




For Office Use Only										
Client Code	:		Active Date:							
Client ID	:		Introducer Name							
Client Name	:									

CLIENT REGISTRATION FORM



(Non - Individual)

DYNAMIC EQUITIES PRIVATE LIMITED

DYNAMIC EQUITIES PRIVATE LIMITED		
Trading & Clearing Member Registered & Correspondence Address: Technopolis, 14th Floor, Plot No. BP 4, Sector V, Salt Lake, Kolkata - 700091 Phone : 033 3001 0000 www.dynamiclevels.com		
		
OUR SEBI REGISTRATION NO. INZ000193533 (NSE, BSE & MSEI)	Our Clearing Member in Derivatives Segment GLOBE CAPITAL MARKET LTD. 609, Ansal Bhawan, 16 K.G. Marg Connaught Place, New Delhi - 110001 Phone : 011 3041 2345, 011 4041 2345 SEBI REGISTRATION NO. of GLOBE CAPITAL MARKET LTD. INZ000177137	
Compliance Officer Name: Ms. Dolly Dhavle	CEO Name: Mr. Shailesh Saraf	
Tel: 033 3001 0000	Tel: 033 3001 0000	
Email Id: dolly@dynamiclevels.com	Email Id: shailesh@dynamiclevels.com	
For any grievance/dispute, please contact Dynamic Equities Pvt. Ltd at the above address or Email id- compliance@dynamiclevels.com and Phone no. +91-9339144976. In case not satisfied with the response, please contact the concerned exchange(s) at the below mentioned Email Id, Phone No./s.		
Exchange/Depository Name	Email Id	Phone No.
NSE	ignse@nse.co.in	Tel No: 022 2659 8100
BSE	isc.kolkata@bseindia.com is@bseindia.com	Tel No: 022 2272 1233
MSEI	investorcomplaints@msei.in	Tel No: 022 6112 9000
NSDL	relations@nsdl.co.in	Tel No: 022 2499 4200

Important Instruction:

The Applicant has to sign wherever sign mark F, S, T is mentioned (F- First Holder, S- Second Holder, T- Third Holder). In case of any correction/cancellation, please provide counter signature on the left side of the page.

Disclosure of Proprietary Trading pursuant to SEBI Circular No. : SEBI/MRD/SE/Cir-42/2003 dated 19th November 2003.

We Dynamic Equities Pvt. Ltd are also engaged in Proprietary Trading apart from Client Business.



Client's Signature

INVESTOR EDUCATION

PREVENTION OF UNAUTHORISED TRADES

In order to prevent any unauthorized trades in your account, please take note the following important points:

- 1. You should communicate to your Broker the Order instructions clearly.** The order instructions should clearly indicate the security name, whether the order is for buy or sell, quantity and other relevant instructions. This reduces chances of miscommunication between the client and the Broker.
- 2. Insist on a Contract Note for each transaction** and verify details in the contract note, immediately on receipt. The trades shown in the Contract Note should be as per your order instruction. Contract Note is a confirmation of trades done on a particular day on behalf of the client. It is a prerequisite for filing a complaint or arbitration proceeding against the broker in case of a dispute.
- 3. Update your mobile numbers and your email IDs with your stock broker. You shall receive information of your transactions directly from Exchange on your mobile and email at the end of the day.** In this manner you can prevent unauthorized transactions in your account.
- 4. You may also, crosscheck details of your trade available with the details on the exchange's website.** The data on trades would be available on T+1 day in NSE website. At any given point in time 10 trading days' data would be available for verification. Visit www.nseindia.com _Domestic Investor_Verify your trades.

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Sr. No.	Name of the Document	Brief Significance of the Document	Page No
(To be filled by Client and returned to Dynamic Equities Pvt. Ltd)		BOOKLET - 1	
A. MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	KYC Application Form - Document captures the basic information about the constituent.	3-4
		Additional KYC Details - Document captures the additional information about the constituent relevant to Trading & Demat account and an instruction/checklist.	5-10
2.	Policies and Procedures	Document describing significant Policies and Procedures	11
3.	Tariff sheet	Document detailing Tariff charges levied on the Client	12-13
B. VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
4.	Authorisation for Running Account (Annexure - 1)	As per the Regulations, the settlement for Funds/ Securities is to be done within one working day from the date of Exchange payout. However, for operational convenience you may authorise us to maintain a running account and to retain the above unless specifically requested.	align="center">15-16
5.	Authorisation and Consent for Electronic contract notes and receipt of statement of account electronically (Annexure - 2)	Authorisation by the Client to the Member for issuance of electronic contract notes and other statements electronically	
6.	Authorisation of Adjustments in Different Segment and Others (Annexure - 3)	The Annexure narrates the Authorisation of Adjustment between different segments of various Stock Exchanges	
7.	Power of Attorney	Power of Attorney to broker to facilitate Payin of securities and other authorizations	17-18
(To be Read, understood and retained by the client for future reference)		BOOKLET - 2	
C. MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
8.	Rights and Obligations	Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	4-7
9.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	8-10
10.	Guidance note	Do's and don'ts for Trading on Exchange, for the education of the investors.	11

KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Non-Individual)

Please fill in **ENGLISH** and in **BLOCK LETTERS**

A. IDENTITY DETAILS

1	Name of the Applicant											
2	a)	Date of Incorporation					b)	Place of Incorporation				
3	Date of Commencement of business											
4	a)	PAN					b)	Registration No. (e.g. CIN)				

Status (Please tick any one)

5	<input type="checkbox"/> Private Ltd. Co.	<input type="checkbox"/> Public Ltd. Co.	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Partnership	<input type="checkbox"/> Trust
	<input type="checkbox"/> Charities	<input type="checkbox"/> NGO's	<input type="checkbox"/> FI	<input type="checkbox"/> FII	<input type="checkbox"/> HUF
	<input type="checkbox"/> AOP	<input type="checkbox"/> Bank	<input type="checkbox"/> Government Body	<input type="checkbox"/> Non-Government Org.	<input type="checkbox"/> Defense Establishment
	<input type="checkbox"/> BOI	<input type="checkbox"/> Society	<input type="checkbox"/> LLP	<input type="checkbox"/> FPI - Category I	<input type="checkbox"/> FPI - Category II
	<input type="checkbox"/> FPI - Category III	<input type="checkbox"/> Others (Please specify)	_____		

B. ADDRESS DETAILS

1	Address for Correspondence									
	City/town/village					Pin Code				
	State					Country				
2	Specify the proof of address submitted for Correspondence address									
3	Contact Details									
	Tel. (Off.)					Tel. (Res.)				
	Fax No.					Mobile No.				
	Email Id									
4	Registered Address (If different from above)									
	City/town/village					Pin Code				
	State					Country				
5	Specify the proof of address submitted for Registered address									

C. OTHER DETAILS

1	Name, PAN, Residential Address and Photographs of Promoters/Partners/Karta/Trustees and whole time Directors:					Please fill in the details as provided in Annexure
2	a) DIN of whole time Directors b) Aadhaar Number of Promoters/Partners/Karta					

DECLARATION

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



Name & Signature of Authorised Signatory (ies)

Date : ___/___/___ (DD/MM/YYYY)

FOR OFFICE USE ONLY

In Person Verification (IPV) Details

Name of the person who has done the IPV					Seal/Stamp of the Intermediary				
Designation			Employee Id						
Name of Organization: Dynamic Equities Pvt. Ltd.									
Date of IPV		D	D	M		M	Y	Y	Y
<input type="checkbox"/> Originals Verified and self attested document copies received					Signature of the Person who has done the IPV				
Date: ___/___/___		Name of the Authorised Signatory			Signature of the Authorised Signatory				

No. of signatures - 1 by each Director/Promoter/Partner/Karta/Trustee whose details are given below & 1 by the Person Auth. By the Board/ Karta of the HUF

ANNEXURE


DETAILS OF PROMOTERS/PARTNERS/KARTA/TRUSTEES AND WHOLE TIME DIRECTORS/AUTHORISED SIGNATORIES :													
1	Name											PHOTOGRAPH Please affix your recent passport size photograph & sign across it	
2	Relationship with Applicant (i.e. promoters, whole time directors etc)												
3	b)	PAN						b)	DIN of whole time Directors				
	c)	Aadhaar Number of Promoters/Partners/Karta											
4	Residential/Registered Address												
	City/town/village						Pin Code						
	State						Country:						

DETAILS OF PROMOTERS/PARTNERS/KARTA/TRUSTEES AND WHOLE TIME DIRECTORS/AUTHORISED SIGNATORIES :													
1	Name											PHOTOGRAPH Please affix your recent passport size photograph & sign across it	
2	Relationship with Applicant (i.e.promoters, whole time directors etc)												
3	b)	PAN						b)	DIN of whole time Directors				
	c)	Aadhaar Number of Promoters/Partners/Karta											
4	Residential/Registered Address												
	City/town/village						Pin Code						
	State						Country:						

DETAILS OF PROMOTERS/PARTNERS/KARTA/TRUSTEES AND WHOLE TIME DIRECTORS/AUTHORISED SIGNATORIES :													
1	Name											PHOTOGRAPH Please affix your recent passport size photograph & sign across it	
2	Relationship with Applicant (i.e.promoters, whole time directors etc)												
3	b)	PAN						b)	DIN of whole time Directors				
	c)	Aadhaar Number of Promoters/Partners/Karta											
4	Residential/Registered Address												
	City/town/village						Pin Code						
	State						Country:						

DETAILS OF PROMOTERS/PARTNERS/KARTA/TRUSTEES AND WHOLE TIME DIRECTORS/AUTHORISED SIGNATORIES :													
1	Name											PHOTOGRAPH Please affix your recent passport size photograph & sign across it	
2	Relationship with Applicant (i.e. promoters, whole time directors etc)												
3	b)	PAN						b)	DIN of whole time Directors				
	c)	Aadhaar Number of Promoters/Partners/Karta											
4	Residential/Registered Address												
	City/town/village						Pin Code						
	State						Country:						

DETAILS OF PROMOTERS/PARTNERS/KARTA/TRUSTEES AND WHOLE TIME DIRECTORS/AUTHORISED SIGNATORIES :													
1	Name											PHOTOGRAPH Please affix your recent passport size photograph & sign across it	
2	Relationship with Applicant (i.e.promoters, whole time directors etc)												
3	b)	PAN						b)	DIN of whole time Directors				
	c)	Aadhaar Number of Promoters/Partners/Karta											
4	Residential/Registered Address												
	City/town/village						Pin Code						
	State						Country:						

 _____ Name & Signature of Authorised Signatory (ies)	Date: ____/____/____
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DEMAT & TRADING ACCOUNT RELATED DETAILS (NON-INDIVIDUALS)

MANDATORY

DYNAMIC EQUITIES PVT. LTD.

Technopolis, 14th Floor, Plot BP 4 Sector V, Salt Lake, Kolkata - 700 091, WB, India

DP ID	I	N	3	0	2	0	1	7	CLIENT ID (To be filled by the Participant)										
-------	---	---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

We request you to open a Depository Account in our name as per the following details: (Please fill all the details in CAPITAL LETTERS only)										DATE									
--	--	--	--	--	--	--	--	--	--	------	--	--	--	--	--	--	--	--	--

A DETAILS OF ACCOUNT HOLDER(S)																			
										Name					PAN				
Sole/ First Holder																			
Second Holder (only for Demat a/c)																			
Third Holder (only for Demat a/c)																			

B TYPE OF ACCOUNT (Please tick whichever is applicable)																			
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Qualified Foreign Investor <input type="checkbox"/> Bank						<input type="checkbox"/> FI <input type="checkbox"/> Mutual Fund <input type="checkbox"/> CM						<input type="checkbox"/> FII <input type="checkbox"/> Trust <input type="checkbox"/> HUF <input type="checkbox"/> Other (Please Specify)_____							

C For Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., although the Account is opened in the name of the Partner(s), Trustee(es) etc., the name & PAN of the Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., should be mentioned below:																				
a)	Name								b)	PAN										

D INCOME DETAILS (please specify)																			
Income Range per annum in Rs.								<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1 - 5 Lac <input type="checkbox"/> 5 - 10 Lac <input type="checkbox"/> 10 - 25 Lac <input type="checkbox"/> 25 Lac - 1 Crore <input type="checkbox"/> Above 1 Crore											
and																			
Net-worth (Networth should not be older than 1 year)										Amount (Rs.)					As on (Date)				

E IN CASE OF FIIS/OTHERS (as may be applicable)																			
RBI Approval Reference Number										RBI Approval Date									
SEBI Registration Number (for FIIs)																			

F BANK ACCOUNT(S) DETAILS (You can opt for more than one A/C. Default A/C shall be used for payout of funds)																			
TYPE					DEFAULT A/C										ADDITIONAL A/C				
Bank A/C Type:					<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify_____)										<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify_____)				
Bank Account No.																			
Bank Name																			
Branch Address (City, State, Country, Pincode)																			
MICR No.																			
IFSC Code:																			

G Please tick, if applicable, for any of your Authorized Signatories / Promoters / Partners/ Karta / Trustees / Whole time directors:																			
<input type="checkbox"/> PEP-Politically Exposed Person						<input type="checkbox"/> RPEP-Related to Politically Exposed Person						<input type="checkbox"/> None							

H CLEARING MEMBER DETAILS <i>(to be filled up by Clearing Members only)</i>			
1	Name of Stock Exchange		
2	Name of Clearing Corporation/ Clearing House		
3	Clearing Member Id		
4	SEBI Registration Number		
5	Trade Name		
6	CM-BP-ID <i>(to be filled up by Participant)</i>		
I DEPOSITORY ACCOUNT(S) DETAILS			
Depository Participant Name		<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	
Beneficiary Name			
DP ID		Beneficiary ID (BO ID)	
J TRADING PREFERENCES - STOCK EXCHANGES AND SEGMENTS ON WHICH YOU WISH TO TRADE			
<i>(*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client)</i>			
Exchange	Cash	F & O	Currency
NSE	<input checked="" type="checkbox"/> _____ Signature of the Client	<input checked="" type="checkbox"/> _____ Signature of the Client	<input checked="" type="checkbox"/> _____ Signature of the Client
BSE	<input checked="" type="checkbox"/> _____ Signature of the Client	NA	NA
MSE	<input checked="" type="checkbox"/> _____ Signature of the Client	NA	NA
# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.			
K PAST REGULATORY ACTIONS			
Whether any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/ promoters/whole time Directors/authorised persons in charge of dealing in securities during the last 3 years. (If Yes, Please give details and attach documentary Proof. Attach separate annexure if required)			
<input type="checkbox"/> Yes <input type="checkbox"/> No			
L DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS			
If client is dealing through the Sub-Broker, provide the following details			
Sub-Broker's Name		SEBI Registration number	
Registered office address			
Tel No.	Fax No.	Website	
Dealings with other Stock Broker/Sub-Broker (in case dealing with multiple Stock Brokers/Sub-Brokers provide details of all)			
Name of Stock Broker		Name of Sub-Broker, if any	
Client Code		Exchange	
Details of disputes/dues pending from/to such Stock Broker/Sub-Broker			

M	ADDITIONAL DETAILS					
Whether you wish to receive Contract Note and other related documents/statements/reports in Electronic Mode Specify your Email ID, If applicable -					<input type="checkbox"/> YES <input type="checkbox"/> NO	
Whether you wish to avail of the facility of Internet Trading/ Wireless Technology					<input type="checkbox"/> YES <input type="checkbox"/> NO	
Whether you wish to receive E-mail/ SMS alerts from exchanges/depositories <input type="checkbox"/> BOTH <input type="checkbox"/> SMS <input type="checkbox"/> EMAIL					<input type="checkbox"/> YES <input type="checkbox"/> NO	
Number of years of Investment/Trading Experience: Years						
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others						
Any other information						
N	INTRODUCER DETAILS (Optional)					
Name of the Introducer						
Status of Introducer	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, please specify ____			Tel No.		
				PAN		
Address of Introducer						
City/town/village		Pin Code				
State		Country	Signature of the Introducer: _____			
O	STANDING INSTRUCTIONS (For Demat A/C only)					
1	We authorise you to receive credits automatically into our Account				<input type="checkbox"/> YES <input type="checkbox"/> NO	
2	Account to be operated through Power of Attorney (PoA)				<input type="checkbox"/> YES <input type="checkbox"/> NO	
3	SMS Alert facility	Sr. No.	Holder	YES	NO	
		1	Sole/First Holder	<input type="checkbox"/>	<input type="checkbox"/>	
		2	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>	
		3	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>	
Mode of receiving Statement of Account & "Rights and Obligations" Document [Tick any one]		<input type="checkbox"/> Physical Form				
		<input type="checkbox"/> Electronic Form [Read Note 4 and ensure that Email Id is provided in KYC Application Form].				
P	LIST OF FAMILY MEMBERS (Separate Annexure may be used in case number of members is higher)					
Sr. No.	Name of Coparcener/Member	Gender	Date of Birth	Relation with Karta	Whether Coparcener/Member (please specify)	
Q	DECLARATION FOR DEMAT A/C					
The Rules and Regulations of the Depository & Depository Participants pertaining to an Account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such Accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, we are aware that we may be held liable for it.						
We acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".						
AUTHORISED SIGNATORIES (Enclosed a Board Resolution for Authorised Signatories. In case of HUF details of Karta to be given)						
Sole/ First Holder	Name			Signature (s)		
First Signatory/Karta of HUF				 _____ Signature of First Signatory		

	Second Signatory		✓	_____ Signature of Second Holder
	Third Signatory		✓	_____ Signature of Third Holder
Other Holders				
	Second Holder		✓	_____ Signature of Second Holder
	Third Holder		✓	_____ Signature of Third Holder
R	MODE OF OPERATION FOR SOLE/ FIRST HOLDER <i>(In case of Joint Holdings, all the Holders must sign. In case of HUF this is not applicable)</i>			
	<input type="checkbox"/> Any one Singly		<input type="checkbox"/> As per Resolution	
	<input type="checkbox"/> Jointly by		<input type="checkbox"/> Others (please specify)	
S	DECLARATION FOR TRADING A/C			
<p>We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, We are aware that We may be held liable for it. We confirm having read/been explained and understood the contents of the document on policy and procedures of the stockbroker and the tariff sheet.</p> <p>We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. We do hereby agree to be bound by such provisions as outlined in these documents. We have also been informed that the standard set of documents has been displayed for Information on stockbroker's designated website, if any.</p>				
Place: _____ Date: _____			✓	_____ Signature of Client/ (all) Authorized Signatory (ies)
Notes: 1. In case of additional signatures, separate annexure's should be attached to the application form. 2. 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. 3. For receiving Statement of Account in electronic form : I. Client must ensure the confidentiality of the password of the Email Account. II. Client must promptly inform the Participant if Email address has changed. III. 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. Strike off whichever is not applicable.				

INSTRUCTIONS/ CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

**In respect of other Clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
 3. Demat master or recent holding statement issued by DP bearing name of the client.
 4. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
 5. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address:

*(*Documents having an expiry date should be valid on the date of submission.)**

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).

In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

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

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> ● Copy of the balance sheets for the last 2 financial years (to be submitted every year). ● Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). ● Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. ● Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. ● Copies of the Memorandum and Articles of Association and certificate of incorporation. ● Copy of the Board Resolution for investment in securities market. ● Authorised signatories list with specimen signatures.
Partnership firm	<ul style="list-style-type: none"> ● Copy of the balance sheets for the last 2 financial years (to be submitted every year). ● Certificate of registration (for registered partnership firms only). ● Copy of partnership deed. ● Authorised signatories list with specimen signatures. ● Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> ● Copy of the balance sheets for the last 2 financial years (to be submitted every year). ● Certificate of registration (for registered trust only). ● Copy of Trust deed. ● List of trustees certified by managing trustees/CA. ● Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> ● PAN of HUF ● Deed of declaration of HUF/ List of coparceners. ● Bank pass-book/bank statement in the name of HUF. ● Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> ● Proof of Existence/Constitution document. ● Resolution of the managing body & Power of Attorney granted to transact business on its behalf. ● Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> ● Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. ● Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> ● Copy of SEBI registration certificate. ● Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> ● Self-certification on letterhead. ● Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> ● Copy of Registration Certificate under Societies Registration Act. ● List of Managing Committee members. ● Committee resolution for persons authorised to act as authorised signatories with specimen signatures. ● True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

a) Refusal of orders for penny stocks: The client is aware and agrees that the Stock Broker may refuse or restrict a client in placing order in certain securities depending on various conditions like volume /value /illiquid scrips/Z group. List of such scrips shall be reviewed on a periodical basis and updated on DEPL website.

b) Setting up client's exposure limit: The client is aware and agrees that the Member may set the Exposure limits on the basis of available capital which may comprise of Ledger and stocks after suitable haircut. The limits may be allowed on a multiplier basis depending on Market conditions. Client agrees that the said limit procedure is a dynamic process at the discretion of Member based on market condition and risk perceptions. On exceptional cases, broker may at its discretion change limit for a client depending on market condition.

c) Applicable Brokerage Rate: Brokerage will be charged within the limits prescribed by SEBI/Exchange. The Client will be charged brokerage as per the scheme selected by the Client. The brokerage charged will be exclusive of any levies/ charges levied by the Exchanges/ SEBI/ Regulatory Authority etc. In case there is any change in the rate of brokerage, the same will be intimated to the Client by giving sufficient notice. The member at his sole discretion and also depending upon the volume of Trading and clearance of dues by the client may alter the rate of brokerage from time to time.

d) Imposition of penalty / delayed payment charges by either party: The client should pay all amounts due on or before due date. As per our policy, in capital market segment, if the client fails to provide clear balance in our designated bank A/c towards his dues within T+4 days, a delay payment charge @18%p.a on the dues will be levied on the client. In the F&O segment, if the client fails to provide clear balances in our designated bank a/c towards his dues within T+1 day, a delay payment charge@18% p.a. on the dues will be levied. Hence the client is advised to make timely payment. Apart from imposition of charges we may not allow the client to take further Buy Position. Also, penalty shall be levied at actuals in case if it is levied/imposed by the exchange/ regulators to the client.

Interest Free Deposits:

DEPL shall not pay any interest or other benefit to the client for maintaining cash balances or depositing collateral margins with the company.

e) Right to sell client's securities or close client's position, without giving notice to the client on account of nonpayment of dues: The client shall ensure timely availability of funds/securities, for meeting his pay in obligation of funds and securities. Without prejudice to the Member's other rights, it shall be entitled to liquidate all or any of the client's position without giving notice to the client for nonpayment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation against the client's liabilities. Any losses and charges on liquidation shall be borne by the client.

f) Shortages in obligations arising out of internal netting of trades: In case of shortages in obligations arising out of internal netting of trades, short shares are bought in the market at market rate in the defaulter client code. Shares are delivered to the Buyer client on payout day. The ledger of the client who failed to deliver shares is debited for such market purchase.

For internal shortage the auction closeout policy is as follows:

The Ledger of the selling client will be temporarily debited by a value of Selling value + 20% of Selling Value on T+2 Working Days. Subsequently, the Ledger of the selling client will be credited with the same amount on T+2 Working Days after the deduction of actual Auction amount at end of the day.

g) Conditions under which a client may not be allowed to take further position: Under the following conditions a client may not be allowed to take further position,

- 1) The client has a due /debit balance - Such clients are allowed to close out his open position but is not allowed to take any new position.
- 2) The client has not been able to meet his pay-in obligation in cash by the schedule date of pay-in. The client has not met Market to Market loss in cash.
- 3) The "open" positions in a contract exceed or are close to market wide cut-off limits. Or client's position is close to client-wise permissible "open" positions
- 4) The client had defaulted in meeting cash or securities obligation leading to compulsory close out of the position.
- 5) If the exchange is not allowing any further position in that script. Based on happening of the event company has the risk perception that further trading in the securities/ contracts may not be of interest of its clients and/or the market.

h) Temporary suspending or closing a client's account at client's request: Upon receipt of request of the client in writing, the client account can be suspended temporarily provided he has cleared all his dues. Member may also suspend the clients from Trading in the following circumstances:

- 1) Where the client has not cleared the naked or uncovered debits which are more than 7 days' old.
- 2) Where the account is under investigation by any Regulatory Body.
- 3) Physical documents are received back undelivered due to reasons like "no such person", "addressee" left,
- 4) Non submission of updated KYC
- 5) Client lodges a compliant either directly with company or through Exchange
- 6) On notices received from Statutory, Government or Local authorities etc If the client wants to reopen the account, in future client has to complete the KYC requirements again.

i) De-registering a client: The Member shall be entitled to terminate the relationship with the client in any of the following circumstances:

- 1) Based on surveillance, if a client appears to be indulging in manipulative practices. Or if any action is taken by SEBI or any other Regulatory Authority or is part of list of debarred entities published by SEBI
- 2) There is a reasonable ground to believe that the client is unable to clear its dues or admitted its inability to pay its debts.
- 3) If the client violates any terms of the agreement

j) Inactive client account:

Client account will be considered as inactive if the client does not trade for period of 6 months. Classification will be done periodically and those clients who have not traded even a single time will be considered as inactive. Member at his sole discretion may place restriction on the trading or deactivate the trading. The client can make written request for reactivation of his / her account and submit documents for KYC update.

Client Acceptance of Policies and Procedures stated hereinabove:

We have fully understood the same and do hereby sign the same These Policies and Procedures may be amended / changed unilaterally by the Member, provided the change is informed to us through any one or more means or methods including email on my designated email ID.

Signature of Client




PMLA Policy

Prevention of Money Laundering Act (PMLA) defines money laundering offence and provides for the freezing, seizure and confiscation of the proceeds of crime. The intermediaries may according to their requirements specify additional disclosures to be made by clients for the purpose of indentifying, monitoring and reporting incidents of Money Laundering and Suspicious Transactions if any undertaken by the clients. We adhere to the PMLA Guidelines and periodic amendments issued by Board and practice Due Diligence as and when required as per the guidelines.

Signature of Client

Dear Sir/Madam,

We hereby agree to pay the Schedule of Charges for Depository Services and abide by the rules & regulation as laid down by the DP (DEPL) as mentioned below:

TYPE		POA 1ST A/C	POA 2ND A/C / NON POA
Advance Amount	(For receiving Statement in Electronic Form)	For Corporate - Rs. 1062/- Other than Corporate - Rs. 472/-	For Corporate - Rs. 1180/- Other than Corporate - Rs. 590/-
	(For receiving Statement in Physical Form)	For Corporate - Rs. 1298/- Other than Corporate - Rs. 708/-	For Corporate - Rs. 1416/- Other than Corporate - Rs. 826/-
Account Maintenance Charges Per Annum	(For receiving Statement in Electronic Form)	For Corporate - Rs. 900/- (Incl. NSDL Charges of Rs. 500/-) Other than Corporate - Rs. 400/-	For Corporate - Rs. 1000/- (Incl. NSDL Charges of Rs. 500/-) Other than Corporate - Rs. 500/-
	(For receiving Statement in Physical Form)	For Corporate - Rs. 1100/- (Incl. NSDL Charges of Rs. 500/-) Other than Corporate - Rs. 600/-	For Corporate - Rs. 1200/- (Incl. NSDL Charges of Rs. 500/-) Other than Corporate - Rs. 700/-
Transaction (Trxn.) Charges Sell :- ● Market (Mkt.) ● Off Market (Off-Mkt.)		Mkt. Trxn. through CM-DEPL Rs. 9/- (Debited in Contract Note) Mkt. Trxn. through Other CM Rs. 20/- Off-Mkt. Trxn. Rs. 20/-	For Trader Poa 2nd A/c :- Mkt. Trxn. through CM-DEPL Rs. 9/- (Debited in Contract Note) Mkt. Trxn. through Other CM Rs. 20/- Off-Mkt. Trxn. Rs. 20/- For Non Poa A/c :- Min. Rs. 20/- per Trxn. or 0.02% on value of the Trxn. whichever is higher.
Transaction (Trxn.) Charges Buy		Nil	Nil
Dematerialisation Charges		Min. Rs. 50/- per Request upto 16 Cert. thereafter Rs. 3/- per Cert.	Min. Rs. 50/- per Request upto 16 Cert. thereafter Rs. 3/- per Cert.
Rematerialisation Charges		Rs. 20/- per Cert. or Rs. 20/- for every hundred Securities or part thereof, whichever is higher.	Rs. 20/- per Cert. or Rs. 20/- for every hundred Securities or part thereof, whichever is higher.
Pledge-Creation/Closure		Min. Rs. 50/- per Trxn. or 0.02% on value of the Trxn. whichever is higher.	Min. Rs. 50/- per Trxn. or 0.02% on value of the Trxn. whichever is higher.
Demat Rejection		Rs. 30/- per ISIN	Rs. 30/- per ISIN
Extra Statement Charges		Min. Rs. 50/- per Request upto 10 Pages thereafter Rs. 5/- per Page.	Min. Rs. 50/- per Request upto 10 Pages thereafter Rs. 5/- per Page.
Postage Charges		Rs. 50/- per Request	Rs. 50/- per Request
Lost D.I.B. Charges		Rs. 50/- per Request	Rs. 50/- per Request
 _____ Signature of First Signatory		 _____ Signature of Second Signatory	 _____ Signature of Third Signatory


Note:

The above charges are subject to NSDL/CDSL charges and will be revised on revision by DEPL-DP/NSDL/CDSL from time to time.

The above charges are exclusive of GST (latest @18%) and other levies levied by Government Bodies/Statutory Authority from time to time.

Declaration for same Mobile Number and/or Email Id

[Please tick () wherever applicable]

DP Id	IN302017	Client Id / Trading Code		Date	
Name of Account Holder					
<input type="checkbox"/> Mobile Number					
<input type="checkbox"/> Email Id					
I hereby declare that the aforesaid Mobile Number or E-mail Id belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).					
Signature of Account Holder					

Tariff Sheet

Segment	Cash Market				Futures				Options (per lot)	Currency Futures				Currency Options (per lot)
	Square off (Intraday)		Delivery		Non Square off		Square off (Intraday)			Non Square off		Square off (Intraday)		
Exchange	%	Min	%	Min	%	Min	%	Min		%	Min	%	Min	
NSE														
BSE														
MSE														

Account opening Charges: _____

Notes:

1. The above brokerage is exclusive of GST and any other Statutory / Government/Exchange /Regulatory charges to be levied at actuals as applicable from time to time.
2. Square off, Non-Square off, Delivery, Options Brokerage rates are charged on each leg of the transaction.
3. Minimum Brokerage shall be calculated on per scrip per unit basis and the same shall be multiplied by the total quantity bought or sold.

Signature of Client: _____

FOR OFFICE USE ONLY			
UCC Code allotted to the Client:			
	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. We have given/sent him a copy of all the KYC documents. We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on our website, if any, for the information of the clients.

Signature of the Authorised Signatory

Date : _____

Seal/Stamp of DEPL

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**ANNEXURE - 1 (THIS DOCUMENT IS VOLUNTARY)
AUTHORITY LETTER FOR RUNNING ACCOUNT**

To,
Dynamic Equities Private Limited
Dear Sir,

1. We _____ hereby request you to maintain my account, both securities and funds, with you on a running account basis. This will facilitate me in our transaction through you. In view of the above, it would be proper for you to release the funds and securities due to us on my specific request, either written or oral.
2. The actual settlement of funds and securities shall be done by you, at least once in a Calendar Quarter/ Month except the funds given towards collaterals/margin inform of Bank Guarantee and/or Fixed Deposit Receipt. While settling the account, the broker shall send to the client a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all receipts/ deliveries of funds/securities. The statement shall also explain the retention of funds/securities and the details of pledge, if any.
3. If we have outstanding obligations on the settlement date, the stockbroker may retain the requisite securities / funds towards such obligation and may retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. We understand and agree that no interest will be payable to us on the amounts or securities so retained with you, as per my running account.
4. For the purpose of Monthly/ Quarterly settlement of Funds & Securities, Dynamic Equities Pvt. Ltd. may retain an amount of up to Rs. 10,000 (Rupees Ten thousand only) (net amount across segments and stock exchanges) as per the exchange guidelines. This is only applicable if We have been regularly trading in that particular Quarter / month (as applicable).
5. We shall bring any dispute arising from the statement of account or settlement so made to the notice of the broker preferably within 7 working days from the date of receipt of funds / securities or statement, as the case may be.
6. We further declare that this authorization can be revoked anytime by us. The actual settlement of funds shall be done at least once in the preference period as selected below:

Once in a Calendar Quarter

Once in a Calendar Month

Date: _____



Sole / First Holder

**ANNEXURE - 2 (THIS DOCUMENT IS VOLUNTARY)
MANDATE FOR ELECTRONIC COMMUNICATION**

To,
Dynamic Equities Private Limited
Dear Sir,

We _____ hereby agree to accept

A/ C opening Intimation

Contract Notes

DP Holding / Transaction Statement

Daily Margin Information

Quarterly Statement of Accounts

Other Documents

by Email at the following Email Id(s) : _____

We agree to receive all the above documents only in electronic form (email / web based). Any change on the Email Id shall be immediately communicated by us. The communication shall be through a physical letter to DEPL. However for Internet Based Clients, such communication can be through secured access by way of login through User ID & Password.

- a. In case when the DEPL is not able to provide above mentioned documents to the Client in electronic form (Email/Web-based) due to any unforeseen problems, it shall ensure that the same reaches to the Client in physical form as per the time schedule stipulated in the Bye Laws & Business Rules of Depository / Exchange.
- b. The Client will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of Internet/Email/Web-based Account. Client is aware that all the above documents may be accessed by other entities in case the confidentiality / secrecy of the login name / password is compromised.
- c. We agree that the Log Reports of your dispatching software shall be a conclusive proof of dispatch of Contract Notes, Daily Margin Information, DP Holding, Transaction statement, Quarterly Statement of Accounts and any other electronic communication to me/ us and such dispatch shall be deemed to mean receipt by us. We also agree that non-receipt of bounce back mail notification by you shall amount to delivery at the above Email Id.
- d. DEPL and Client(s) shall have the right to terminate such service, provided a written notice is given at least 10 days in advance to the other party.

Note: The documents can also be accessed from our website: www.dynamiclevels.com

Date: _____



Sole / First Holder



Second Holder



Third Holder

(THIS DOCUMENT IS VOLUNTARY)

ANNEXURE-3

Authorisation of Adjustments in Different Segment of various Stock Exchanges and Others

To
DYNAMIC EQUITIES PVT LTD
Technopolis, 14th Floor
Plot No. BP 4, Sector V
Salt Lake Kolkata -700 091

Beneficiary Client ID: _____

Trading Account Code: _____

- 1) We have applied for a Trading account and a Demat account with Dynamic Equities Private Limited.
- 2) We may be trading in Derivatives Segment & Cash Segment of various Stock Exchanges and hence might have various Accounts with you. In this regard, we hereby authorize M/s Dynamic Equities Private Limited to act at its discretion of adjusting any credit balance under our various Accounts against the debit in any Account across Segments/Exchange, without taking any further instruction from us.
- 3) We also authorise you to merge/adjust balances held as margin kept under various Accounts to nullify debit in any of our Account. You may also sell our Share Margin deposit to nullify debit in any of our Account.
- 4) We understand and agree that no interest will be payable to us on the Amounts or Securities so retained with you, as per our running Account.
- 5) We also confirm that the Securities lying in our withheld A/c should be considered as margin Deposit/Collateral.
- 6) We authorize you to set off a part or whole of the margin deposited by me against any of our dues, by appropriating relevant amount of fund or by sale of securities, which form part of margin.
- 7) Since you are issuing contract notes bearing order & trade number on a daily basis, please do not issue any order/trade confirmation slips.
- 8) For the convenience of payment of Depository bills, pertaining to my above-referred Demat account, with respect to the above-mentioned subject and consideration, We hereby authorize you to debit the trading account maintained with Dynamic Equities Private Limited for the debit charges payable to Dynamic Equities Private Limited as depository participant for providing depository services.

Date: _____



Signature of the Client

**(THIS DOCUMENT IS VOLUNTARY)
POWER OF ATTORNEY**

We, _____, a Company registered under the Companies Act, 1956 having registered office at _____ do hereby nominate, constitute, and appoint Dynamic Equities Pvt. Ltd., a company incorporated under the Companies Act, 1956 in Kolkata and operating for the purposes of these presents from its Registered Office in India situated at Technopolis, 14th Floor, Plot BP - 4, Sector V, Salt Lake, Kolkata - 700 091, Ph - 30010000/40099400, acting through any of its Directors and / or officers duly authorized by it for the purpose, as our true and lawful Constituted Attorney (hereafter referred to as "the said attorney") and authorize it on our behalf to do all or any of the following acts, deeds and things:

To operate Demat Account No. _____ held by us maintained with the said Attorney, a Depository Participant (DP) of National Securities Depository Ltd having DP ID IN302017 for the purpose of issuing instructions against the transactions done through Dynamic Equities Pvt. Ltd., member of NSE/BSE/MSEI or any other Stock Exchange that may be necessary in the course of business.

AND WHEREAS to facilitate proper execution of all delivery instructions undertaken by us pursuant to the Attorney We are desirous of appointing an Attorney and confer upon the said Attorney the powers herein after stated.

NOW THESE PRESENT WITNESS that We do hereby appoint DYNAMIC EQUITIES PVT. LTD. (DEPL) ("the Attorney") to be our true and lawful Attorney in our name and on our behalf to execute, only pay in delivery instructions of the following acts, deeds or things mentioned hereunder that is to say:

1. Transfer securities held in our Demat Account no. as mentioned above towards Stock Exchange(s) related margin/delivery obligations arising out of trades executed by us on the Stock Exchange(s) through Dynamic Equities Pvt. Ltd.
2. To debit and to give delivery instructions and to do all such things that may be necessary for smooth Delivery of securities in the course of business relating to the designated Demat Account No. _____ with DYNAMIC EQUITIES PVT. LTD, towards the obligation for transactions done on NSE/BSE/MSEI or any other Stock Exchange through DEPL.

3. To do all such act deeds and things as may be necessary and expedient for or incidental to ensure that Delivery of securities arising out of transactions undertaken by us under the Agreement are duly and properly completed.
4. To pledge the securities in favour of DEPL for the purpose of meeting our margin requirements in connection with the trades executed by us on the Stock Exchange(s) through DEPL.
5. To apply for various products like Mutual Funds, Public Issues (shares as well as debenture), rights, offer of shares, tendering shares in open offers etc. pursuant to the our instructions.
6. The Attorney shall have the right to give instructions to DP to debit securities from the said account towards our margin obligation with DEPL.
7. The Demat Account details of DEPL where securities can be transferred for above purpose(s) are mentioned below.

DP ID	CM BP ID (S) / DEMAT ACCOUNT NO. (S)
IN302017	IN558615
IN302017	IN609896
IN302017	IN471126
IN302017	IN565576
IN302017	IN620031
IN302017	10193952

Signed and delivered by:	
For and on behalf of the Client	For and on behalf of Dynamic Equities Pvt. Ltd.
Signature of First Holder	
Signature of Second Holder	
Signature of Third Holder	

8. To return to us, the securities or funds that may have been received by the Attorney erroneously or those securities or funds that it was not entitled to receive from us.

9. To send consolidated summary of our script wise buy and sell positions taken with average rates, to us by way of SMS/email on a daily basis.

10. This Power of Attorney is revocable by us at any time, without notice.

AND WE DO HEREBY for myself and my heirs, executors and administrator agree to ratify and confirm all and whatsoever my said Attorney shall do or purport to do or cause to be done by virtue of these present.

AND WE DO HEREBY FURTHER CONFIRM AND DECLARE THAT This power of attorney is and shall remain valid only for the delivery instructions relating to pay in/margin obligation of securities which are or may be necessary towards obligations for transactions done on the NSE/BSE/MSEI or any other Stock Exchange through DEPL

AND WE DO HEREBY FURTHER CONFIRM AND DECLARE THAT our DP A/c shall at all times make available sufficient securities in the DP A/c for the purpose mentioned above and the POA holder shall have no responsibility and liability for failed instructions or cancelled delivery instructions of clients due to reason "insufficient balance". We also confirm to maintain sufficient balance of shares before pay in date and the POA holder is not responsible if shares get credited in my/ our account on the pay-in date. We also confirm that POA holder is not responsible for the pay-in of securities if debit balance in our Demat account exist i.e. It is our responsibility to clear the debit balance within the due date.

We hereby agree that all such acts done by the said attorney shall be deemed to be acts done by us, myself/ourselves and if necessary, shall be ratified by us on instructions of the said attorney. This document shall be subject to the jurisdiction of the courts in Kolkata.

In witness where of We set our hands at this day of _____ 20_____

Signed and delivered by:	
For and on behalf of the Client	For and on behalf of Dynamic Equities Pvt. Ltd.
Signature of First Holder	
Signature of Second Holder	
Signature of Third Holder	
Witness Details:	
For and on behalf of the Client	For and on behalf of Dynamic Equities Pvt. Ltd.
Name:	Name:
Address	Address: Technopolis, 14th Floor, Plot No. BP 4, Sector V, Salt lake, Kolkata 700091
Witness Signature	Signature

ACKNOWLEDGEMENT LETTER

To

DYNAMIC EQUITIES PVT. LTD

**Technopolis, 14th Floor, Plot No. BP 4, Sector V
Salt Lake, Kolkata -700 091, Phone: 033-4009 9400**

Sub. : Acknowledgement of receipt of copy of Account Opening Form & Other documents

Ref.: Trading Code _____


Demat A/c No. _____

Dear Sir,

This has reference to our aforesaid Trading & Demat account with you. In this connection, We hereby acknowledge the receipt of copy of the following:

- i. Copy of the Client Registration Form
- ii. Rights & Obligations document w.r.t Sub broker & Client (including additional rights & obligations in case of internet/ wireless technology based trading)
- iii. Risk Disclosure Document
- iv. Guidance Note
- v. Policies & Procedures
- vi. Brokerage Plan/ Tariff Sheet
- vii. Copy of Power of Attorney
- viii. All other documents (voluntary documents) executed by us in favour of the Company ('DEPL').

It also includes an index page listing all documents required for registration, indicating briefly significance of each document.

Signature:  _____

Date: ___/___/_____

Name: _____

----- **TEAR FROM HERE** -----

Acknowledgement

Dynamic Equities Pvt. Ltd. (DP ID - IN302017)

Technopolis, 14th Floor, Plot No. BP 4, Sector V, Salt Lake, Kolkata - 700091

Received the application from Mr./Ms. _____ as the sole/first holder along with _____ and _____ as the second and third holders respectively for opening of a Depository Account. Please quote the DP Id & Client ID allotted to you in all your future correspondence.

Date _____

Participant Stamp & Signature

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DYNAMIC EQUITIES PRIVATE LIMITED

Regd. Office: "Technopolis", 14th Floor, Plot BP 4, Sector V, Salt Lake, Kolkata 700 091, Telefax: +91 33 4009 9400/ 3001 0000

Mumbai Office: Unit No. 306, Western Edge - I, Western Express Highway, Borivali (East), Mumbai - 400 066

www.dynamiclevels.com

Option for issuance of DIS Booklet along with Account opening

(to be filled by persons seeking to open a Depository Account who have given Power of Attorney to operate the Depository Account to a Stock Broker/Participant/Portfolio Manager and do not intend to open a Basic Services Demat Account)

Dynamic Equities Pvt. Ltd.		DP ID	I	N	3	0	2	0	1	7
Technopolis, 14th Floor, Plot No. BP4, Sector V, Salt Lake, Kolkata - 700091										
Name(s) of Account Holder(s)	Sole/First Holder									
	Second Holder									
	Third Holder									
Option for Issue of DIS Booklet <i>(Please tick any one)</i>										
Option 1 <input type="checkbox"/> I/We wish to receive the Delivery Instruction Slip (DIS) Booklet with Account opening.										
Option 2 <input type="checkbox"/> I/We do not wish to receive the DIS Booklet with Account opening. However, the DIS Booklet should be issued to me/ us immediately on my/ our request at any later date.										
<u>Beneficial Owner</u>	<u>Name</u>	<u>Signature with date</u>								
Sole/First Holder		X								
Second Holder		X								
Third Holder		X								

FIT AND PROPER PERSON DECLARATION

As per Regulation 19(1) of Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) Regulations, 2012 (SECC Regulations) which states that no person shall, directly or indirectly, acquire or hold equity shares of a recognised Stock Exchange or recognised Clearing Corporation unless he is a fit and proper person in terms of Regulation 19 and 20 of the said SECC Regulations.

Regulations 19 and Regulations 20 as prescribed by SEBI (herein referred as "Board") are reproduced: **Eligibility for acquiring or holding shares.**

19. (1) No person shall, directly or indirectly, acquire or hold equity shares of a recognised stock exchange or recognized clearing corporation unless he is a fit and proper person.

(2) Any person who, directly or indirectly, either individually or together with persons acting in concert, acquire equity shares such that his shareholding exceeds two per cent of the paid up equity share capital of a recognized stock exchange or recognised clearing corporation shall seek approval of the Board within fifteen days of the acquisition.

(3) A person eligible to acquire or hold more than five per cent of the paid up equity share capital under sub regulation

(2) of regulation 17 and sub-regulation (2) of regulation 18 may acquire or hold more than five per cent of the paid up equity share capital of a recognized stock exchange or a recognised clearing corporation only if he has obtained prior approval of the Board.

(4) Any person holding more than two per cent. of the paid up equity share capital of the recognised stock exchange or the clearing corporation on the date of commencement of these regulations, shall ensure compliance with this regulation within a period of ninety days from the date of such commencement.

(5) If approval under sub-regulation (2) or (3) is not granted by the Board to any person, such person shall forthwith divest his excess shareholding.

(6) Any person holding more than two per cent. of the paid up equity share capital in a recognised stock exchange or a recognised clearing corporation, as the case may be, shall file a declaration within fifteen days from the end of every financial year to the recognised stock exchange or recognised clearing corporation, as the case may be, that he complies with the fit and proper criteria provided in these regulations.

Fit and proper criteria.

20. (1) For the purposes of these regulations, a person shall be deemed to be a fit and proper person if—

(a) such person has a general reputation and record of fairness and integrity, including but not limited to—

(i) financial integrity; (ii) good reputation and character; and (iii) honesty;

(b) such person has not incurred any of the following disqualifications

(i) the person, or any of its whole time directors or managing partners, has been convicted by a court for any offence involving moral turpitude or any economic offence or any offence against the securities laws;

(ii) an order for winding up has been passed against the person;

(iii) the person, or any of its whole time directors or managing partners, has been declared insolvent and has not been discharged;

(iv) an order, restraining, prohibiting or debarring the person, or any of its whole time directors or managing partners, from dealing in securities or from accessing the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the expiry of the period specified in the order has not elapsed;

(v) any other order against the person, or any of its whole time directors or managing partners, which has a bearing on the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the order has not elapsed;

vi) the person has been found to be of unsound mind by a court of competent jurisdiction and the finding is in force; and (vii) the person is financially not sound.

(2) If any question arises as to whether a person is a fit and proper person, the Board's decision on such question shall be final.

I / We hereby declare that I / We have read and understood the above and confirm that I am / We are a Fit and Proper person.

Client Name:

Client Signature:

Date:



FATCA-CRS Declaration & Supplementary KYC Information Declaration Form for Entities

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

Part – A			
PAN			
Name			
Address Type <i>[for KYC address]</i>	<input type="checkbox"/> Residential	<input type="checkbox"/> Residential / Business	
	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	
Place of Incorporation		Country of Incorporation	
Gross Annual Income Details in INR	<input type="checkbox"/> < 1 Lakh <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> 25 Lacs-1 Cr <input type="checkbox"/> > 1 Cr	Net Worth in INR in Lacs	_____
		Net Worth as of	dd/mmm/yyyy
Is the entity involved in / providing any of the following services:	<input type="checkbox"/> Foreign Exchange / Money Changer Services <input type="checkbox"/> Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates] <input type="checkbox"/> Money Laundering / Pawning	Any other information <i>[if applicable]</i>	<i>[Please specify]</i>

Is your [Entity] Country of Tax Residency other than India – Yes No

If 'Yes', please specify the details of all countries where you [Entity] hold tax residency and its Tax Identification Number & type

S No	Country of Tax Residency	Tax Payer Identification Number/ <i>Functional Equivalent / Company Identification Number or Global Entity Identification Number</i>	Identification Type <i>[TIN or other, please specify]</i>
1			
2			
3			

In case the Entity's Country of Incorporation / Tax Residence is US but Entity is not a Specified US person, mention Entity's exemption code here _____ *(Refer Instructions o)*

Part B [to be filled by Financial Institutions or Direct Reporting NFFEs]

We are a

Financial Institution / FFI [refer instructions a.]

Direct Reporting NFFE [refer instructions b.]

GIIN (Global Intermediary Identification Number):

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Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

Name of the sponsoring entity

GIIN not available [tick any one]:

- Applied For
- Not required to apply for – specify sub-category code [refer instructions c.]
- Not obtained - Non-participating FFI

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

1	Is the entity is a listed company [whose shares are regularly traded on a recognized stock exchange] [refer instructions d.]	Yes <input type="checkbox"/> (Please specify the name of the Stock Exchange(s) where it is traded regularly) 1. _____ 2. _____
2	Is the entity a 'Related Entity' of a listed company [whose shares are regularly traded on a recognized stock exchange] [refer instructions e.]	Yes <input type="checkbox"/> (Please specify the name of the listed company, name of the Stock Exchange(s) where it is traded regularly) Name of the listed company: _____ Name of the Stock Exchange: _____
3	Is the entity an Active NFE?	Yes - Nature of business _____ Please specify sub-category of Active NFE <input style="width: 20px; height: 15px;" type="text"/> <input style="width: 20px; height: 15px;" type="text"/> [refer instructions g.]
4	If the entity a Passive NFE: [refer instructions h.]	Yes - Nature of business _____ Also submit UBO Form [provided separately]

Declaration:

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

Signature with relevant seal:

Authorized Signatory

Authorized Signatory

Authorized Signatory

Date:

Place:

Mandatory fields

* Address Type should either Residence or Business or Registered Office

\$ Mandatory if PAN of UBO/Controlling persons is not provided

Note: If the given rows are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory

*Note that some of the Mutual Funds may call for additional information/documentation wherever required or if the given information is not clear / incomplete / incorrect and you may to have provide the same as and when solicited

Declaration

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

Signature with relevant seal:

Authorized Signatory

Authorized Signatory

Authorized Signatory

Place: _____

Date: __/__/__