Welcome to Maverick

KYC

CLIENT REGISTRATION FORM

Know your client form

REGISTRATION FOR :

- [ ] NSE Cash Segment
- [ ] NSE Derivative Segment
- [ ] NSE Currency Derivative Segment
- [ ] MCX Commodity Derivative Segment
- [ ] Depository Participant-CDSL
- [ ] BSE Cash Segment
- [ ] BSE Derivative Segment
- [ ] BSE Currency Derivative Segment
- [ ] BSE Commodity Derivative Segment

FOR OFFICE USE :

Registration Kit (Cash, F&O, Currency & Demat Account)

Client Name			
Client Code		Group Code	
Introducer Name		Introducer Code	
Demat A/c. No.	1 2 0 3 6 6 0 0	Application No.	
A/c. Open Date		Place	

THE BOND OF SECURITY

MAVERICK

Maverick Share Brokers Private Limited

Member of NSE, BSE, MCX, DP-CDSL

CIN No. U67120RJ2000PTC16606
Regd. Off. : 211, Laxmi Complex, M. I. Road, Jaipur-302001
Tel. : +91 141 4919109, 2362040-44 Fax : +91 141 2360627
DP Work Off. : 205, Laxmi Complex, M. I. Road, Jaipur-302001
Tel. : +91 141 4919115-4919116, 4919117
E-mail : dp@maverickgroup.in • Website : www.maverickgroup.in
Investor Grievance mail ID-complaint@maverickgroup.in

Document Check List (Individual)

1. Two passport size photograph
2. One Photocopy of PAN Card (Clear Copy) (self Attested)
3. Proof of Bank Account (**any one**)
   a) Personalised Crossed cheque (Printed name on cheque)
   b) Certified Bank Statement not more than 2 months old
4. Adrress Proof (**Photocopy of any one**)
   a. Ration Card
   b. Passport
   c. Voter's Identity Card
   d. Driving License
   e. Bank Passbook/Bank Statement (not more than 2 months old)
   f. Electricity, Landline Telephone Bill (Not more than 2 months old)
   g. Aadhar

Additional Requirement

(A) In case of **ONLY TRADING ACCOUNT** Opening Proof of Demat Account (**any one**)
   a) Client Master
   b) Demat Holding statement (not more than 2 months old)

(B) In case of A/c of **MINOR**
   a) Birth Certificate
   b) KYC Form + PAN Card + Address Proof of Guardian

Document Check List (HUF)

1. Pan Card Copy of Individual And HUF.
2. Address Proof of Individual And HUF.
3. Passport Size Photo of Karta (one).
4. Rubber Stamp of Huf Required on Every Sign of Karta.
5. Pan Card of any one Member of Huf.
6. HUF Member Declaration (page No. 11)

Document Check List (Corporate)

1. Photograph of whole time Directors/two Directors in charge of day to day operations (to be pasted on Account opening form)
2. Copy of PAN Card of Company
3. Copy of PAN Card of whole time Directors/two Directors in charge of day to day operations. (Authorized Signatory)
4. Address proof of Company.
5. Address proof of whole time Directors/two Directors in charge of day to day operations.
6. Proof of Bank Account of the Company
7. DP Proof of Company. (App. in case of Trading Account)
8. Copy of Balance sheet latest 2 financial years (to be submitted every year)
9. Self attested copy of Memorandum & Articles of Association of the Company and certificate of incorporation.
10. Board Resolution on letter head of company.
11. Copy of the 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 subimitted every year).
12. Authorised signatories list with specimen signature on letter head of the company along with their photo
13. List of Directors on Letter Head along with their signature & Din No.
14. Two Years ITR Return copy (latest),
15. CIN
16. View Signatory list from MCA Website

All documents need to be self attested.

DOCUMENTS REQUIRED AS PER SEBI CIRCULAR CIR/MIRSD/16/2011 DATED 22-08-2011
Read wih SEBI Circular bearing Reference No. MIRSTD/SE/CIR-19/2009 dated 3-12-2009

INDEX

MANDATORY DOCUMENTS AS PRESCRIBED BY DEPOSITORIES , EXCHANGES & SEBI

NON-MANDATORY DOCUMENTS

Maverick Share Brokers Private Limited
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E-mail : dp@maverickgroup.in Website : www.maverickgroup.in
Investor Grievance mail ID-complaint@maverickgroup.in

MEMBERSHIP & SEBI REGISTRATION NO.

EXCHANGE	MEMBERSHIP NO.	SEGMENT WISE SEBI REG. NO. & DATE							
		CASH		F&O		CURRENCY		COMMODITY	
NSE	11604	INZ 000103531	Dt.04-07-2001	INZ 000103531	Dt.11-12-2001	INZ 000103531	Dt.26-08-2008	—	—
BSE	3182	INZ 000103531	Dt.29-03-2007	INZ 000103531	Dt.11-10-2007	—	—	INZ 000103531	Dt.26-10-2018
MCX	56340	—	—	—	—	—	—	INZ 000103531	Dt.03-01-2019

DEPOSITORY DETAILS

NAME	DP ID	DP SEBI REG. NO.	DATE
CDSL	12036600	IN DP-644-2021	18-11-2004

CFO & Compliance Officer's Details

CFO's Details

Name	:	Ghanshyam Agrawal
Phone No.	:	+91 9314388035
E-mail id	:	ca.ghanshyam@maverickgroup.in

Compliance Officer's Details

Name	:	Kailash Sharma
Phone. No.	:	+91 9314388043
E-mail id	:	compliance@maverickgroup.in

For any grievance/dispute please contact Maverick Share Brokers Pvt. Ltd. at the above address or email id complaint@maverickgroup.in and Phone no. +91-9314388011. In case not satisfied with the response, please contact the concerned exchange(s) / Depository at

EXCHANGE-WISE INVESTOR GRIEVANCE CELL

Exchange	Web Address	Contact No.	Email - Id
NSE	www.nseindia.com	022-26598100	ignse@nse.co.in
BSE	www.bseindia.com	022-22721233	is@bseindia.com / iscdelhi@bseindia.com
MCX	www.mcxindia.com	022-67318888, 66494151	grievance@mcxindia.com

Depository	Web Address	Contact No.	Email - Id
CDSL	www.cdslindia.com	022-22723333	complaints@cdslindia.com

INTRODUCER DETAILS

Name of the Introducer: F I R S T N A M E M I D D L E N A M E S U R N A M E

Employee Code : Employee E-mail :

Mobile : Phone(with STD Code) : –

Status of the Introducer:

☐ Remisier ☐ Authorized Person ☐ Existing Client ☐ Others: (Please Specify Others)

Address of the Introducer :

Signature of the Introducer :

ACKNOWLEDGMENT TO MAVERICK FROM CLIENT

To,

Date :______________________

Maverick Share Brokers Private Limited
211, Laxmi Complex, M. I. Road, Jaipur-302001

I/we hereby confirm that I/we have read, understood, agreed and received a duly executed copy of the:-

- Account Opening Form
- Trading Account Related Details & Tariff Sheet (Trading & Demat Account)
- Rights and Obligations of Stock Brokers, Sub-Brokers and Clients
- Rights and Obligations of Beneficiary owner and Depository Participant as prescribe by SEBI and Depository
- Risk and Disclosure document for capital market and derivative segments
- Guidance note-Do's and Don't for trading on the Exchange(s) for Investors
- Policies and procedures
- Terms & Conditions as Mutually agreed by me & FATCA & CRS Terms & Conditions
- Other disclosure/documents as agreed by me specifically in voluntary segment.

I/we am/are abiding by these terms & conditions. I/we reconfirm that I/we and stock broker shall refer any claim and/or disputes with respect to deposits, margin money, etc, to arbitration as per the Rules, Byelaws, and Regulation of the Exchanges where the trade is executed and circulars/notices issued there under as may be in force from time to time. I/We reconfirm that I/we and Stock Broker shall refer all claims, differences or disputes between us arising out of or in relation to dealings, contracts and transaction made subject to the Bye-Laws, Rules and Regulations of the Exchange or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions and contracts have entered into to arbitration in accordance with the provisions of these Byelaws and Regulations.

Thanks and Best regards,

Client Code :____________________________

For____________________________________

Sign here : ☞

Authorised Signatory Name

For **Maverick Share Brokers Pvt. Ltd.**

Authorised Signatory / Director

Disclosure Information (For Pro Account Trading)

To,

Maverick Share Brokers Pvt. Ltd.

Sir,

This is to inform you that we do client based trading and Pro-account trading in National Stock Exchange of India Ltd. (NSE)/ BSE Ltd. (BSE) / Multi Commodity Exchange of India Ltd. (MCX)
Thanks and best regards.

For **Maverick Share Brokers Pvt. Ltd.**

Authorised Signatory/ Director

I acknowledge the receipt of information given above by Maverick Share Brokers Pvt. Ltd. that they do Client base trading and Pro-account trading.

Client Name: Signature of Client ☞

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

CKYC & KRA KYC Form

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

Please fill in ENGLISH and in BLOCK LETTERS

CVL MAVERICK

Application No. :

CERSAI

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

Application Type* ☐ New ☐ Update
KYC Number (Mandatory for KYC update request)
Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small ☐ OTP Based-KYC

A. Identity Details (please see guidelines overleaf)

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

Father's/Spouse Name
Mother's Name

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

2. Gender ☐ Male ☐ Female **B. Marital status** ☐ Single ☐ Married **C. Date of Birth** d d / m m / y y y y

3. Nationality ☐ **Indian** ☐ **Other** (Please specify)

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

5. Occupation Type* ☐ S-Service (☐ Private Sector ☐ Publoc Sector ☐ Government Sector)
☐ O-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ House wife ☐ Student)
☐ B-Business X-Not Categorised

6. PAN Please enclose a duly attested copy of your PAN Card

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

7. Proof of Identity submitted for PAN exempt cases Please Tick (✓)
☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others (Please see guideline 'D' overleaf

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village Pin Code
State Country

2. Contact Details

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

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ UID (Aadhaar) ☐ Others (Please specify)
*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** d d / m m / y y y y

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

City / Town / Village Pin Code
State Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ UID (Aadhaar) ☐ Others (Please specify)
*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** d d / m m / y y y y

DECLARATION

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

Place: Date:

SIGNATURE OF APPLICANT

FOR OFFICE USE ONLY

IPV Done ☐ **on** / /

AMC/Intermediary name **OR** code
Maverick Share Brokers Pvt. Ltd.
☐ (Originals Verified) Self Certified Document copies received
☐ (Attested) True copies of documents received
Main Intermediary

Staff Name **Sunita Agarwal**
Designation Sr. Executive
Name of the Organization **Maverick** Share Brokers Pvt. Ltd.
Signature
Date
Seal/Stamp of the intermediary should contain

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant."

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinationa 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).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

MAVERICK

ADDITIONAL KYC FORM FOR OPENING A DEMAT & TRADING ACCOUNT

FOR INDIVIDUALS

Depository Participant - ID : 12036600 SEBI Redg. No. : IN-DP-644-2021

Please fill all the details in **BLOCK LETTERS** in English | Application No. |

Date :	Account No.	1	2	0	3	6	6	0	0	0	0						

I/We request you to open a Demat Account in my / our name as per the following details : (To be filled by the Depository Participant)

Holders Details

Sole / First Holder's Name	PAN	
	UID	
Second Holder's Name	PAN	
	UID	
Third Holder's Name	PAN	
	UID	

Name *	

* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of natural persons, the name of the Firm, Association of Persons (AOP), Partnership Fir Unregistered Trust, etc., should be mentioned above.

Type of Account (Please tick whichever is applicable)

Status	**Sub-Status**			
❑ Individual	❑ Individual Resident ❑ Individual Director Relative	❑ Individual Promoter ❑ Individual Margin Trading A/c (MANTRA)	❑ Individual Director ❑ Individual HUF / AOP	❑ Minor ❑ Others (Specify)
❑ NRI	❑ NRI Repatriable ❑ NRI Non - Repatriable	❑ NRI Repatriable Promoter ❑ NRI Non - Repatriable Promoter	❑ NRI - Depository Receipts ❑ Others (Specify)	
❑ Foreign National	❑ Foreign National	❑ Foreign National-Depository Receipts	❑ Others (Specify)	

Details of Guardian (in case the account Holder is a Minor)

Guardian's Name		PAN	
Relationship with applicant			

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the deful option would be 'Yes')	(Automatic Credit) ❑ Yes ❑ No
I/ We would like to instruct the DP to accept all the pledge instructions in my/ our account without any other further instruction from my/ our end (If not marked, the default option would be 'No')	❑ Yes ❑ No
Account Statement Requirement (As per SEBI Regulation) ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly	
I / We request you to send Electronic Transaction-cum-Holding Statement at the Email ID____________	❑ Yes ❑ No
I/ We would like to share the Email ID with the RTA	❑ Yes ❑ No
I/ We would like to receive the Annual Report ☐ Physical / ☐ Electronic / ☐ Both Physical and Electronic (Tick the applicable box, If not market the default option would be in Physical)	
I/We wish to receive dividend / interest directly in to my bank account as given below through ECS. (as mentioned in KYC) (If not marked, the default option would be 'Yes') { ECS is mandatory for locations notified by SEBI from time to time}	❑ Yes ❑ No

SMS Alert Facility Refer to Terms & Conditions given as Annexure-A	MOBILE NO. +91_______________ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of thise facility, cancel this option)	❑ Yes ❑ No
Transactions Using Secured Texting Facility **(TRUST)**. Refer to Terms and Conditions **Annexure –B**	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same	❑ Yes ❑ No
	I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST	❑ Yes ❑ No

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

Easi To register for easi, pleas visit our website www.cdslindia.com.Easi allows a Bo toviewhis ISIN balance,transactions and value of the portfolio online.

NOMINATION OPTION (For DP & Trading both)

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

☐ **I/We do not wish to make a nomination**

Sign. here in case of cutting

NOMINATION DETAILS

	Nomination can be made upto three nominees in the account.	**Details of 1st Nominee**	**Details of 2nd Nominee**	**Details of 3rd Nominee**
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nominee — Equally ☐ [If not equally, please specify percentage]	%	%	%
		Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3	Relationship With the Applicant (If Any)			
4	Address of Nominee(s)			
	City/Place:			
	State & country — PIN Code			
5	Mobile/Telephone No. of Nominee(s) #			
6	Email ID of Nominee(s) #			
7	Nominee Identification details : # [Please tick any one of following and provide details of same] ☐ Photograph & Signature	Photograph of 1st nominee (Signature of Guardian across photograph) Signature	Photograph of 2nd nominee (Signature of Guardian across photograph) Signature	Photograph of 3rd nominee (Signature of Guardian across photograph) Signature
	☐ PAN			
	☐ Aadhaar			
	☐ Saving Bank Account No.			
	☐ Proof of Identity			
	☐ Demat Account ID			
	Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:			
8	Date of Birth {in case of minor nominee(s)}	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y
9	Name of Guardian (Mr.Mrs.) {in case of minor nominee(s)}			
10	Address of Guardian			
	PIN Code			
11	Mobile/Telephone No. of Guardian #			
12	Email ID of Guardian #			
13	Relationship of Guardian with Nominee			
14	Guardian Identification details : # [Please tick any one of following and provide details of same] ☐ Photograph & Signature	Photograph of 1st Guardian (Signature of Guardian across photograph) Signature	Photograph of 2nd Guardian (Signature of Guardian across photograph) Signature	Photograph of 3rd Guardian (Signature of Guardian across photograph) Signature

☐ PAN			
☐ Aadhaar			
☐ Saving Bank Account No.			
☐ Proof of Identity			
☐ Demat Account ID			

	Name(s) of holder(s)	Signature(s) of holder*
Sole / First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

***Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of Signature**
 # Optional Fields (information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

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)

Declaration Form for opting out of nomination

UCC/DP ID	I	N						
Client ID (only for Demat account)								
Sole/First Holder Name								
Second Holder Name								
Third Holder Name								

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

Name and Signature of Holder(s)*

1.________________________ 2.____________________________ 3________________________

*Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of Signature

DECLARATION

I/we acknowledge the receipt of copy of document, "Rights and Obligations of the Beneficial Owner and Depository Participant". The rules and regulations of the Depository and Depository Participants pertaining to an account are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting. I am/we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.

	Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signatures	☞	☞	☞

N

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

Please fill in ENGLISH and in BLOCK LETTERS with black ink

CVL MAVERICK

Application No. :

A. Identity Details (please see guidelines overleaf)

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

PHOTOGRAPH
Please affix the recent passport size photograph of Authorised Signatory and sign across it

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

Place of Incorporation

3. Registration No. (e.g. CIN)

Date of commencement of business d d / m m / y y y y

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

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

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village Postal Code
State Country

2. Contact Details

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

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf). (Please specify) ____________
***Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** d d / m m / y y y y

4. Registered Address (If different from above)

City / Town / Village Postal Code
State Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf). (Please specify)
***Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** d d / m m / y y y y

DECLARATION

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

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

⊗

⊗

Place: Date:

FOR OFFICE USE ONLY

AMC/Intermediary name **OR** code

☐ (Originals Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

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

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant."

N

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

F. Incase of Non-Individuals, additional documents tobe obtained from non-individuals, over & above the POI & POA, as mentioned below:

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

Please Submit the KYC Documents on A4 Size Paper Only.

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

Name of Applicant ______________________________ **PAN of the Applicant** ☐☐☐☐☐☐☐☐☐☐

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

(2)⊗
Name & Signature of the Authorised Signatory(ies)

Date d d / m m / y y y y

CVL

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

HUF DECLARATION FORM

I Mr. ____the Karta

of Hindu Undivided Family, here by declare that the following are the Co-Parceners of my family.

Sr. No.	Particulars	Name	Sex	Date of Birth	Relationship
1.	Karta				
2.	Co-Parcener2				
3.	Co-Parcener3				
4.	Co-Parcener4				
5.	Co-Parcener5				
6.	Co-Parcener6				
7.	Co-Parcener7				
8.	Co-Parcener8				
9.	Co-Parcener9				
10.	Co-Parcener10				
11.	Co-Parcener11				
12.	Co-Parcener12				

☞

Name & Signature of Karta

CENTRAL KYC REGISTRY Know Your Customer (KYC) Application Form Legal Entry / Other than Individual

Important Instructions:

A) Field marked with'*' are mandatory field.
B) Tick (✓) wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK Letters.
E) KYC number of application in mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instructions at the end.
I) For particular section update, Please (✓) in the box available before the section number and strike off section not required to be updated.

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

Application Type* ☐ New ☐ Update

KYC Number *(Mandatory for KYC update request)*

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

☐ Name

Entity Constitution Type* ☐ Other (Specify) (Please refer instruction B at the end)

Status (please tick (✓) the appropriate

☐ Private Limited Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust
☐ Charities ☐ NGO's ☐ FI ☐ FII ☐ HUF
☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organization ☐ Defense Establishment
☐ BOI ☐ Society ☐ LLP ☐ FPI-Category I ☐ FPI-Catergory II
☐ FPI-Category III ☐ Others (Please specify)

Date of Incorporation / Formation* D D – M M – Y Y Y Y Date of Commencement of Business D D – M M – Y Y Y Y

Place of Incorporation / Formation* Country of Incorporation / Formation* TIN or Equivalent Issuing Country

PAN ☐ Form 60 furnished Registration No. (e. g. CIN)

TIN / GST Registration no.

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

☐ Officially valid document(s) in receipt of person authorised to transact

☐ Certificate of Incorporation / Formation ☐ Registration Certificate No.

☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed

☐ Resolution of Board / Managing Committee ☐ Power of attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only) ☐ Activity proof - 2 (For Sole Proprietorship Only)

3. PROOF OF ADDRESS (Please refer instruction (at the end)

☐ 3. 1 Registered Office Address / Place of Business / Correspondence Address

Proof of Address* Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document

Line 1*

Line 2

Line 3 City / Town / Village

District* Pin/Post Code* State Country

☐ 3. 2 Local Address in the India (if different from Above)* / Permanent Address

Line 1*

Line 2

Line 3 City / Town / Village

District* Pin/Post Code* State Country

4. CONTACT DETAILS (All communication will be sent to Mobile Number/Email ID provided"may be used) (Please refer instruction D at the end)

Tel. (off) ______ – ______ Fax ______ – ______

Mobile ______ – ______ Email ID ______

Mobile ______ – ______ Email ID ______

5. NUMBER OF RELATED PERSONS (Please refer instruction E at the end)

Tel. (off) ______ – ______ Fax ______ – ______

Mobile ______ – ______ Email ID ______

Mobile ______ – ______ Email ID ______

6. REMARKS (if any)

7..APPLICANT DECLARATION (Please refer instruction G at the end)

- 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 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 here by consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D – M M – Y Y Y Y

Place :

Signature / Thumb Impression of Applicant

8. ATTESTATION / FOR OFFICE USE ONLY

Document Received ☐ Certified Copies ☐ Equivalent e-document ☐ In person Verification

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Identity Verification Done ☐ Date D D – M M – Y Y Y Y	Name
Emp. Name	Code
Emp. Code	{Institution Stamp}
Emp. Designation	
Emp. Branch	
{Employee Signature}	

ADDITIONAL KYC FORM FOR OPENING A DEMAT & TRADING ACCOUNT

FOR NON- INDIVIDUALS

MAVERICK

Depository Participant - ID : 12036600 **SEBI Redg. No. : IN-DP-644-2021**

Please fill all the details in **BLOCK LETTERS** in English | Application No.

Date :	Account No.	1	2	0	3	6	6	0	0	0	0						

I/We request you to open a Demat Account in my / our name as per following details : (To be filled by the Depository Participant)

Holder's Details

Sole / First Holder's Name		PAN	
Search Name		PAN	
Second Holder's Name		PAN	
		UID	
Third Holder Holder's Name		PAN	
		UID	

Name *

* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be made applicable.

Type of Account (Please tick whichever is applicable)

Status	**Sub-Status**
❑ Body Corporate ❑ Bankers ❑ Trust ❑ FI ❑ FII ❑ CM ❑ Clearing House ❑ Mutual Fund ❑ OCB ❑ Others (Specify)	To be filled by the DP

SEBI Registration No. (If Applicable)		SEBI Registration Date	D	D	M	M	Y	Y	Y	Y
RBI Registration No. (If Applicable)		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
ROC Registration No. (If Applicable)		ROC Registration Date	D	D	M	M	Y	Y	Y	Y

Nationality ❑ Indian ❑ Others (Specify)

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the deful t option would be 'Yes')	(Automatic Credit) ❑ Yes ❑ No
I/ We would like to instruct the DP to accept all the pledge instructions in my/ our account without any other further instruction from my/ our end (If not marked, the default option would be 'No')	❑ Yes ❑ No
Account Statement Requirement (As per SEBI Regulation) ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly	
I / We request you to send Electronic Transaction-cum-Holding Statement at the Email ID________	❑ Yes ❑ No
I/ We would like to share the Email ID with the RTA	❑ Yes ❑ No
I/ We would like to receive the Annual Report ☐ Physical / ☐ Electronic / ☐ Both Physical and Electronic (Tick the applicable box, If not market the default option would be in Physical)	
I/We wish to receive dividend / interest directly in to my bank account as given below through ECS. (as mentioned in KYC) (If not marked, the default option would be 'Yes') { ECS is mandatory for locations notified by SEBI from time to time}	❑ Yes ❑ No

SMS Alert Facility Refer to Terms & Conditions given as Annexure-A	MOBILE NO. +91_______________ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of thise facility, cancel this option)	❑ Yes ❑ No
Transactions Using Secured Texting Facility **(TRUST)**. Refer to Terms and Conditions **Annexure –B**	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same	❑ Yes ❑ No
	I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST	❑ Yes ❑ No

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

Easi To register for easi, pleas visit our website www.cdslindia.com.Easi allows a Bo toviewhis ISIN balance,transactions and value of the portfolio online.

MAVERICK

TRADING & DEMAT ACCOUNT RELATED DETAILS
For both Individuals & Non-individuals

A. BANK ACCOUNT(S) DETAILS

Bank Name	Bank Address	Bank Account No.	Account Type	MICR No.	IFSC Code
			❑ Saving ❑ Current ❑ NRI ❑ NRO		
			❑ Saving ❑ Current ❑ NRI ❑ NRO		

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
Maverick Share Brokers Pvt. Ltd.	CDSL		1 2 0 3 6 6 0 0	

I authorize you to transfer the shares purchased by me to the above mentioned demat beneficiary account.

C. TRADING PREFERENCE

Please Sign the relevent boxes where you wish to Trade, Please Strike off the Segment not chosen by you.

Signature	Signature	Sigment	Signature
All Segments	☞		
Exchange -BSE & NSE			
Cash	☞	F&O	☞
Currency Derivatives	☞		
Exchange - MCX, BSE	Commodity	☞	

Opt out consent : I/We hereby confirm that I/We do not wish to opt for below mentioned exchange / segment.

Cash:	☐ NSE	☐ BSE	☞
F&O:	☐ NSE	☐ BSE	☞
Currency Derivatives:	☐ NSE	☐ BSE	☞
Commodity:	☐ MCX	☐ BSE	☞

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.

Categorization of Participants in Commodity Derivatives

Date :

Dear Client

As per MCX Circular No. MCX/TECH/422/2019 Dated August 08, 2019 regarding categorization of Participants in commodity Derivatives, you are requested to tick the appropriate category under which you are doing trade.

(I) Farmers/FPOS	☐	(ii) Value chain Participants (VCPs)	☐
(iii) Proprietary traders	☐	(iv) Domestic Financial Institutional Investor	☐
(v) Foreign Participants	☐	(vi) Others	☐

Signature of Client ☞

Client Name : ______________________ Client Code: ____________________

D. PAST ACTIONS

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

____

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

E1. DEALINGS THROUGH SUB-BROKERS

\+ If client is dealing through the sub-broker, provide the following details:

Sub-broker's Name: ______________________ SEBI Registration number:______________

Registered office address :____

____

Ph : ________________Fax: ____________Website:____________________

E2. DEALINGS THROUGH OTHER STOCK BROKERS / SUB BROKERS

\+ whether dealing with any other stock broker / sub broker (if case dealing with multiple stock broker/ sub broker, 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 : ______________

F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note ☐ Electronic Contract Note (ECN) ☐ (Please Specify)

Specify your Email id, If applicable | O | N | L | Y | | I | N | | C | A | P | I | T | A | L | | L | E | T | T | E | R | S | | |

- Whether you wish to avail of the facility of internet trading/ wireless technology (Please Specify) ☐ Yes ☐ No
- Number of Years of Investment / Trading Experience : ______________________
- I/We hereby declare that the aforesaid E-mail ID belongs to Self ☐ Spouse ☐ Dependent Child ☐ Dependent Parent ☐ Others ☐ ______________Please Specify
- Any other information :______________________________Please Specify

G. OTHER DETAILS

- **Gross Annual Income Details** : Income Range per annum : ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac (please tick ✓) ☐ Rs. 5 Lac to 10 Lac ☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ >1 Crore
- **Net Worth** (Net worth should not be older than 1 year) **Rs.**............................ **as on (date)** D D M M Y Y Y Y
- **Occupation** : (please tick any one and give brief details) ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others______________Please Specify
- **Is the entity involved/providing any of the following services** ☐ Yes ☐ No
  - For Foreign Exchange/Money Changer Services ☐ Yes ☐ No - Gaming/Gambling/Lottery Services (e.g. casinos, betting syndicates)
  - Money Lending / Pawning ☐ Yes ☐ No
- **Please tick, if applicable** (Note : In case of Non-individuals please tick, if applicable for any of your authorised signatories/ Promoters/Partners/Karta/Trustees/whole time directors) :
  ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)
- **Mode of Operation :** ☐ Jointly Holder ☐ Any one or Survivors
- **Communication Reference Flag :** ☐ First Holder Only ☐ All Holders
- **GST Registration Detail :**

State	State Code	GST Registration No.

Any other information : ....

DECLARATION

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

Place:

Date: D D M M Y Y Y Y

Sign here : ☞ Signature of Client/(all) Authorized Signatory(ies)

FOR OFFICE USE ONLY

TO BE FILLED BY INTERMEDIARY / EMPLOYEE

UCC Code allotted to the Client:

	Documents Verified with Originals	Client Interviewed By	In-Person Verification Done By
Name of the Employee/AP			
Employee Code/AP Code			
Designation of the Employee			
Date			
Signature			

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

Date: D D M M Y Y Y Y

For Maverick Share Brokers Pvt. Ltd.

Authorised Signatory / Director

INSTRUCTIONS / CHECK LIST

1. Additional documents in case of trading in derivatives segment - 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 consitituent, 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 broker's local office, overseas can do in-person'verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident client 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 authorised signatories.
   b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorised to deal in securities on behalf of company/firm/others and their specimen signatures.

Maverick Share Brokers Private Limited

Tarrif Sheet for Trading & Demat Account

Trading Account

BROKERAGE to be charged

	FIRST SIDE %	SECOND SIDE %	MIN PER SHARE
TRADING & INTRADAY CASH			
DELIVERY			
FUTURE			
OPTION			
CURRENCY FUTURE			
CURRENCY OPTION			
COMMODITY FUTURE			
COMMODITY OPTION			

Note : Minimum Rs. 15/- per contract will be charged if brokerage amount is below Rs.15/- per contract. All goverment & exchange levy like GST, turnover tax, Stamp charges, STT & SEBI charges will be charged as per actual basis.

Demat Account

Name of Service	CHARGE SCHEDULE FOR INDIVIDUAL AND CORPORATE ACCOUNTS		
	SCHEME - A ☐	LIFE TIME ☐	BSDA ☐
Annual Maintenance Charges	Rs. 275/- For 12 months	Rs. 999/- (One Time)	NIL*
Delivery (Market) (With POA)	Rs. 15/-	Rs. 20/-	Rs. 35/-
Delivery (Market) (Without POA)	Rs. 16/-	Rs. 20/-	Rs. 35/-
Delivery (Off- Market)	Rs. 25/-	Rs. 30/-	Rs. 35/-
Custody Charges/Receipt (Market & Off Market)	NIL	NIL	NIL
Account Modification per Request	Rs. 25/-	Rs. 25/-	Rs. 25/-
Delivery Instruction Book	Rs. 50/- (10 leaves)	Rs. 50/- (10 leaves)	Rs. 50/- (10 leaves)
Additional Statement Charges-By E-mail	NIL		
Additional Statement Charges-Physical	Rs. 5/- Page		
Dematerialisation	Rs. 50 Plus Rs. 3.00 per certificate subject to Max. of Rs. 250/-		
Rematerialisation	Rs. 25/- per certificate on & above CDSL Charges		
Pledge Creation/Closure/Invocations	Rs. 50/- per ISIN		
Margin Pledge /Un-Pledge	Rs. 12/- per ISIN		
Courier Charges	Rs. 20/- (No Charges for Electronic Statement)		

(1) Delivery Instruction Book at the time of account opening will be given free of cost.
(2) Maverick Share Brokers Pvt. Ltd. reserves the right to revise the charge schedule by giving 30 days notice in writing.
(3) In case of corporate account only Scheme-A is available and an additional AMC of Rs. 500/- payable to CDSL will be collected.
(4) *BSDA applicable only for eligible individuals. No AMC will be charged on holding valuation upto Rs. 50,000/-. An AMC of Rs.100/- will be charged for valuation between Rs. 50,001 to Rs. 2 lakhs. Whenever account crossed above Rs. 2 lakhs valuation, will be converted to normal account and AMC of Rs. 275/- will be levied.
(5) In case of non payment of bill dues within 15 days of due date interest shall be charged @ Rs. 1 % per month on the outstanding dues or Rs. 25/- minimum whichever is higher.
(6) In case of Demat rejection postage shall be charged Rs. 30/- for dispatch to the client for removal of objection.
(7) Taxes and other government levies extra as applicable from time to time. BSDA applicable only for eligible individuals.

	Sole / First Holder :	Second joint Holder :	Third joint Holder :
Name			
Sign ☞			

a) Policy for Penny Stock

A stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. Depending on the market condition and RMS policy of the company, RMS reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only.

b) Setting up client's exposure limits

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security as per VAR based margining system of the stock exchange and/or margin defined by RMS based on their risk perception. Client may take benefit of “credit for sale” i.e. benefit of share held as margin by selling the same by selecting Delivery option through order entry window on the trading platform, the value of share sold will be added with the value of deposit and on the basis of that client may take fresh exposure.

In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

c) Applicable brokerage rate :- Brokerage will be charged within the limits prescribed by SEBI/Exchanges.

d) Imposition of penalty / delayed payment charges

Clients will be liable to pay late pay in/delayed payment charges for not making payment of their payin/margin obligation on time as per the exchange requirement/schedule at the rate of 2% per month. Similarly the stock broker will also be liable to pay delayed payment charges to the client for not making payment of their obligation on time, as per the exchange requirement/schedule at the rate of 2% p.m., except in the cases covered by the "Running Account Authorisation" given by the client to the stock broker.

The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to these agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

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

Without prejudice to the stock brokers other right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations.

The client shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/ closing out shall be charged to & born by the client. In case of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus, Stock split, Right issue etc will be given when the shares is actually received in the stock broker designated demat account.

In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit / credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin / security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin / security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

f) Shortages in obligations arising out of internal netting of trades

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

a) The Short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Payin/Payout Day. The securities delivered short are purchased from market on T+2 day and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.

b) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+2 day or Auction day on Exchange +10% where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.

c) In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

g) Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client

We have margin based RMS system. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability/shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/ non making of payment for their payin obligation/outstanding debts.

h) Temporarily suspending or closing a client's account at the client's request

On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place.

On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

i) **Deregistering a client :-** Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

(i) If the action of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.

(ii) If there is any commencement of a legal process against the client under any law in force;

(iii) On the death/lunacy or other disability of the Client;

(iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;

(v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;

(vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;

(vii) If the Client is in breach of any term, condition or covenant of this Agreement;

(viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;

(ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;

(x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;

(xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;

(xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

Inactive Client account:- Client account will be considered as inactive if the client does not trade for period of one year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares/ credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account.

Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I/we understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in our back office/ front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. I/We shall be fully liable and responsible for any such problem/fault.

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforce ability and applicability of any provision/clauses of this document in any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or methods. I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator / mediator etc.

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

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

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

Beneficial Owner information

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

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

Fees/Charges/Tariff

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

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

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

Dematerialization

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

Separate Accounts

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

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

Transfer of Securities

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

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

13. The Stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

Statement of account

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

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

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

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

Manner of Closure of Demat account

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

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

Default in payment of charges

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

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

Liability of the Depository

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

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

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

Freezing/ Defreezing of accounts

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

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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

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

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

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

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

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

Signature ☞

ANNEXURE - A

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:

1. 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 accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in 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.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is 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.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ 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.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS 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:

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.

Amendments:

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

Governing Law and Jurisdiction:

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

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/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.

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

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

BOID	1	2	0	3	6	6	0	0									

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name :____________ Second Holder's Name____________ Third Holder's Name____________

Mobile Number on which message are to be sent	+91										

The mobile number is registered in the name of :________________________

Email ID :________________________

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

Signatures

Sole/First Holder Signature | Second Holder Signature | Third Holder Signature

Place :____________ Date : ____/____/20____

ANNEXURE - B

TERMS AND CONDITIONS FOR AVAILING TRANSACTION USING SECURED TEXTING (TRUST) SERVICE OFFERED BY CDSL

1. Definitions:
   In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:
   I. "Depository" means Central Depository Services (India) Limited (CDSL)
   ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
   iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
   iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
   v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .
10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:
    In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer:
    Depository shall be absolved of any liability in case :-
    a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
    b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
    c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL.

a. SMART - SMS alert facility
b. TRUST - Transaction using Secured Texting facility.

(please note that SMS alert facility is mandatory if TRUST facility is opted for)

BOID	1	2	0	3	6	6	0	0									

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name :______________________ Second Holder's Name__________________ Third Holder's Name__________________

Mobile Number on which message are to be sent	+91										

(Please write only the mobile number without prefixing country code or zero)

(Existing users registered for SMS alerts : Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)

The mobile number is registered in the name of :____

Email ID :____

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

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 purpose of availing the said facility.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies 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.

Signatures

☞ ______________________ Sole/First Holder Signature

☞ ______________________ Second Holder Signature

☞ ______________________ Third Holder Signature

Place : ________________

Date : _____/_____/20_____

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

Signature of Client ☞

Client Name: ______________________________

Client Code: ______________________________

NON-MANDATORY

RUNNING ACCOUNT AUTHORISATION

Maverick Share Brokers Private Limited
211, Laxmi Complex, M. I. Road, Jaipur-302001

Date................................

A. RUNNING ACCOUNT AUTHORISATION

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Commodity segment and/or Interest Rate future Segment and/or Mutual Fund Segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. I/We request you to settle my fund once in ☐ 30 days or once in ☐ 90 days or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt. If, I/We have credit balance in my account and I/We have not done any transaction in the 30 calendar days since the last transaction, the credit balance shall be returned to me /us within next 3 working days.
3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds/Mutual Fund Units towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
4. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 30 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.

   The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.

Signature of Client ☞

Client Name: ______________________

Client Code: ______________________

B. VERBAL ORDER ACCEPTANCE AUTHORISATION

I/we am dealing with you as client at NSE/BSE/MSEI in Capital, Derivative & Currency Derivative Segment. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/ dealing on my/our behalf as per instruction given below.

I/We agree and acknowledge that it is advised by you that I/We should give instruction for order placement/ modification and cancellation in writing and to avoid disputes, I/We must give instruction in exactly the format in duplicate (carbon copy/ photocopy only) and take signatures of at least two authorized officers at the branch along with company stamp on the carbon copy/ photocopy of the instructions in acknowledgment of receipt of my our instructions.

However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid the it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my/our authorized representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line/mobile phone) and execute the same. I/ We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) by shifting the burden of proof by asking you to prove the placement/modification and cancellation of orders through telephone recording or otherwise.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

Signature of Client ☞

Client Name: ______________________

C. GENERAL AUTHORITY

Sub: Letter of Authority

I/we dealing with you as client at NSE/BSE/MCX in Capital, Derivative, Currency & Commodity Derivative Segment and in order to facilitate ease of operations, I/We authorise you as under :

1. I/We authorise you to set off outstanding in any of my/our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchange and/or against the value of cash margin or collateral shares provided to you by me / us.
2. I/We hereby authorise you not to provide me/us Order Confirmation/ Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
3. I/We hereby authorise you to keep all securities which I/We have given you in margin including the payout securities received by us for meeting margin / order obligation in any of the stock exchanges / clearing house / clearing corporation in whatever manner which may include pledging of shares in favor of bank and / or taking loan against the same or meeting margin /pay-in obligation on my/our behalf or for giving the same as margin to any of the stock exchanges/ clearing house / clearing corporation or otherwise. Further, I/We shall when called upon to do so forthwith from time to time provide a Margin Deposit and/or furnish additional Margin as required under the Rules and Regulations in respect of the business done by me and/or as agreed upon by me with the Trading Member.
4. I/We request you to retain credit balance in any of my/our account and to use the unused funds towards my/our margin/future obligation at any or all the Exchanges unless I/We instruct you otherwise. I / We also authorize you to debit the necessary demat charges from time to time, for keeping the shares in your client demat beneficiary account on my behalf. I/We also authorise you to debit the financial charges @2% p.m., for the debit balances or delay payment charges at the rate prescribed by exchange for shortage in margin/debit balances, if any, in my account and not settled as per the exchange requirements.
5. I/We request you to retain Securities in your demat account for my / our margin/future obligations at all Exchanges, unless I/We instruct you to transfer the same to my/our account.
6. I/We request you to consider my / our telephonic instructions for order placing / order modification/order cancellation as a written instruction and give me / us all the confirmation on telephonic unless instructed otherwise in writing. I / We am/ are getting required details from contracts issued by you.
7. We request that you/exchange/other regulatory authority may send/dispatch us contract notes/e-mail alert/other documents through e-mail on my/our designated e-mail address mentioned by me/us in KYC. I/We will completely rely on the log reports of you dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute on the same. I/We note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at my/our e-mail ID.
8. I/We will inform you the change of my/our demographic detail and other detail like Bank, DP etc.
9. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vsat, lease line, ISDN. Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, pay in payout of funds & securities, online & offline banking etc. these are susceptible to interruptions, delay, mistake and dislocations; and your services may at any time be unavailable without further notice and I/we understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading half, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control any may result in delay in processing or not processing of any orders either in part or in full. I understand that you are not making any representation or warranty that your service will be available to the Client at all times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, non availability or malfunctioning of your System or Service for any reason whatsoever.
10. I/We confirm that I/We never sublet the trading terminal on any term of connectivity from my place to any other place without your prior approval.
11. I/We am/are agreeable for inter-settlement transfer of securities towards settlement.
12. I/we am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
13. All fines/penalties and charges levied upon you due to my acts / deeds or transaction may be recovered by you from my account.
14. I have a Trading As well as depository relationship with MAVERICK SHARE BROKERS PVT. LTD. Please debit the charges relevant with depository services to my trading account. I also agree to maintain the adequate balance in my trading account/ pay adequate advance fee for the said reason.
15. For the purpose of providing quality and transparent services to its clients, the Company may record your conversation while interacting with you."

Yours faithfully,

Sign here : ☞

Client Name : ______________________________

Client Code : ______________________________

AUTHORISATION FOR ELECTRONIC CONTRACT NOTE / STATEMENTS

VOLUNTARY

Maverick Share Brokers Private Limited
211, Laxmi Complex, M. I. Road, Jaipur-302001

Date................................

Dear Sir,

Subject: Issuance of Electronic Contract Notes/Statements in Electronic Form (Trading/Demat A/c)

With reference to my/our dealing with you as a client for trading in the Capital Market and/or Futures & Options and/or Currency Derivatives/Commodity Derivatives Segments at BSE/NSE/MCX Stock Exchanges, I/We hereby give my/our consent to receive electronic contract notes (ECN), financial statements, margin statements or any other reports/notices in electronic mode from Maverick Share Brokers Pvt. Ltd. (MSBPL) on my/our below mentioned e mail id.

I/We further give my/our consent to receive bills, ledgers, transaction statements, monthly/quarterly demat statement of accounts/holding statement(s)/bills, or any other reports/notices in electronic mode on my/our below mentioned e mail id for the Depository services I/we am /are availing through Maverick Share Brokers Pvt. Ltd.- DP. I/we confirm that the e mail address has been generated by me/us.

1...

2...

I/We further hereby agree that the MSBPL shall fulfill the legal obligation by sending the mentioned documents electronically to my/our e-mail id. I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email id(s).

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of documents to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non receipt/ delayed receipt for any reason whatsoever.

I/We also undertake to check the ECN/Statement and other documents and bring the discrepancies to your notice within the time period as specified by the regulatory authorities. My/Our non-verification or not accessing the ECN/Statement and other documents on regular basis shall not be a reason for disputing the same at any time.

I/We understand and agree that I/we shall intimate any change in the email id mentioned herein through a physical letter to you. Whenever I/We want to discontinue the said facilities, I/We shall inform to MSBPL immediately in writing.

I/We further agree that MSBPL will not be held responsible for non receipt of documents sent via electronic delivery due to change in/incorrect e-mail address as mentioned or any other reason which inter alia include technical reasons or malfunction of my/our computer system/server/internet connection etc. Further I/We agree and undertake to indemnify MSBPL, that they will not be held liable/ responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of information or pursuant to any litigation cases, complaints, actions, etc that may arise in future on account of my/ our above authorization request.

My Trading code is ______________________________

My/Our BO ID _________________________________

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	☞	☞	☛

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 below:

A. Eligibility for acquiring or holding shares.

(1) 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.

(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 recognised 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.

B. Fit and proper criteria.

(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 am/are fit & Proper person as per the above rules & Regulations of the SEBI.

Signature here : ☞

LETTER OF AUTHORITY TO TRADE

To,

Maverick Share Brokers Private Limited
211, Laxmi Complex, M. I. Road, Jaipur-302001

Sub: Authority to trade on my / our behalf.

Dear Sir/Madam,

I hereby authorise Mr/Ms.____________________________________S/o / D/o of _________________ having PAN __________________, UID No ____________________ & Mobile No _____________ is my husband/wife/son/daughter/brother/sister/parents/other (Please Specify) __________________ to trade on my behalf in my trading a/c No ______________ and to perform all or any of the following acts, deeds and things for and on my /our behalf and in my/our interest.

I/we confirm that the aforementioned Authorised Person is well aware of risks associated with trading.

1. To operate the Account on my/our behalf.2. To issue necessary instructions to you, for purchase, sale or transfer of shares and Securities from or to the Account as per Representative own judgment, and to sign necessary documents, wherever required effectuating such instructions of purchase, sale or transfer of securities from or to the Account.
3. To make or cause to make payments to Maverick Share Brokers Pvt. Ltd.(MSBPL). whenever necessary, and in accordance with my/our obligations in accordance with the terms and conditions of various agreements executed between me/us and MSBPL.
4. To duly honour all my/our contractual obligations under various agreements executed between me/us and MSBPL. including but not limited to the "Member Constituent Agreement" and/or any other undertaking, commitment issued by my/us in favour of MSBPL.
5. To accept and give valid discharges for acceptance and submission of contract notes, bills, ledger statements, transaction statements and all correspondence on my behalf and report any discrepancy therein to MSBPL.
6. To receive & accept necessary telephonic calls pertaining to margin &/or trade confirmation or any other call including verification call from MSBPL. at designated mobile no. & undertake to update this contact detail in writing with MSBPL. in the event of any such change, taking place at any time in future.
7. To sincerely abide by the Statutes, Rules, Regulations and Guidelines prescribed for the purpose and in relation to the operation of the Account.

   A. I/we hereby agree and undertake that all such acts, deeds and things done by the Representative shall be deemed to be binding upon me/us as the same has been done by me/us only and I/we shall hereby ratify all and such acts, deeds, or things done by Representative in any manner whatsoever in discharge of the duties conferred upon him/her under the present instrument.

   B. I/we hereby agree and undertake to indemnify and keep MSBPL. including its directors, officers and employees indemnified against any loss, claims, liabilities, obligations, damages, deficiencies, actions, suits, or proceedings aroused / accrued or caused to the MSBPL. for any wrong act, deed or thing done by the Representative in any manner whatsoever in exercise of the powers conferred upon him.

   C. I/we further undertake and agree not to challenge any act, deed or things done by said Representative in any manner.

   D. I/we hereby agree and acknowledge that this letter of Authority shall be effective and operational until MSBPL. received and acknowledged revocation letter at its registered office.

Client Name : __________________________ Aurhorised Person Signature _____________________

Client Code : __________________________

Date : _____________

Signature here : ☞

CLIENT DEFAULTER DECLARATION

Dated : ________________

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

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

(Signature of Client)

Name:

Client Code:

Date:

Signature: ☞

Client Name:

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

I/We hereby declare that the below mentioned mobile number or E-mail ID belongs to me or my family *(spouse, dependent children and dependent parents)*

Mobile/Email ID Registered in the Name (Please tick (N) whichever applicable)		**Self**	**Spouse**	**Dependent Child**	**Dependent Parent**	**Others only Non Ind.**
Mobile	☐ 1st Holder	☐	☐	☐	☐	☐
	☐ 2nd Holder	☐	☐	☐	☐	☐
	☐ 3rd Holder	☐	☐	☐	☐	☐
Email ID	☐ 1st Holder	☐	☐	☐	☐	☐
	☐ 2nd Holder	☐	☐	☐	☐	☐
	☐ 3rd Holder	☐	☐	☐	☐	☐

Trading Code :.................................. Demat A/c No. :..

	1st Account Holder :	2nd Account Holder :	3rd Account Holder :
Name			
Sign ☞			

MAVERICK
THE BOND OF SECURITY

FATCA & CRS Declaration - Individual

PAN | | | | | | | | | | Trading | | | | | | | | | DP Code | | | | | | | | |

Name

Place of Birth Country of Birth

Nationality

Annual Income ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac
☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ >1 Crore

Net Worth **Amount Rs**.. Net Worth as on D D M M Y Y Y Y
(Net worth should not be older than 1 year)

Occupational Detail ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service ☐ Public Sector
☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others Pl. Specify ____________

Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐

Are you a tax resident of any country other than India ☐ Yes ☐ No

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

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

DECLARATION

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

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

Sign here : (1)

Date : D D M M Y Y Y Y Place :

• For Detail Terms & Conditions please visit www.maverickgroup.in

MAVERICK

FATCA & CRS Declaration - Non Individual

PAN | | | | | | | | | | Trading | | | | | | | | DP Code | | | | | | | |

Name

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India ☐ Yes ☐ No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

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

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

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

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

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

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

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

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

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

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). *(Please attach additional sheets if necessary)*
Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address	Zip ___ State: ___ Country: ___	Zip ___ State: ___ Country: ___	Zip ___ State: ___ Country: ___
Address Type	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office
Tax ID %			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	☐ Service ☐ Business ☐ Others ___	☐ Service ☐ Business ☐ Others ___	☐ Service ☐ Business ☐ Others ___
Nationality			
Father's Name			
Gender	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) $			

* To include US, where controlling person is a US citizen or green card holder

\# If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust /Protector of Trust to be specified wherever applicable.

% In case Tax Identification Number is not available, kindly provide functional equivalent

$ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Maverick Share Brokers Pvt. Ltd. (MSBPL) for any modification to this information promptly. I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name	
Designation	

Sign here : (1) ☞ ________

Date : D D M M Y Y Y Y

Place : ________

• For Detail Terms & Conditions please visit www.maverickgroup.in

SIMPLE DO's and DON'Ts (For Demat Account)

Verify your transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform your DP or CDSL.

- Intimate any change of address or change in bank account details to your DP immediately.
- While accepting the Delivery Instruction Slip (DIS) book from your DP, ensure that your BO ID is prestampeon all the pages along with the serial numbers.
- Keep your DIS book safely and do not sign or issue blank or incomplete DIS slips.
- Strike out the empty space, if any, in the DIS, before submitting to DP.
- For market transactions, submit the DIS ahead of the deadline time. DIS can be issued with a future execution date.
- The demat account has a nomination facility and it is advisable to appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
- To open and operate your demat account, copy of PAN card of all account holders is to be submitted to the DP along with original PAN card, for verification.
- Register for CDSL's SMART (**SM**S **A**lerts **R**elated to **T**ransactions) facility. If any unauthorized debit is noticed, the BO should immediately inform CDSL and the Main DP, in writing. An email may be sent to CDSL at complaints@cdslindia.com
- Register for CDSL's Internet based facility "easi" to monitor your demat account yourself. Contact your DP or visit CDSL's website: www.cdslindia.comfor details.
- In order to receive all the credits coming to your demat account automatically, you can give a onetime, standing instruction to your DP.
- Before granting Power of Attorney to anyone, to operate your demat account, carefully examine the scope and implications of powers being granted.

EXCHANGE-WISE INVESTOR GRIEVANCE CELL

Exchange	Web Address	Contact No.	Email - Id
NSE	www.nseindia.com	022-26598100	ignse@nse.co.in
BSE	www.bseindia.com	022-22721233	is@bseindia.com / iscdelhi@bseindia.com
MCX	www.mcxindia.com	022-67318888, 66494151	grievance@mcxindia.com

Depository	Web Address	Contact No.	Email - Id
CDSL	www.cdslindia.com	022-22723333	complaints@cdslindia.com

OUR SERVICES

- Equities
- Derivatives
- Commodities
- Currency Derivatives
- Mutual Fund
- IPOs
- Online Trading
- DP Services
- Research

(For Office use only)

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THE BOND OF SECURITY

MAVERICK

Maverick Share Brokers Private Limited

Member of NSE, BSE, MCX, DP-CDSL

CIN No. U67120RJ2000PTC16606
Regd. Off. : 211, Laxmi Complex, M. I. Road, Jaipur-302001
Tel. : +91 141 4919109, 2362040-44 Fax : +91 141 2360627
DP Work Off. : 205, Laxmi Complex, M. I. Road, Jaipur-302001
Tel. : +91 141 4919115-4919116, 4919117
E-mail : dp@maverickgroup.in Website : www.maverickgroup.in
Investor Grievance mail ID-complaint@maverickgroup.in

Coxton Art Centre, Jaipur # 9828010461

Bank Attestation of Account Details & Account-holder's signature

MAVERICK

{To be issued on the Bank's Letter Head
OR
This form it self with Bank Official's name and Employee code mentioned & Bank seal affixed in the space below}

Date: D D/M M /Y Y Y Y

TO WHOMSOEVERIT MAY CONCERN

This is to certify that Mr. / Ms. ____________________

is a customer of our bank, namely, ____________________,
Name of the bank

____________________branch

having the following Bank Account:

Account number	
A/C type ☐Savings ☐Current ☐ NRO ☐ NRE ☐NRNR ☐Others(Pl. specify)	
9-Digit MICR No.	11-Digit IFSC

His/her address, as per our Bank records, is as follows:

City	PIN	State

Signature Verification by Bankers

Signature of the above customer in the box alongside, verified & validated with his/her specimen signature as per Bank's records	Signature of the client
	Seal Bank's with official bank of the Signature
Name* of the attesting Bank Official	
Designation*	
Employee Code*	
Telephone Number*	

* Mandatory