Proficient

GROWTH WITH VISION

CLIENT REGISTRATION KIT

NSE | BSE | CDSL

DATE OF ACCOUNT OPENING

NAME

CLIENT CODE

CLIENT ID

Instructions / checklist for filling KYC form

A. Important points

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

B. Proof of Identity (POI)

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

C. Proof of Address (POA)

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

To be continued...

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

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

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

G. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/ and IFSC Code of the bank should be submitted.

H. Demat master or recent holding statement issued by DP bearing name of the client.

For Individuals:

a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.

b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person verification. Further, considering the infeasibility of carrying out

'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker,

Indian Embassy / Consulate General in the country where the client resides may be permitted.

For non-individuals:

a. Form need to be initialized by all the authorized signatories.

b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/others & their specimen signatures.

Message from Team Proficient

Dear Customer,

We are happy that you have chosen us as your investment partner.

We at Proficient aim at enhancing experience and simplifying processes for our customers. This Account Opening Form is another step towards the very aim - making the process of entering a new financial relationship easier.

We take pleasure and pride in introducing this Account Opening form as one of the shortest and simplest in the industry.

Now, opening a trading account with us takes a few minutes only, leaving you more time to interact with our representative and clarify any doubts or queries that you may have.

We also request you to go through the Terms and Conditions booklet which will be appended with your KYC. This booklet covers the details of your relationship with us and helps you become an informed investor.

With this, we also urge you to write to us on - care@proficientgroup.in for trading and on communication@proficientgroup.in for demat account issues, queries or feedback. We will be glad to hear from you.

Your trusted advisor always.

Warm Regards,

Team Proficient

Proficient Equities Pvt. Ltd.

Broking and Depository services offered by PEPL
SEBI Registration No.: **INZ000218531 (Trading Member of NSE, BSE)**

Depository participant with CDSL having **SEBI Registration No. : IN-DP-157-2015**

Registered-Office/Correspondence Address:

23, RN Mukherjee Road, BNCCI Building, 4th Floor, Kolkata, West Bengal-700001

Website **www.proficientequities.com** // **Customer Care-** 033-40266300

Name of the Compliance Officer: Mr. Om Prakash Dalmia. Tel.033-40266326/40266327 Email ID - **info@proficientgroup.in**

For any grievance please contact us at Investor Grievance No: 033-40266326/40266327/40266328
Trading related queries and Demat related queries to **communication@proficientgroup.in**

For any grievance/dispute please contact Proficient Equities Private Limited at the above address or mail at:- *grievance@proficient*group.in (for Trading & DP) or call us at our Phone No. at +91-33-40266300

In case you are not satisfied with the response, please contact the concerned Exchange(s)/Depository(ies):

Exchange / Depository Contacts	**National Stock Exchange of India Limited,** Phone : 022-26598190 • Email : ignse@nse.co.in
	Bombay Stock Exchange Limited, Phone : 022-22728097 • Email : is@bseindia.com
	Central Depository Services India Limited, Toll Free no. : 1800-200-5533 • Email : complaints@cdslindia.com

FOR OFFICE USE ONLY		
	Client Name / Sole Holder	
	Second Holder (for DP Account)	
	Third Holder (for DP Account)	
	Client Trading Code / UCC	
	Client DP Code	1 2 0 8 2 1 0 0
	Branch Name & Code	Branch: Kolkata / CODE: 01BN
	Introducer Name & Code	
	Team Leader Name & Code	
	Dealer Name & Code	
	Family Name & Code	
	Sub Group Name & Code	

DISCLOSURE INFORMATION OF PROPRIETARY TRADING

To increase transparency in the dealings between us as a Trading Member and you as a Client we do hereby disclose that apart from Client based trading, we also do Proprietary Based Trading self-account in ALL SEGMENTS of ALL EXCHANGES in which we are members. You are requested to please take a note of the same.

Proficient Equities Pvt Ltd

23, RN Mukherjee Rd,
BNCCI Building, 4th Floor
Kolkata- 700001

INDEX

For Proficient Equities Pvt. Ltd. - Trading & Demat Account

Mandatory Documents as prescribed by SEBI, Depositories and Exchanges

SL NO.	NAME OF DOCUMENT	BRIEF SIGNIFICANCE OF THE DOCUMENT	PAGE NO.
1)	KYC Information	CKYC Form - Information about the Constituent relevant to Trading	7-13
2)	Tariff Sheet	Tariff Sheet - Brokerage Plan - Equity	14
3)	DP Account Opening Form- Basic Information about the Constituent	a) UCC Details	15-16
		b) Application for Nominee	17-18
4)	Declaration from Client	Declaration for opening Trading & Demat Account Along With Acceptance of KYC Document Booklet	19-20
5)	Tariff Sheet - DP	—	21-23
6)	Voluntary Authorisation Letter	—	24-26
7)	IBT	Internet based Contact facility provided by Stock Broker to the Client	27
8)	SMS & Email Requests	SMS & Email Alert Request for SMS and Email Alert from Stock Exchanges/ Stock Brokers	28
10)	FATCA Declaration	FATCA Annexure for Individual Account	29
11)	DDPI Instructructions	—	30-32
12)	Acknowledgement Copy	Acknowledgement for the receipt of document	33

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

Important Instructions:

1) Fields marked with '*' are mandatory fields.
2) Tick (3) wherever applicable.
3) Self-Certification of documents is mandatory.
4) Please fill the form in English and in BLOCK Letters.
5) Please fill all dates in DD-MM-YYYY format.
6) Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
7) KYC number of applicant is mandatory for updating of KYC details.
8) For particular section update, please tick (✓) in the box available before the section number and strike off the sections 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)*

Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

UCC Code allotted to the Client:_____ DP Internal Reference No._____

DP Name	CDSL	Beneficiary Name	DP ID	BO ID
Proficient Equities Pvt Ltd	✓		12082100	

☐ 1. PERSONAL DETAILS (Please refer instruction A in booklet)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* DD/MM/YYYY PAN No._____

Aadhaar No._____

PHOTO

Signature / Thumb Impression

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ IN-Indian ☐ Others (ISO 3166 Country Code ☐☐)

Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

Signature of Client

Occupation Type* ☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector) ☐ O-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Students) ☐ B-Business ☐ X- Not Categorised

☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B in booklet)

ADDITIONAL DETAILS REQUIRED* Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*_____

Tax Identification Number or equivalent (if issued by jurisdiction)*

Place / City of Birth*_____ ISO 3166 Country Code of Birth*_____

3. PROOF OF IDENTITY (PoI)* (Please refer instruction C in booklet)

(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)

- A - Passport Number _____ Passport Expiry Date DD/MM/YYYY
- B - Voter ID Card _____
- C - PAN Card _____
- D - Driving Licence _____ Driving Licence Expiry Date DD/MM/YYYY
- E - Aadhar (UID) _____
- F - NREGA Job Card _____
- Z - Others (any document notified by the central government) _____ Identification Number _____
- S - Simplified Measures Account - Document Type code Identification Number _____

Specify proof of address submitted for Correspondence/Local address _____

4. PROOF OF ADDRESS (PoA)*

4.1 CURRENT I PERMANENT / OVERSEAS ADDRESS DETAILS (Please refer instruction D in booklet)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type* Residential / Business | Residential | Business | Registered Office | Unspecified

Proof of Address* Passport | Driving Licence | *UID (Aadhaar) | Voter Identity Card | NREGA Job Card

Simplified Measures Account - Document Type code | Others _____

Address

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village* _____

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

Specify proof of address submitted for Permanent/Overseas address _____

5. CORRESPONDENCE / LOCAL ADDRESS DETAILS*

Same as Current / Permanent / Overseas Address details

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village* _____

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

Specify proof of address submitted for Correspondence/Local address _____

6. *ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES (Applicable if section 2 is ticked)

Same as Current / Permanent / Overseas Address details | Same as Correspondence I Local Address details

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village* _____

State _____ ZIP / Post Code* _____ ISO 3166 Country Code* _____

7. CONTACT DETAILS

(All communications will be sent on provided Mobile no. / (Email Id) (Please refer instruction F in booklet)

Tel. (Off) ISD / STD - Tel. (Res.) ISD / STD -

FAX ISD / STD - Mobile ISD / STD -

Email ID

8. DETAILS OF RELATED PERSON

(In case of additional related persons, please fill 'Annexure B1') (Please refer instruction G in booklet)

☐ Addition of Related Person ☐ Deletion of Related Person

KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Prefix First Name Middle Name Last Name

Name*

(If KYC number and name are provided, below details of section 6 are optional) Tel. (Off)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

☐ A - Passport Number Passport Expiry Date DD/MM/YYYY

☐ B - Voter ID Card

☐ C - PAN Card

☐ D - Driving Licence Driving Licence Expiry Date DD/MM/YYYY

☐ E - *UID (Aadhaar)

☐ F - NREGA Job Card

☐ Z - Others (any document notified by the central government) Identification Number

Identification Number

☐ S - Simplified Measures Account - Document Type code

9. REMARKS (if any)

10. APPLICANT DECLARATION

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

Date : DD/MM/YYYY

Place :

Signature of Client / Thumb Impression of Applicant

11. ATTESTATION / FOR OFFICE USE ONLY

☐ Originals verified and Self attested /certified Document copies received

Details	KYC Verification& Documents verified with Original carried out by	Client Interviewed By	In person Verification done by
Name of the Employee	Rabi Sharma	Online	Online
Employee Code	00026		
Designation of the Employee	Executive Officer		
Date			
Signature	Rabi Sharma		

12. INSTITUTION DETAILS

Name

Code

Proficient Equities Pvt. Ltd. Kolkata

For Proficient Equities Pvt. Ltd.

AS

Director

Signature of Authorised Signatory

Other Details

Gross annual income range p.a. ☐ Below Rs. 1 Lac ☐ Rs. 1-5 Lac ☐ Rs. 5-10 Lac ☐ Rs. 10-25 Lac

OR

Net-worth in Rs ☐ Rs. 25 Lac -1 Crore ☐ 1 Crore-5 Crore ☐ < 5 Crore

(Net worth should not be older than 1 year)

Occupation ☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others (Please specify) ☐ Professional ☐ Farmer

Please tick if applicable ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (RPEP) ☐ Not Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (RPEP) ☐ None

Any other other information _____

- I wish to receive the standard account opening documents i.e:- Rights & Obligations (Stock Broker and Depository Participant) , Uniform Risk Disclosure Documents and guidance note detailing Do's and Dont's in the below mentioned mode :-

☑ Electronic ☐ Physical

Additional Details

Whether you wish to receive physical contract note or Electronic Contract Note (ECN)/Statement of A/c please specify : ☐ Physical ☑ Electronic

Specify your Email Id, if applicable :_____ Number of years of Investment / Trading experience : _____

Whether you wish to avail of the facility of Internet Trading/Wireless Technology (please specify) : ☑ Yes ☐ No

DP Account(s) Details In case, client does not have a DP Account, this column may not be filled in.

Any other information :

Past Actions

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

☐ Yes ☑ No If yes, provide details: **N.A.**

Dealings Through Authorized Persons And Other Members

If the client is dealing through any other Member / Authorized Person (AP), provide the following details (incase dealing with multiple Members/APs, provide details of all in a separate sheet containing all the information as mentioned below) :

Member's / AP's Name: _____

Exchange: _____

Exchange's Registration number: _____

Concerned Member's Name with whom the AP is registered: _____

Registered office address: _____

_____ Pin Code: _____

Phone : Fax :

Email ID: _____ Website: _____

Client Code : _____

Details of disputes/dues pending from/to such Member/AP: _____

Trading Preferences

Please sign in the relevant boxes where you wish to trade.

Exchanges	NSE & BSE		
Segments	Cash/ Mutual Funds	F & O	Currency

(Strike off, if not applicable)

In future, if you wish to trade on any new segment / exchange, please submit a duly signed authorisation / letter to us.

Please sign here if you are choosing all the segments :-

Signature of Client

GST Details

GST Registration No. : N.A. GST Location : N.A.

Introducer Details

Name of the Introducer: _____

Status of the Introducer: ☐ Authorized Person ☐ Existing Client ☐ Others, please specify : **Online**

Address of the Introducer :

_____

PAN No. _____ Client Code

Tel. No. _____

Signature of the Introducer : _____

Bank Account(s) Details

Account Type	
Bank Name (through whish transactions will be routed	
Bank Account No.	
Branch Address	
	Pin
	IFSC Code: MICR No.:

Signature of Client

This space is intentionally kept blank

Proficient Equities Pvt Ltd Brokerage Plan

23,R. N. Mukherjee Road,
BNCCI House, 4thFloor, Kolkata- 700001

I/ We would like to subscribe for the given Brokerage Plan below. I/ We are ready to pay the charges as per the terms and conditions of Proficient Equities Pvt Ltd, member of NSE and BSE. I/ We hereby authorize Proficient Equities Pvt Ltd to debit my ledger accordingly.

Plan Names	Beginners (Default)	Investors	Independent	Enterprise/ NRI / FPI
Monthly	N/A	N/A	Rs.1999	Custom Pricing
Equity Delivery	Free	Free	Free	Custom Pricing
Equity Intraday	Rs.20/Order Executed or 0.05% (whichever is lower)	Rs.20/Order or 0.05% (whichever is lower)	Free	Custom Pricing
ETF	Rs.20/Order Executed or 0.05% (whichever is lower)	Rs.20/Order or 0.05% (whichever is lower)	Free	Custom Pricing
Options	Rs.5/lot	Rs.20/Order Executed	Free	Custom Pricing
Futures	Rs.5/lot	Rs.20/Order Executed	Free	Custom Pricing
SELECTED				

Note:
***It is agreed and stated that clients will be granted the privilege to make modifications to their plans, provided that the request for modification is made at least 30 days after the initial modification.*
***The above pricing is Proficient's Brokerage charges. The final amount to be deducted will be inclusive of taxation as mentioned in the below charts.*

Client Name: _____

Date: _____

Signature of Client

Authorised Person

Disclaimer – **Authorised Person** brokerage sharing will be calculated on an increment basis as per company policies. **T & C applied.** Contact Us for more information.

For more information on appointment and cancellation of an Authorized Person, please visit the following websites as per your requirements -

- NSE - https://www.nseindia.com/trade/authorised-for-membership
- BSE - https://www.bseindia.com/static/members/authorisedpersons.aspx

UCC Details

Additional KYC Form for Opening a Demat Account for Individuals

CKYC Number

(To be filled by the Depository Participant)

Application No				Date				DP Internal Reference No		
DP ID	12082100	Exchange	NSE	13475	BSE	4025	UCC		Client ID	

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/ our name as per following details:-

Holder Details

Sole / First Holder's Name			
PAN		UID	

Second Holder's Name	N.A.		
PAN		UID	

Third Holder's Name	N.A.		
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 mentioned above.

Type of Account (Please tick whichever is applicable)

Status	Sub – Status	
[ ] Individual	[✓] Individual Resident [ ] Individual Director's Relative [ ] Individual Promoter [ ] Individual Margin Trading A/c (MANTRA)	[ ] Individual-Director [ ] Individual HUF / AOP [ ] Minor [ ] Others(specify)_____
[ ] NRI	[ ] NRI Repatriable [ ] NRI Repatriable Promoter [ ] NRI – Depository Receipts	[ ]NRI Non-Repatriable [ ] NRI Non-Repatriable Promoter [ ] Others (specify)_____
[ ] Foreign National	[ ] Foreign National [ ] Foreign National - Depository Receipts [ ] Others (specify)_____	

Details of Guardian (in case the account holder is minor)

Guardian's Name	N.A.	PAN	N.A.
Relationship with the applicant			

Bank Details [Dividend Bank Details]

Account type Savings [ ] Current [ ] others (specify) [ ]

Bank Code (9 digit MICR code)		IFS Code (11 character)	
Account number			
Bank Name			
Branch Name			
Bank Branch Address			
City		State	
Country		PIN code	

Standing Instructions PEPL

I/We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	(Automatic Credit) ☑ 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 (Tick the applicable box. If not marked the default option would be in 'Physical')	☐ Physical ☑ Electronic ☐ Both Physical & Electronic
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 to be opened through Power of Attorney (POA)	☑ Yes ☐ No
I/We wish to receive dividend / interest directly in to my bank account as given in SARAL AOF through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time'.]	☑ Yes ☐ No

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange _____ Name of CC / CH _____

Clearing Member Id _____ Trading member ID _____

Whether DP a/c is to be opened with the same intermediary ☐ Yes ☐ No

SMS Alert & Trust Facility

SMS Alert Faciliy Refer to Terms & Conditions given as annexure - 2.4	MOBILE NO. +91_____ (Mandatory, if you are giving Power of Attorney (POA) (if POA is not granted & you do not wish to avail of this facility, cancel this option.	☑ Yes ☐ No
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions as Annexure - 2.6	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 I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST Stock Exchange Name/ID _____ Clearing Member Name _____ Clearing Member ID (Optional) _____	☑ Yes ☐ No
Easi	To register for Easi, please visit our website www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online	☑ Yes ☐ No

Option for Issue of Delivery Instruction Booklet (DIS Booklet) *Mandatory to select any one option*

Kindly confirm the manner of receiving DIS booklet

(To be filled by person seeking to open a Depository account where Power of Attorney has been granted to operate the depository account)

☐ I require you to issue Delivery Instruction Slip (DIS) booklet to me immediately on opening my CDSL account though I have issued a Power of Attorney (POA) executed in favour of Proficient Equities Pvt. Ltd. with for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through PEPL.	☑ I do not require the Delivery Instruction Slip (DIS) for the time being, since I have issued a POA in favour of Proficient Equities Pvt. Ltd. (PEPL) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through EBL. However, the Delivery Instruction Slip (DIS) booklet should be issued to me immediately on my request at any later date.

Signature of Client

Application for Nominee Form

Proficient Equities Pvt. Ltd. **23, R. N. Mukherjee Road,** **BNCCI House, 4th Floor, Kolkata- 7000001,** **Trading SEBI Registration No. INZ000218531** **DP SEBI Registration no. IN-DP-157-2015** **NSE Member id – 13475, 13131** **BSE Member id – 4025 DP ID: 12082100**	**FORM FOR NOMINATION** *(To be filled in by individual applying singly or jointly)*

Date		**UCC:**		**DP ID**		**Client ID**	

Name :

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

Nomination Details

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

			Details of 1st Nominee	**Details of 2nd Nominee**	**Details of 3rd Nominee**
Nominations can be made up to three nominees in the account.					
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 ( ) 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)}**			
9	**Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }**			
10	**Address of Guardian(s)**			

	City / Place: State & Country:			
	PIN Code			
11	**Mobile / Telephone no. of Guardian**			
12	**Email ID of Guardian**			
13	**Relationship of Guardian with nominee**			
14	**Guardian Identification details–** [Please tick any one of following and provide details of same] ( ) 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.)	**N.A.**	**N.A.**
Third Holder (Mr./Ms.)	**N.A.**	**N.A.**

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

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.
The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s).

Client Declaration

1. I hereby declare that the details furnished above are true and correct to the best of my 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 are aware that I/we may be held liable for it.

2. I confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non mandatory documents.

3. I further confirm having read and understood the contents of the Rights and Obligations document(s), Risk Disclosure Document and Do's and Dont's. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for Information on Member's designated website, if any.

4. I am hereby submitting self-certified Aadhar copy with my due consent for opening the above said account associated to my investment with Proficient .

Place _____

Date

Signature of Client

Office Use Only

I/We undertake that we have made the client aware of tariff sheet and all the voluntary/non-mandatory documents. I/We have also made the client aware of Rights and Obligations document (s), RDD, Do's and Dont's and Guidance Note. I/We have given/sent him a copy of all the KYC documents.

I/We undertake that any change in the tariff sheet and all the voluntary/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.

For Proficient Equities Pvt. Ltd.

For Proficient Equities Pvt. Ltd.

Director

Authorised Signatory

This space is intentionally kept blank

Declaration for Opening Trading and Depository Account Alongwith Acceptance of KYC Document Booklet.

By signing this document you confirm that you have read and understood the T&C, Rights and Obligations, Risk Disclosure, Policy and General Information mentioned in the additional booklet. You also confirm that all information furnished by you in this form is true.

Declaration for Opening Trading for Equity and Depository Account Alongwith Acceptance of KYC Document Booklet.

1. I am desirous of opening the trading for Equity and or depository account with **Proficient Equities Pvt. Ltd.** and I am in the process of executing client registration documents relating to the opening of trading and demat account.

2. I have furnished all the details required in the KYC form as per SEBI/Exchange / Depository requirements. I confirm having read/been explained and understood the contents of the KYC documents which are provided to me in separate booklet. The KYC document booklet includes the following :-

   a) Instructions and Checklist for filling the KYC, Ckyc form and FATCA Declaration

   b) Information on Anti money Laundering

   c) Rights and Obligations of the parties relating to Trading account (Including internet and wireless technology-based trading) prescribed by SEBI and Stock Exchanges and Rights and Obligations between Beneficiary Owner and Depository Participant

   d) Uniform Risk Disclosure Document (RDD) prescribed by SEBI and Stock Exchanges, including guidance note and Do's and Don'ts for clients

   e) Policies and Procedures (under paragraph 8 of SEBI Circular No : MIRSD/SECIR-19/2009 dated December 3, 2009)

   f) Additional terms and conditions (for Equity and / or Commodity) - (Voluntary Document)

   g) Terms And Conditions- for receiving SMS Alerts from CDSL (Annexure 2.4) and Transaction Using Secured Texting (TRUST) (Annexure 2.6)

   h) General Information for both Trading and Demat account

3. I understand that the KYC document booklet is in accordance of the exchanges and/or SEBI/DP requirements applicable for opening trading/DP account. I understand and agree that any amendment/modifications as required by the exchanges/DP and/or regulators will be applicable to me at all point of time and changes if any in future will be intimated to me.

4. I understand that as additional control have registered the KYC documents related to opening of trading and depository account, respectively are registered with the Sub-Registrar of Assurances, Mumbai bearing registration number BBI1/4615/2014 and BBI2/4617/2014 respectively dated May 30, 2014 and same is available with the registrar for records and reference purpose. This is not mandated by SEBI.

5. I have received the booklet with above mentioned contents. I also confirm having read/been explained and understood the contents of the documents on policy and procedures of the stock broker and their Terms & Conditions in the booklet.

Client Name:_____

Date : DD/MM/YYYY

Signature of Client

Proficient Equities Pvt Ltd

23, RN Mukherjee Road,
BNCCI Building, 4th Floor, Kolkata-700001

Schedule of Charges, an integral part of Client Agreement

Schedule-A Tariff Structure		
Account Opening Charges		
Individual	Nil	
NRI	Rs.500/-	
Corporates/LLP/Partnership Firms/Public Company/ HUF	Rs.1,000/-	
Annual Maintenance charge		
Individual	Rs.300/- + 18% GST	
NRI	Rs.500/- + 18% GST	
Corporate / LLP / Partnership Firm/ HUF	Rs.1,000/- + 18% GST	
BSDA Rate Chart (denomination in INR)		
Up to Rs.50,000/-	No AMC	
Rs.50,000/- to Rs.2,00,000/-	Rs.100/- + 18% GST	
Above Rs.2,00,000/-	Rs.300/- + 18% GST	
Client Master List/ Report (Extra Requirement)		
Through Email	Nil	
By Courier	Actual Courier Charges	
Transaction Charges : (Market Trades)		
Off Market Instruction for DDPI Client	Rs.15/-	Or 0.01% of transaction
Off Market Instruction for Non-POA Client	Rs.20/-	Or 0.02% of transaction
Market Instruction for POA Clients (To PEPL Payin)	Rs.15/-	Or 0.01% of transaction
Market Instruction for Non POA Clients (To PEPL Payin)	Rs.20/-	Or 0.02% of transaction
Pledge Request	Rs. 50/- + GST	
Unpledge Request	Nil	
Margin Repledge	Rs. 2/- (CDSL Charges)	
Physical Statement Delivery		
Periodic	Rs. 50/- + Courier charges at actual	
Non-Periodic	Rs.100/- per request upto 10 pages. Every additional single page at Rs.15/- + Actual Courier Charges	
Email Statement Delivery		
Periodic	Nil	
Non-Periodic	Nil	
Delivery instruction		
First Delivery Instruction Book	Free (10 Leaves)	
Every Additional Booklet (10 Leaves)	Rs.100/- (will be issue within 1 to 5 working days) + Courier Charges	
KRA Upload / Download		
New upload / modification / Fetch	Rs.50/-	
CKYC		
Modification / Fetch	Rs.50/-	
Modification / Fetch	Rs.50/-	
Cheque Bounce Charges		
Any reasons for cheque bounce	Rs. 350/-	
Modification in CML		
Mobile/address/email/bank/ nominee/other	Rs. 30/- per request	

To be continued...

Note:

1. The individual shall have only one BSDA in his / her name across all depositories (CDSL).

2. Value of securities held in BSDA shall not exceed 2,00,000/- (Rupees Two Lakh) at any point of time else it will be converted to Non- BSDA & accordingly it will be charged.

3. If the value of holding in such BSDA exceeds the prescribed criteria at any date, the DPs may levy charges as applicable to regular accounts (non BSDA) from that date onwards.

4. All BOs opting for the facility of BSDA, shall register their mobile number for availing the SMS alert facility for debit transactions.

5. In case the individual already has BSDA or opened a new BSDA on a later date, then status of this demat account as BSDA will cease to exist.

6. Any service, which is not mentioned above, will be charged separately, as per the rates applicable from time to time for which intimation will be given by us.

7. Holding statement, Transaction statement, changes request confirmation and Bills may be sent to the email ID of the client, registered in our system and details of transaction, holding, bills and other statements related to your account.

8. Depository accounts are also available on your online back office at www.proficientequities.com ., POA, Email agreement and debit authority letter is mandatory to avail the scheme of Rs.1000/-.

9. Stamp Charges for execution of agreement will be charged separately as applicable. GST, Statutory Charges and other charges if any shall be levied as per the stipulation of the concerned authorities.

10. Delayed Payment Charge will be levied @ 13% p.a. if payment for the billing month is not received by the end of next month.

11. In case of non-payment of charges, the demat account may be frozen for all operations till such time all dues are cleared.

12. All market instructions for transfer must be received latest by **4.00 P.M.** on the previous working day prior to the Pay in Day as per SEBI Guidelines. All off market instructions for transfer must be received at least 24 hours before the execution date. Late instructions would be accepted at the account holder's sole risk and responsibility.

13. Charges are subject to revision at the Company's sole discretion and as per the revisions in the Depository Charges.

14. Any service not quoted will be charged separately.

CALL & TRADE CHARGES

- A charge of ₹40 + 18% GST is levied when clients call Proficient to place, modify, or cancel an order or when positions are squared off by Proficient due to margin shortfall. This charge is known as call and trade charge.
- A charge of ₹40 + 18% GST, known as call and trade (auto square off) charge, is levied when intraday positions (MIS and CO) are not closed before the square off time and Proficient has closed the position.

The square off time is as follows:

Segment	Square off time
Equity	3:20 PM
Equity F&O	3:25 PM
CDS	4:45 PM

The square off time is subject to change and is updated on www.proficientequities.com

As per Proficient's policy, a maximum of 30,000 quantities per order are auto squared off to avoid price volatility in the instrument. Positions with higher quantities will be squared off in multiple orders and multiple auto square off charges will be applicable.

Example scenario - Assume 1,00,000 quantities need to be squared off. They will be squared off in the following manner:

Order	Quantity
1st Order	30,000
2nd Order	30,000
3rd Order	30,000
4th Order	10,000

Call and trade (auto square off) charge will be ₹160 (₹40 * 4) + 18% GST. For F&O, the maximum quantity allowed to be auto squared off in one order is the quantity freeze limit. The quantity freeze file can be downloaded from the NSE website (WEB).

"The above tariff is subject to change. Changes, if any, will be intimated 30 days in advance. Annual Maintenance Charge (AMC) is non-refundable. GST is applicable on all above charges except stamp charges."

Continued....

Terms & Conditions

1. Others charges (Stamp Duty, Turnover Charges, SEBI Charges, Transaction Charges Etc.) shall be levied as extra & shall be subject to revision consequent to the amendment in various rules/regulations/byelaws or as per circulars issued by the exchange from time to time.
2. Margin shall be acceptable in the form of clear ledger credit balance only.
3. Digital Contract notes and all other statements would be sent via email only.
4. Margin should comprise of liquid cash component only
5. Service tax on will be charged extra as applicable
6. Above Flat & Fixed plans is applicable for trading only through our (Net.Net) web version platform.
7. This scheme shall be subject to regulatory norms in force and may discontinue under any regulatory directions or for any other reason, without giving prior intimation to the client.

☑ Please tick this box if you wish to pay account opening charges from your initial margin money.

I / We hereby declare that I have read and understood the terms and conditions governing Proficient Equities Pvt. Ltd. as per brokerage plan mentioned herewith. I do hereby wish to avail the brokerage plan as selected by me.

Date: _____

_____
Client's Signature

Voluntary Authorisation Letter

From :

Client Code: _____

DP Client Code: _____

Date :

Proficient Equities Pvt. Ltd.
23,R.N. Mukherjee Road, BNCCI House,
4th Floor, Kolkata- 700001

By ticking on YES you authorize PEPL to maintain the Trading Account as Running Account thereby adjusting any obligations and receivables.

Dear Sir,

Subject : Voluntary Authorisation letter

1. Authorisation for Periodic Settlement of Funds and Securities ☑ Yes ☐ No

a. To maintain my/our account on a running account basis and adjust any amoun receivable amounts from me against any creditsstanding in to my accountor from my forthcomingpayoutspayable by me/ us to ProficientEquities Pvt. Ltd., where I am/we are registered withyou as a Client.

b. I/We request you to keep my/our funds with you to meet my/our pay in obligations in the succeeding settlements in the same segment as well as othersegments of BSE and/or NSE and where I/We am/are registered with you as a Client.

c. Further it is observed that many times the date on which payment is due to me/us from you and the date which I am/ we are required to make payment toyou are very close and therefore exchange of cheques become unnecessary paper work. Hence, I/We request you to maintain the running account facility with you. I/We agree that you shall not be required to pay any interest/ charges/ cost in respect of funds on a running account basis.

d. I/We hereby give my/our consent for periodic settlement of my /our funds.

e. I am /We are aware that in terms of SEBI circular CIR/HO/MIRSD/DOP/CIR/P/2019/2019 dated June 20, 2019 any excess securities available in your Client Collateral / Collateral account will be released to me/us along with funds settlement after making necessary retention as may be permitted by regulators.

However my/our preference for periodic settlement of funds and securities is as follows:-

a. Monthly ☐ b. Quarterly ☑

f. I/We declare that this authorisation is revocable by me/us at any time without giving any prior notice of such revocation to Proficient Equities Pvt. Ltd.

g. I/We agree that for any pay outs from my trading account, I/We specifically shall intimate about the same and Proficient Equities Pvt. Ltd. shall upon due scrutiny of my account and upon adherence to its policy/procedure, shall release eligible amount to me/us. I/We agree that this authorisation shall have anequal bindingeffect to the successors, executors and assigns of Proficient Equities Pvt. Ltd.

h. I/We hereby authorise you to transfer/adjust all the additional funds lying in my/our ledger account after meeting my obligations/dues, to the collateral account to avail exposure or keep all funds in your margin account with you to meet my margin obligations or keep the same with any exchange and/or with clearing member in the form of fixed deposit or any other form to avail exposure/meet margin requirements. This arrangement would be without any consideration or the funds so moved will not bear any interest/commission payable to me/is in the event of above arrangement.

2. Authorization for receiving ECN's and any documents/communications in electronic form by E-mail from the Stock Broker (for Equity and Derivatives, F & O, Currency) and Depository Participant ☑ Yes ☐ No

I am registered as a Client and having the captioned trading account andDepository account hereby authorize PEPL for the following or SMS

By ticking on YES you authorize PEPL to send all important communication like notices, contract notes etc. from PEPL by mail or SMS.

a) I/we authorize PEPL to issue me/us electronic contract notes (ECN's), bills, trade confirmations, ledgers, daily margin statements, statement of accounts forperiodical settlement of funds and securities, any notices, circulars, amendments and such other correspondence or communication related to my/our trading account (hereinafter referred to as "Documents") and wherever required duly authenticated by means of a digital signature as specified in the information technology Act, 2000 and the rules made thereunder to the E-mail ID as mentioned hereunder:

b) I/We understand that the documents received on e-mail/displayed on website are for my/our convenience. I/we will take all the necessary steps to ensure confidentiality and secrecy of the login name & password of the internet/email account. I / we are aware that the documents as may be accessed by other entities in case the confidentiality/ secrecy of the login name and password is compromised.

c) I/We shall verify the authenticity of the e-mails which I/we shall receive. PEPL shall not be responsible, if I/we do not receive the documents due to incorrect email ID and/or technical reasons.

To be continued....

continued from previous page.

d) I authorize PEPL to issue me bills, ledgers, monthly/quarterly/yearly demat transaction cum holding statements, any notices, circulars, amendments and such other correspondence or communication related to my demat account (hereinafter referred to as "Documents") and wherever required duly authenticated by means of a digital signature as specified in the information technology Act, 2000 .

e) I understand that wherever the e-mails have not been delivered to me or has been rejected (bouncing of mails) from the e-mail ID of mine, PEPL would send physical document to me. I further hereby agree that PEPL have fulfilled the legal obligation, if the above documents are sent electronically to the above-mentioned e-mail ID. I agree that PEPL will not be responsible for non receipt of documents sent via electronic delivery due to change in email address or for any other reason which inter alia include my email/inbox running out of capacity, malfunction of my computer system/server/internet connection, mails received by frauds/imposters etc. I also agree that PEPL shall not take cognizance of out-of office/ out-of-station auto replies and I shall be deemed to have received such electronic mails.

I shall inform PEPL in writing if there is any change in my registered e-mail ID. _____

3. Authorisation for debiting various depository charges:- ☑ Yes ☐ No

By ticking on YES you authorize PEPL to deduct all DP charges from your account.

a) I hereby give my consent/authority to debit/recover all types of depository charges viz annual maintenance charges, inter settlement charges, any type of transaction charges as is levied on me for the transactions carried out in my demat account including any statutory levies, services tax or any other tax/charges/fees in/from my trading ledger having the captioned client code as maintained with PEPL. I understand and agree that such depository charges will be debited in my trading ledger maintained with PEPL irrespective of the ledger balance on periodically and/or as per the details provided by EBL.

b) I instruct PEPL to provide the requisite information periodically and/or on occasion basis of such charges levied on me to PEPL with whom I have opened the trading account. I understand and consent that PEPL shall have the right to recover the depository charges like any other trade dues payable by me from my trading ledger. I hereby further authorize PEPL to set off a part or whole of the collateral/ledger balances/securities in my demat account i.e. by way of appropriation of the relevant amount of cash or by way of sell or transfer or liquidation/close out positions of all or some of the securities placed as collateral or lying in my demat account as stated above for the purpose of clearing any outstanding amount related to the aforesaid demat account maintained with PEPL. Any and all losses and financial charges on account of such liquidation/close-out shall be borne by me.

4. Sharing of Data & Information:- ☑ Yes ☐ No

By ticking on YES you express your approval and interest in receiving information on various other financial products/services that PEPL has to offer.
You also allow PEPL to share your preferences with other allied businesses.

a) I have opened a trading account with PEPL having the captioned client code and demat account with PEPL having the captioned client code and am interested in knowing about various financial products /facilities offered by your associate/group companies. I am aware that associate/group companies arerequired to obtain information about me and my transactions for providing various financial products/facilities.

b) I authorize you, your group companies and associates to keep me informed with any financial product which Proficient, its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute through e-mail, SMS, telephone, print media or otherwiseas may be allowed .

c) I hereby voluntarily accept and expressly authorize PEPL to get the information from PEPL or from any other Depository Participant of its group/associate companies with whom I have the Demat account and share/disclose or use in any manner, the information/documents/data about me and our transactions,with group of associates companies which is offering the products / facilities. Information provided by me in the Trading and Demat Account Opening Kit. Transaction cum holding statement with PEPL and Any other related information. My holdings in stocks/securities. Ledger balances in my Trading/Demat Account across all Exchanges/Depositories.

d) I authorize you To the extent appropriate for our relationship with you, personal information may be shared for the following purposes : -

I. to comply with applicable laws, rules and regulations, including anti-terrorism, KYC, anti-money laundering and tax reporting rules and regulations

II. to comply with legal process, to respond to requests from public, regulatory or government authorities (including authorities outside your country ofresidency), and to allow us to pursue remedies and limit damage

III. to any of our associate / affiliate / group entities including our service providers performing delegated outsourced function to enable them to performinternal business processes (which facilitate transactions) such as risk management purposes, data analysis, audits, developing and improving new products and services, etc

IV. to any of our associate / affiliate / group entities to enable them to provide you with appropriate products and services

e) I have no objection to PEPL sharing the above information or any such other information, about me/us with its group/associate companies or affiliates. This iswithout legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending such information.

Name :_____ Place : _____

continued from previous page.

5. Acceptance of securities as collateral for any or all segment(s) ☑ Yes ☐ No

I/ We,_____(PAN -_____) having my/our Trading Account with do hereby provide my / our consent/ authorisation to further pledge /deposit my/our securities lying with you or in my/our Beneficial account (Demat Account No) with the clearing member / clearing corporation for additional exposure availed by me / us during the period of my relationship with you.

I/ We hereby declares and assure that

(i) the said Securities are owned by me/us,

(ii) the Said Securities are in existence and are free from any charge, lien or encumbrance, whether prior or otherwise,

(iii) the Said Securities will be subject to the creation of pledge in favour of or for the benefit of Clearing corporation and further that the Securities over which pledge may be created in future would be in existence and owned by me/us at the time of creation of such pledge and that the Said Securities to be given in future as security to clearing corporation would likewise be unencumbered, absolute and disposable property of the clients

(iv) Proficient Equities Pvt. Ltd. or its Clearing Member is authorized to do all such acts and things, sign such documents and pay and incur any such costs, debts and expenses as may be necessary and the same shall be subject to terms and conditions as contained herein

(v) the Securities are subject to the first priority and lien in favour of Clearing corporation to secure, my/our obligations and that my/our rights or interests with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Clearing corporation in respect of the Said Securities

(vi) Clearing corporation may invoke the pledge without my reference or permission and upon receipt of the Said Securities, Clearing corporation may utilize the proceeds in meeting my/our obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against the Clearing Member and me / us

(vii) I/We shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities.

(viii) I/we hereby confirm that I/we read the terms and conditions to this effect and fully aware of the consequences of the same.

Trading Code: _____

Name _____

Signature _____

Place:_____Date: _____

Internet & wireless technology based trading facility provided by stock broker to the client

1. Stock broker is eligible for providing Internet Based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.

2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT website provided that they are in line with the norms prescribed by Exchanges/SEBI.

3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy is as stipulated in line with norms prescribed by Exchanges/SEBI.

5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such a person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.

6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use,etc.

7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.

8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.

9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.

10. The Client shall not have any claim against the Exchange or the Stockbroker on account of any suspension, interruption, non availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or nonexecution of his orders due to any link / system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stockbroker/Exchanges.

Declaration

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

2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.

3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Client Name: _____

Place: _____

Date: _____

Signature of Client

Request for SMS and E-mail Alerts from Stock Exchange/s & Stock Brokers

(Reference to SEBI circular Ref. No. CIR/MIRSD/15/2011 dated August 02, 2011)

To,

Proficient Equities Pvt. Ltd.

23, R.N. Mukherjee Road, BNCCI House, 4th Floor, Kolkata- 700001

This document and the details that you furnish will allow us and the exchanges to send you all relevant information of your account and transactions by SMS and e-mail.

Dear Sir,

Sub: SMS and E-mail alerts from Stock Exchange/s & Stock Brokers, Depository Participant for my Trading Account No._____ and Demat account_____with you

I/We request you to activate the facility of SMS and Email alerts from Stock Exchanges/Stock Brokers for transactions in the above mentioned trading account.

☑ YES I/ We wish to receive alerts by SMS/EMAIL

☐ By SMS ☐ By EMAIL ☑ By SMS & EMAIL*

*If opted for both SMS and Email facility, it is mandatory to give both the Mobile number and Email ID.

I **you wish to receive alerts by SMS/E- mail, Tick and give the details accordingly.**

☑ A) I/We wish to receive alerts from the Stock Exchanges/Stock Brokers. Kindly note that if the mobile no/email ID mentioned here is different from the one provided in my KYC, then this mobile no/Email ID shall prevail and I/We give my consent to details being send to this mobile number/email ID. Kindly update your records accordingly.

- My Mobile no._____is registered in the name of_____

- My Email Id is_____

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

Client Name _____

Signature of Client

FATCA-CRS Annexure for Individual Accounts (including Sole Proprietor)

Details under FATCA and CRS (Please refer to instructions in small Booklet)

(Please consult your professional tax advisor for further guidance on your tax residency, if required)

Name of the accountholder:_____ PAN No: _____

Fathers Name:_____ Spouse's name _____

Aadhaar number (Optional)_____ Nationality_____

City of birth_____ Country of birth _____

Address Type: _____
(a) Residential or Business (b) Residential (c) Business (d) Registered Office

(Note : Permissible documents are: Passport ,Election ID Card, PAN Card , ID Card , Driving License , UIDAI Card , NREGA Job Card and Others)

1. Tax residence declaration - tick any one, as applicable to you:

☑ I am a tax resident of India and not resident of any other country

Or

☐ I am a tax resident of the country/ies mentioned in the table below

Please indicate ALL the countries in which you are a resident for tax purposes and the associated Tax ID Number below:

Country #	Tax Identification Number %	Identification Type (TIN or Other%, please specify)
N.A.	**N.A.**	**N.A.**

 # To also include USA, where the individual is a citizen/ green card holder of USA

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

Certification

I/We have understood the information requirements of this Form (read along with the FATCA/CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA CRS Terms and Conditions below and hereby accept the same.

Signature of Client

Name: _____

Date:_____/_____/_____ Place:_____

DEMAT DEBIT AND PLEDGE INSTRUCTION [DDPI]

I/We Mr./Mrs./M/s (First holder)_____, S/o, D/o, W/o, _____(Second Holder)_____ S/o, D/o, W/o, _____, (Third Holder) _____S/o, D/o, W/o, _____ residing at / having registered office at _____ _____an Individual / a Sole Proprietary concern / a Partnership Firm / a Body Corporate / Trust, registered/incorporated, under the provisions of the (hereinafter referred to as "Beneficial Owner") wish to avail / have availed the broking / E-broking facilities and other services offered (hereinafter referred to as "Services"), by **Proficient Equities Private Limited** company incorporated under the companies Act 1956 and having its Registered office address at 23, R. N. Mukherjee Road, BNCCI House, 4th Floor, Kolkata-700001 (hereinafter referred to as "Member") and is a Member (Trading Member) of The National Stock Exchange of India Limited (NSE) and Bombay Stock Exchange limited (BSE) (hereinafter referred to as "the Exchange") and is also a "Depository Participant" registered with Central Depository Services (India) Limited (CDSL).

WHEREAS I am / We are investor(s) engaged in buying, selling and trading of securities in Cash Segment and/or dealing in F&O and Currency Derivative Segment of NSE/BSE through broker, a Member of National Stock Exchange of India Limited (NSE) having Member ID 13475 & Bombay Stock Exchange Limited (BSE) having Member ID 4025, bearing SEBI Registration no. INZ000218531.

AND WHEREAS I / We hold a Beneficiary Account No. _____ (BO-ID) with Depository Participant and Client Code _____**Proficient Equities Private Limited** registered with Central Depository Services (India) Limited (CDSL), having DP-ID: 12082100, SEBI registration no. IN-DP-157-2015.

NOW KNOW I / WE ALL, do hereby, jointly and severally give my / our instruction to Proficient Equities Private Limited Stock Broker and Depository Participant, to exercise and perform the following acts, deeds and things as mentioned below:

Sr. No.	Purpose	Signature of Client
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	✓1st Holder –
		✓2nd Holder – N.A.
		✓3rd Holder - N.A.
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	✓1st Holder –
		✓2nd Holder – N.A.

		✓3rd Holder - N.A.
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	✓1st Holder –
		✓2nd Holder – N.A.
		✓3rd Holder - N.A.
4	Tendering shares in open offers through Stock Exchange platforms	✓1st Holder –
		✓2nd Holder – N.A.
		✓3rd Holder - N.A.

- **The Demat account details of Member where shares can be transferred for above purpose is mentioned below:**

Account Name	Depository	DP ID	Client ID	CM BP ID
NSE POOL A/C	NSDL	IN300966	11102272	IN545164
BSE POOL A/C	NSDL	IN300966	11102393	IN644028
NSE POOL A/C	CDSL	12082100	00000073	
ANY OTHER	NSDL	IN3009666	11233666	
CLIENT UNPAID SECURITIES PLEDGEE ACCOUNT	CDSL	12082100	00014012	
CLIENT SECURITIES MARGIN PLEDGE ACCOUNT	CDSL	12082100	00010339	
BSE POOL A/C	CDSL	12082100	00000092	
BSE EARLY PAYIN A/C	CDSL	11000010	00023671	
NSE EARLY PAYIN A/C	CDSL	11000011	00019625	
NSE POOL A/C	CDSL	12082100	00000073	

SIGNED AND DELIVERED

Name of the Holder(s) / Authorized Signatories(ies)		Signature(s)
1st Holder(s) / Authorized Signatories(ies)		
2nd Holder(s) / Authorized Signatories(ies)		N.A.
3rd Holder(s) / Authorized Signatories(ies)		N.A.
signature (for HUF)	Wife: _____, Son / daughter : _____ Son / daughter : _____ Son / daughter : _____ Minor: _____(DoB)	

		Witness 1	Witness 2
DDPI / POA Holder	For Proficient Equities Pvt. Ltd. (Director/Authorized Signatory)	Name	Name
		Address	Address
		Signature	Signature

From
Client Name :
Client Code :

To
Proficient Equities Private Limited
23 R.N. Mukherjee Road, 4th Floor, BNCCI
House, Kolkata 700 001

Dear Sir / Madam,

Ref : **Acknowledgement for the receipt of documents**

1) This is to acknowledge the receipt of a copy of the following documents viz. A copy of Client Registration Form (KYC), duly executed
2) Account Opening From - Part II
3) Rights & Obligations (Separately - Part B)
4) Risk Disclosure Document (Separately - Part B)Guidance Note (Separately - Part B)
5) Policies & Procedures Tariff Sheet
6) PMLA Declaration
7) Literature on Anti-Money Laundering-Combating Financing of Terrorism (Separately Part
8) B)A Copy of other Voluntary Documents executed & Signed by me as a Client.
9) Client Master List

Thanking You
Yours
Faithfully

Signature of the Client

Proficient Equities Private Limited
23 R.N. Mukherjee Road, 4Th Floor BNCCI
House, Kolkata 700 001

Recieved the application from Mr / Ms. M/s
for opening of trading account. Your Trading Code will be intimated to you shortly. Please quote the Trading code allotted all your future correspondence.



Broker's Stamp & Signature



Proficient
GROWTH WITH VISION

PROFICIENT EQUITIES PRIVATE LIMITED
4th Floor , BNCCI House
23, R. N. Mukherjee Road, Kolkata-700 001, West Bengal
Tel. : +91 33 4026 6300, Fax. : +91 33 2231 7800
e-mail id : care@proficientgroup.in; website : www.proficientequities.com