided in the KYC form for the purpose of Registration.
37. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized 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.
38. 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.
39. 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.
40. 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.