

### List for required document for corporate a/c : 2025

- 1) Certified True Copies of Memorandum & Articles of Association with certificate of incorporation and certificate of commencement of business. (If name change in past, pls arrange all back certificate too).
- 2) Board Resolution for opening account and authorizing officials for signing the instructions to be signed by at least two directors/trustee/partners.
- 3) Address proof of company. Can be bank statement for 1 quarter (latest 3 month) - bank statement attested by banker with bank stamp & duly signed by signatory authority.
- 4) Pan card of company.
- 5) Director list with din no. on company letter head. And attested by at least two directors.
- 6) Specimen signatory list with operations mode on company letter head.
- 7) Company master data from MCA site.
- 8) Last TWO balance sheets of company with ITR acknowledgement.
- 9) Page no. 3 of KYC Non Individual form, please to be fill details at least two partner/ director/karta/ authorized signatory with pan no., DIN, relationship with company, and address & after pasting photo, across signed but avoided sign on face (directors who have signed the resolution & signing authority person).
- 10) Cheque leaf for Rs 15000/= in favour of KK Securities Ltd.
- 11) Net-Worth Certificate original by CA (not more than 12 months old).
- 12) Gross income range on letter head.
- 13) Shareholding Pattern (SHP) Signed by Director (not more than 12 months old). In SHP ultimate beneficial owner (UBO) is to be defined. SHP of non-individual entity holding more than 10% is to be given on that entity letterhead duly signed. This will apply to all steps down entities having non individual as shareholder having more than 10% holding. Please drill down to ultimate individual beneficiary. In case HUF please define karta, members & co-parcenor detail.
- 14) Also required self attested copy of pan & mask adhar for above 10% of shares holders. It's should be neat & clear.
- 15) Fatca declaration & if company registered in stock exchange then provide detail evidence form.
- 16) UBO (UBO total should be 100%), all UBO person self attested copy of pan & current downloaded mask-adhar.
- 17) KYC of at least two directors & signing authority to be full with all supporting documents, eg. Self attested two set copy of pan card & current downloaded mask adhar card, photo & etc.
- 18) Company stamp should be (FOR) co. name with director/ authorized signatory (no round stamp).
- 19) Separate mobile No. & Email Id. Please fill for each individual kyc - pls fill form in capital letter-clean & clear.

#### Note:

- (1)- IN individual kyc- please fill father/spouse name as per adhar card, name & BOB as per pan card, income range as per latest filed ITR, personal/separately/personal valid email & mobile no. and address same as per adhar & correct detail fill in fatca.
  - (2)- Self attested copy of PAN card, aadhar card and din letter of director/partner/trustee & etc. Rest of documents pertaining to company to be attested by director/signatory authority person with rubber stamp (as per BOR).
  - (3)-Please fill company address on annexure- K, exactly as per bank statement.
  - (4)-Individual kyc/director/signing authority person - After KRA done by us, client will be receiving link from KRA side on registered mobile & email. Kindly do verification. Email will be sent by us to each email ids to validate the same. Kindly follow instructions as given in email, otherwise kyc will fail.
  - (5)- FATCA/CRS detail should be valid (Place of Birth- city fill not state).
  - (6)-Pls download current mask adhar from-<https://myaadhaar.uidai.gov.in/genricDownloadAadhaar/en>
  - (7) pan & adhar should be link, you can check-<https://eportal.incometax.gov.in/iec/foreservices/#/pre-login/link-aadhaar-status>.
  - (8)- If NRI- required RBI approved letter with reference number and date also and PSI form, Fema, Foreign address proof, OCI card & tin number of belonging country for fatca & their evidence, Emigration page stamp availability in India.
- All documents, each page, photo of account holder, all attachments and signatures of to be notarised by local banker, notary, judge, Indian consulate.

In case account is opened while abroad, all documents/evidences to be attested by local notary public / court judge / Indian embassy, consulate / magistrate / local banker with his/her rubber stamp, name and address clearly stated and date stamped. (Every page of form and photos of account holder & nominee Photo, signatures, all documentary evidences).

**For individual kyc note-** Pls. fill valid detail on kyc form -client name, father name, mother name, email id, mobile no., address as per adhar card, pan no., income range. After pasting photo & across sign but avoided sign on face. Pls tick detail of – residential status, married status, occupation type, citizenship status, & Gender. Pls fill accuracy detail on Fatca/CRS.

Self attested two set of current downloaded adhar card & pan card. For bank- name printed cheque leaf.

Pls. separately fill mobile no. & email id each/every kyc individually not belonging to other relatives.

# Annexure-K

## PART I - KNOW YOUR CLIENT (KYC) APPLICATION FORM (NON INDIVIDUAL)

### KK SECURITIES LIMITED

Regd. Office : 76-77, Scindia House,

Janpath, New Delhi-110001

Ph.: 011-46890000, Fax : 23723571

E-mail kksl@kksecurities.com

Website : www.kksecurities.com

For Investor Grievance : kkslig@hotmail.com

DP ID -IN300468

Please fill this form in ENGLISH and in BLOCK LETTERS

Photograph

Please affix the recent  
passport size  
photograph and sign  
across it

#### A. IDENTITY DETAILS

1	Name of the Applicant																				
2	Date of incorporation														Place of incorporation						
3	Date of commencement of business																				
4	a) PAN													b) Registration No. (e.g. CIN)							
5	Status (please tick any one):																				
	<div style="display: flex; flex-wrap: wrap;"> <div style="width: 33%;"> <input type="checkbox"/> Private Limited Co.  <input type="checkbox"/> Public Ltd. Co.  <input type="checkbox"/> Body Corporate  <input type="checkbox"/> Trust  <input type="checkbox"/> Charities  <input type="checkbox"/> NGO's  <input type="checkbox"/> Others (Please specify) _____         </div> <div style="width: 33%;"> <input type="checkbox"/> Bank  <input type="checkbox"/> Government Body  <input type="checkbox"/> Non Government Organization  <input type="checkbox"/> Defense Establishment  <input type="checkbox"/> Society  <input type="checkbox"/> LLP         </div> <div style="width: 33%;"> <input type="checkbox"/> Partnership  <input type="checkbox"/> FI  <input type="checkbox"/> FII  <input type="checkbox"/> HUF  <input type="checkbox"/> AOP  <input type="checkbox"/> BOI         </div> </div>																				

#### B. ADDRESS DETAILS

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

**C. OTHER DETAILS**

1	Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:	If space is insufficient, enclose these details searately <i>[Illusrative format enclosed]</i>
2	DIN of whole time directors :	
3	Details of Promoters/Partners/Karta	

**D. 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 &amp; Signature of the Authorised Signatory(ies)

Date

.....

**FOR OFFICE USE ONLY**☐ (Originals verified) Ture copies of documents received

Signature of the Authorised Signatory

Date

Seal/Stamp of the intermediary

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

Sr. No.	Name	Relationship with Applicant i.e., Promoters/Partners/Karta/Trustees and whole time directors	PAN	Residential / Registered Address	DIN	Phtograph Please Sign across and avoid the face.
1						
2						
3						
4						
<div> <div>Name &amp; Signature of the Authorise Signatory (ies)</div> <div> <div>Date</div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> </div> </div>						



**KK SECURITIES LIMITED**  
Regd. Office: 76-77,  
Scindia House, Janpath,  
New Delhi-110001

# SUPPLEMENTARY KNOW YOUR CLIENT (KYC), FATCA, CRS & ULTIMATE BENEFICIAL OWNERSHIP (UBO) SELF CERTIFICATION FORM FOR NON-INDIVIDUALS

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

Name of the entity							
Type of address given at KRA	<input type="checkbox"/> Residential or Business		<input type="checkbox"/> Residential		<input type="checkbox"/> Business		<input type="checkbox"/> Registered Office
PAN					Date of Incorporation	D D	M M Y Y Y Y
City of incorporation							
Country of incorporation							

## ADDITIONAL KYC INFORMATION

Gross Annual Income (Rs.) [Please tick(✓)]	<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1 - 5 Lacs	<input type="checkbox"/> 5 - 10 Lacs	<input type="checkbox"/> 10 - 25 Lacs	<input type="checkbox"/> >25 Lacs - 1 Crore	<input type="checkbox"/> >1 Crore
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OR

Net-worth	Rs. _____ as on	D D	M M	Y Y Y Y	(Not older than 1 year)
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Politically Exposed Person (PEP) Status* (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors)	<input type="checkbox"/> I am PEP	<input type="checkbox"/> I am Related to PEP	<input type="checkbox"/> Not Applicable
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\*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.

Non-Individual Investors involved/ providing any of the mentioned services	<input type="checkbox"/> Foreign Exchange/Money changer Services	<input type="checkbox"/> Gaming/Gambling/Lottery/Casino Services
	<input type="checkbox"/> Money Lending/Pawning	<input type="checkbox"/> None of the above

## FATCA & CRS Declaration

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 <input type="checkbox"/> (Refer 1 of Part C) or Direct reporting NFE <input type="checkbox"/> (Refer 3(vii) of Part C) (please tick as appropriate)	GIIN <input type="text"/>  <b>Note:</b> 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)	<input type="checkbox"/> Applied for <input type="checkbox"/> Not obtained – Non-participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input type="text"/> (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 <input type="checkbox"/> (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 <input type="checkbox"/> (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: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange _____
3.	Is the Entity an active NFE (Refer 2c of Part C)	Yes <input type="checkbox"/> Nature of Business _____ Please specify the sub-category of Active NFE <input type="checkbox"/> (Mention code – refer 2c of Part C)
4.	Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes <input type="checkbox"/> 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	<div><input type="checkbox"/> Residence<input type="checkbox"/> Business<input type="checkbox"/> Registered Office</div>	<div><input type="checkbox"/> Residence<input type="checkbox"/> Business<input type="checkbox"/> Registered Office</div>	<div><input type="checkbox"/> Residence<input type="checkbox"/> Business<input type="checkbox"/> Registered Office</div>
Tax ID <sup>6</sup>			
Tax ID Type			
City of Birth			
Country of Birth			
Occupation Type	<div><input type="checkbox"/> Service<input type="checkbox"/> Business<input type="checkbox"/> Others</div>	<div><input type="checkbox"/> Service<input type="checkbox"/> Business<input type="checkbox"/> Others</div>	<div><input type="checkbox"/> Service<input type="checkbox"/> Business<input type="checkbox"/> Others</div>
Nationality			
Father's Name			
Gender	<div><input type="checkbox"/> Male<input type="checkbox"/> Female<input type="checkbox"/> Others</div>	<div><input type="checkbox"/> Male<input type="checkbox"/> Female<input type="checkbox"/> Others</div>	<div><input type="checkbox"/> Male<input type="checkbox"/> Female<input type="checkbox"/> Others</div>
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) <sup>5</sup>			

\* 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

FATCA - CRS Terms and Conditions

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

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

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

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Certification

I/We have read and understood the information requirements and the Terms and Conditions mentioned in this Form (read alongwith the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We hereby agree and confirm to inform KK Securities Ltd for any modification to this information promptly.I/We further agree to abide by the provisions of the Scheme related documents inter alia provisions on Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) on Automatic Exchange of Information (AEOI).

Name			
Designation			
Signature	Signature	Signature	Place Date

Dec 2025(5)

1. Financial Institution (FI)

The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.

- Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
- Custodial institution: is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where its income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of:
  - (i) The three financial years preceding the year in which determination is made; or
  - (ii) The period during which the entity has been in existence, whichever is less.
- Investment entity is any entity:
  - ✓ That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
    - (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
    - (ii) Individual and collective portfolio management; or
    - (iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;
  - or
  - ✓ The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:

  - (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or
  - (ii) The period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 (refer point 2c.)

- Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

• FI not required to apply for GIIN:	
A. Reasons why FI not required to apply for GIIN:	
Code	Sub-category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors, Investment Managers& Executing Brokers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

2. Non-financial entity (NFE) - Entity that is not a financial institution

Types of NFEs that are regarded as excluded NFE are:

a. Publicly traded company (listed company)

A company is publicly traded if its stock are regularly traded on one or more established securities markets

(Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)

b. Related entity of a publicly traded company

The NFE is a related entity of an entity of which is regularly traded on an established securities market;

c. Active NFE : (is any one of the following):	
Code	Sub-category
01	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	<p>Any NFE that fulfills all of the following requirements:</p> <ul style="list-style-type: none"> <li>It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;</li> <li>It is exempt from income tax in India;</li> <li>It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> </ul> <p>The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.</p> <p>Explanation. - For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-</p> <p>(I) an Investor Protection Fund referred to in clause (23EA);</p> <p>(II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and</p> <p>(III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;</p>

### 3. Other definitions

<p>(i) Related entity</p> <p>An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.</p>
<p>(ii) Passive NFE</p> <p>The term passive NFE means</p> <p>(1) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company;</p> <p>or</p> <p>(2) an investment entity defined in clause (1) of these instructions</p> <p>(3) a withholding foreign partnership or withholding foreign trust;</p> <p>(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)</p>
<p>(iii) Passive income</p> <p>The term passive income includes income by way of :</p> <p>(1) Dividends,</p> <p>(2) Interest</p> <p>(3) Income equivalent to interest,</p> <p>(4) Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE</p> <p>(5) Annuities</p> <p>(6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income</p> <p>(7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,</p> <p>(8) The excess of foreign currency gains over foreign currency losses</p> <p>(9) Net income from swaps</p> <p>(10) Amounts received under cash value insurance contracts</p> <p>But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.</p>
<p>(iv) Controlling persons</p> <p>Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005. In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, controlling person means persons in equivalent or similar positions.</p> <p>Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:</p>



- (1) More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- (2) More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- (3) More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

Where the client is a trust, the financial institutions shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

*(A) Controlling Person Type:*

Code	Sub-category
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement-trust-trustee
06	CP of legal arrangement-trust-protector
07	CP of legal arrangement-trust-beneficiary
08	CP of legal arrangement-trust-other
09	CP of legal arrangement-Other-settlor equivalent
10	CP of legal arrangement-Other-trustee equivalent
11	CP of legal arrangement-Other-protector equivalent
12	CP of legal arrangement-Other-beneficiary equivalent
13	CP of legal arrangement-Other-other equivalent

*(v) Specified U.S. person – A U.S. person other than the following:*

- (1) a corporation the stock of which is regularly traded on one or more established securities markets;
- (2) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (3) the United States or any wholly owned agency or instrumentality thereof;
- (4) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (5) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (6) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (7) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (8) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (9) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (10) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (11) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (12) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (13) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

*(vi) Owner documented FFI*

An FFI meets the following requirements:

- (a) The FFI is an FFI solely because it is an investment entity;
- (b) The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- (c) The FFI does not maintain a financial account for any non participating FFI;
- (d) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
- (e) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

*(vii) Direct reporting NFE*

A direct reporting NFE means a NFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.

(viii) Exemption code for U.S. persons	
Code	Sub-category
A	An organization exempt from tax under section 501 (a) or any individual retirement plan as defined in section 7701 (a)(37)
B	The United States or any of its agencies or instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan

Client Signature

\_\_\_\_\_

Name
Signature

Name
Signature

Name
Signature

**FORM 11**  
**ACCOUNT OPENING FORM**  
**(FOR NON-INDIVIDUALS)**

<b>KK SECURITIES LTD.</b> 76-77, Scindia House, Janpath, New Delhi 110001 DP ID – IN300468, SEBI Regn No. INZ000155732. Ph – 011-46890000. Email Id – kksl@kksecurities.com	<b>Client –ID</b> (To be filled by Participant) <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> </tr> </table>								

  

We request you to open a depository account in our name as per the following details: <i>(Please fill all the details in CAPITAL LETTERS only)</i>	<b>Date</b>	D	D	M	M	Y	Y	Y	Y
--	-------------	---	---	---	---	---	---	---	---

  

A)	Details of Account holder(s):									
		Name	PAN							
	Sole/ First Holder									
	Second Holder									
	Third Holder									

  

B)	<b>Type of account</b>																					
	<table style="width: 100%;"> <tr> <td><input type="checkbox"/> Body Corporate</td> <td><input type="checkbox"/> FI</td> <td><input type="checkbox"/> FII</td> </tr> <tr> <td><input type="checkbox"/> Qualified Foreign Investor</td> <td><input type="checkbox"/> Mutual Fund</td> <td><input type="checkbox"/> Trust</td> </tr> <tr> <td><input type="checkbox"/> Bank</td> <td><input type="checkbox"/> CM</td> <td><input type="checkbox"/> HUF</td> </tr> <tr> <td colspan="3"><input type="checkbox"/> Other (Please specify)</td> </tr> </table>										<input type="checkbox"/> Body Corporate	<input type="checkbox"/> FI	<input type="checkbox"/> FII	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> Trust	<input type="checkbox"/> Bank	<input type="checkbox"/> CM	<input type="checkbox"/> HUF	<input type="checkbox"/> Other (Please specify)		
<input type="checkbox"/> Body Corporate	<input type="checkbox"/> FI	<input type="checkbox"/> FII																				
<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> Trust																				
<input type="checkbox"/> Bank	<input type="checkbox"/> CM	<input type="checkbox"/> HUF																				
<input type="checkbox"/> Other (Please specify)																						

  

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

  

D)	Income Details (please specify)																	
	Income Range per annum	and	Network															
	<input type="checkbox"/> Below ` 20 Lac		Amount (₹) _____															
	<input type="checkbox"/> ` 20 – 50 Lac		As on (date) <table border="1" style="display: inline-table; width: 150px; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 12.5%; text-align: center;">D</td> <td style="width: 12.5%; text-align: center;">D</td> <td style="width: 12.5%; text-align: center;">M</td> <td style="width: 12.5%; text-align: center;">M</td> <td style="width: 12.5%; text-align: center;">Y</td> <td style="width: 12.5%; text-align: center;">Y</td> <td style="width: 12.5%; text-align: center;">Y</td> <td style="width: 12.5%; text-align: center;">Y</td> </tr> </table>								D	D	M	M	Y	Y	Y	Y
D	D		M	M	Y	Y	Y	Y										
	<input type="checkbox"/> ` 50 Lac – 1 crore		(Network should not be older than 1 year)															
	<input type="checkbox"/> Above ` 1 crore																	

  

E)	<b>In case of FIIs/Others (as may be applicable)</b>									
	RBI Approval Reference Number									
	RBI Approval date									
	SEBI Registration Number (for FIIs)									

  

F)	<b>Bank details</b>									
	1	Bank account type <input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify) _____								
	2	Bank Account Number _____								
	3	Bank Name _____								

	4	Branch Address											
			City/town/ village				PIN Code						
			State				Country						
	5	MICR Code											
	6	IFSC											
G)	Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:					<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)							
H)	<b>Clearing Member Details</b> (to be filled up by Clearing Members only)												
	1	Name of Stock Exchange											
	2	Name of Clearing Corporation/ Clearing House											
	3	Clearing Member ID											
	4	SEBI Registration Number											
	5	Trade Name											
	6	CM-BP-ID (to be filled up by Participant)											
I)	<b>Standing Instructions</b>												
	1	We authorise you to receive credits automatically into our account.							<input type="checkbox"/> Yes <input type="checkbox"/> No				
	2	Account to be operated through Power of Attorney (PoA)							<input type="checkbox"/> Yes <input type="checkbox"/> No				
	3	Account to be operated through Demat Debit and Pledge Instruction (DDPI)							<input type="checkbox"/> Yes <input type="checkbox"/> No				
	4	<b>SMS Alert facility</b>											
		<b>Sr. No.</b>	<b>Holder</b>				<b>Yes</b>	<b>No</b>					
		1	Sole/First Holder				<input type="checkbox"/>	<input type="checkbox"/>					
		2	Second Holder				<input type="checkbox"/>	<input type="checkbox"/>					
		3	Third Holder				<input type="checkbox"/>	<input type="checkbox"/>					
	5	Mode of receiving Statement of Account [Tick any one]		<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form [Read Note 3 and ensure that email ID is provided in KYC Application Form].									
J)	<b>List of family members</b> (Separate Annexure maybe used in case number of members is higher)												
	<b>Sr No.</b>	<b>Name of Coparcener/Member</b>	<b>Gender</b>	<b>Date of Birth</b>	<b>Relation with Karta</b>	<b>with</b>	<b>Whether Coparcener/ Member (please specify)</b>						

Dec 2025(11)

### Acknowledgement

Participant Name, Address & DP ID

Received the application from M/s \_\_\_\_\_ as the sole/first holder alongwith \_\_\_\_\_ and \_\_\_\_\_ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you (CM-BP-ID in case of Clearing Members) in all your future correspondence.

Date:

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

Participant Stamp & Signature

## Declaration

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

**Authorised Signatories** (Enclose a Board Resolution for Authorised Signatories. In case of HUF details of Karta to be given)

Sole / First Holder	Name	Signature(s)
First Signatory / Karta of HUF		X
Second Signatory		X
Third Signatory		X
<b><u>Other Holders</u></b>		
Second Holder		X
Third Holder		X

<b>Mode of Operation for Sole / First Holder</b> (In case of joint holdings, all the holders must sign. In case of HUF this is not applicable)	
<input type="checkbox"/> Any one singly	
<input type="checkbox"/> Jointly by	
<input type="checkbox"/> As per resolution	
<input type="checkbox"/> Others (please specify)	

### Notes:

1. In case of additional signatures, separate annexures should be attached to the application form.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. For receiving Statement of Account in electronic form:
  - I. Client must ensure the confidentiality of the password of the email account.
  - II. Client must promptly inform the Participant if the email address has changed.
  - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
4. Strike off whichever is not applicable.

=====

**For Corporates / Clearing Members Only**

1) Account to be operated through Power of attorney (POA). Yes ☐ No. ☐

2) Sole / First Holder's Details, Second Holder and Third Holder.

**Sole / First Holder's Details**

Mobile No.		
E-mail ID		
MAPIN id		
SMS Facility	Yes <input type="checkbox"/>	No <input type="checkbox"/>

**Second Holder**

Mobile No.		
E-mail ID		
MAPIN id		
SMS Facility	Yes <input type="checkbox"/>	No <input type="checkbox"/>

**Third Holder**

Mobile No.		
E-mail ID		
MAPIN id		
SMS Facility	Yes <input type="checkbox"/>	No <input type="checkbox"/>

3)

Address for communication / Corporate Benefits (Default option is Registered office Address	Registered / Permanent Address
	Correspondence Address / Foreign Address

4) Introduction by an existing account holder / applicant's bank.

<p style="text-align: center;"><b>Introduction</b> (by an existing account holder / applicant's bank)</p> <p>DP ID : .....Client ID..... (incase of existing account holder)</p> <p>I confirm the identity and address of the applicant (s)</p> <p>\Name : .....</p> <p style="text-align: right;"><b>Signature of the Introducer / Signature and Seal incase of Bank (To be verified by DP official)</b></p>
---

<div> <div>DP NAME -KK SECURITIES LTD</div> <div>TARIFF SHEET</div> <div>DP ID- IN300468</div> </div>				
	Scheme_Name	GENERAL BO		BSDA
		INDIVIDUAL	CORPORATE	INDIVIDUAL
1	Scheme_type	GENERAL BO	GENERAL BO	BSDA
2	Billing Cycle	Monthly	Monthly	Monthly
3	Statutory_Charges_At_The_Time_Of_Account_Opening	NIL	NIL	NIL
4	Advance_Deposit	NIL	NIL	NIL
5	Account_Maintenance_NSDL_Charges	0	Rs.500 Per Annum	0
6	Account_Maintenance_DP_Charges	Rs.200 Per Annum (exclusive of NSDL charges)	Rs.200 Per Annum (exclusive of NSDL charges)	0
7	Demat	RS 10/- PER CERT. + COURIER CHARGES	RS 10/- PER CERT. + COURIER CHARGES	RS 10/- PER CERT. + COURIER CHARGES
8	Remat_NSDL_Charges	a) Rs 10/- for every hundred securities or part thereof subject to maximum fee of Rs 5,00,000/-; or b) a flat fee of Rs. 10/- per certificate, whichever is higher.	a) Rs 10/- for every hundred securities or part thereof subject to maximum fee of Rs 5,00,000/-; or b) a flat fee of Rs. 10/- per certificate, whichever is higher.	a) Rs 10/- for every hundred securities or part thereof subject to maximum fee of Rs 5,00,000/-; or b) a flat fee of Rs. 10/- per certificate, whichever is higher.
9	Remat_DP_Charges	RS 20/- PER CERT, + COURIER CHARGES (exclusive of NSDL charges)	RS 20/- PER CERT, + COURIER CHARGES (exclusive of NSDL charges)	RS 20/- PER CERT, + COURIER CHARGES (exclusive of NSDL charges)
10	Settlement/Transaction_Debbit_NSDL_Charges(Per debit instruction)	RS. 4	RS. 4	RS. 4
11	Settlement/Transaction_Fees_DP_Charges(Per debit instruction)	RS. 4 (exclusive of NSDL charges)	RS. 4 (exclusive of NSDL charges)	4 (exclusive of NSDL charges)
12	Pledge_Creation_NSDL_Charges(Per instruction)	RS. 25	RS. 25	NIL
13	Pledge_Creation_DP_Charges(Per instruction)	Rs.25 (exclusive of NSDL charges)	Rs.25 (exclusive of NSDL charges)	NIL
14	Pledge_Creation_Confirmation(Per instruction)	NIL	NIL	NIL
15	Pledge_Closure(Per instruction)	NIL	NIL	NIL
16	Pledge_Closure_Confirmation(Per instruction)	NIL	NIL	NIL
17	Pledge_Invocation(Per instruction)	NIL	NIL	NIL
18	Margin_Pledge_NSDL_Charges(Per instruction)	Rs.5	Rs.5	NIL
19	Margin_Pledge_DP_Charges(Per instruction)	Rs.5 (exclusive of NSDL charges)	Rs.5 (exclusive of NSDL charges)	NIL
20	NDU_NSDL_Charges	0.01% of the value of securities upon creation of hold subject to a minimum of Rs. 25/-	0.01% of the value of securities upon creation of hold subject to a minimum of Rs. 25/-	NIL
21	NDU_DP_Charges	MINIMUM Rs. 100/- (exclusive of NSDL charges)	MINIMUM Rs. 100/- (exclusive of NSDL charges)	NIL
<b>Notes:</b> 1. In the event of the Client committing a default in the payment of any of the charges within a period of thirty days from the date of demand, without prejudice to the right of the Participant to close the account of the Client, the Participant may charge interest @ not more than 24% p.a. or such other rate as may be specified by NSDL from time to time for the period of such default. 2. AMC will be levied on pro-rate for the first year of opening the account annual AMC shall be levied up- front during the month of April. 3. KK Securities Limited reserve right to revise the rate structure from time to time by giving 30days notice. 4. All the above mentioned changes are exclusive of GST. Additional GST will be applicable as per the prevailing rates.				
<b>CLIENT SIGNATURE-</b>				

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

### **General Clause**

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

### **Beneficial Owner information**

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

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

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

### **Dematerialisation**

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

### **Separate Accounts**

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye Laws/Operating Instructions/Business Rules of the Depositories.

### **Transfer of Securities**

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

### **Statement of account**

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



14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOS and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. 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**

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

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

#### **Liability of the Depository**

21. As per Section 16 of Depositories Act, 1996,
  1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
  2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

#### **Freezing/ Defreezing or accounts**

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.
24. The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing 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:

Dec 2025(17)

## Acknowledgment of Receipt of Rights and Obligations Document:

Date: \_\_\_\_\_ DP ID: IN300468, Client ID \_\_\_\_\_ Trading Code: \_\_\_\_\_

**I/We** have received a copy of the document titled "**Rights and Obligations of Beneficial Owner and Depository Participant (DP)**" as mandated by SEBI and the Depositories (NSDL). **I/We** have read, understood, and agree to abide by the provisions, rules, regulations, bye-laws, and operating instructions mentioned therein, and any modifications or additions thereto, concerning the opening and operation of my/our Demat account with the Depository Participant. **I/We** agree to pay the charges/fees as applicable and communicated to me/us by the DP from time to time.

Name of First Holder

Name of Second Holder

Name of Third Holder

**COMPANY LETTER HEAD**

**EXTRACT OF MINUTES OF THE MEETING OF THE BOARD OF DIRECTORS OF .....**  
**.....HELD ON     /     /                      AT THE REGD. OFFICE .....**  
.....  
.....

**“Resolved That pursuant to the provisions of the Section 292 and Section 372A of the Companies Act, 1956, and subject to other applicable provisions of the said Act, if any as applicable from time to time, Mr. .... Director of the company be and hereby authorised individually and empowered to invest funds of the Company in Equity Share / preference Shares / Debentures (Convertible / Non-convertible) of any Company, Government securities (Central, State and / or Semi Government) any type of units of Mutual funds, (Private, Central, State and / or Semi Government) and other securities issued under the Companies Act, 1956 provided that total amount upto which the funds to be invested as aforesaid shall not exceed the limits provided under the aforesaid Sections till otherwise decided in this regard.**

**FURTHER RESOLVED THAT the aforesaid signatories be and are hereby individually authorised to sell, subscribe and to sign application form(s), forms of Renunciation(s) transfer deed(s), receipt(s) and/or other paper(s)/documents(s) as may be required in the aforesaid matter.**

**FURTHER RESOLVED THAT a trading account of the Company be opened in the CAPITAL MARKET, FUTURES & OPTIONS and CURRENCY segment of NSE and BSE, with M/s KK Securities Ltd., member NSE and BSE under name and style of “ .....”.**

**FURTHER RESOLVED THAT Shri ..... Director of the Company be and is authorised to operate the CAPITAL MARKET, FUTURES & OPTION and CURRENCY segment of NSE and BSE trading account and to do all such act deeds and things as may be necessary of this purpose.**

**RESOLVED THAT the Depository account of the Company be and is hereby opened with DP M/s KK Securities Ltd. (DP ID-IN300468) under the name and style of “ .....”.**

**It is further resolved that Shri ..... Director of the Company be and is authorised to operate depository account and issue all the instructions, to sign all papers and agreement required to open and operate the account from time to time and to deal all other matters with depository participant.**

**FURTHER RESOLVED THAT a copy of this resolution may be forwarded wherever required, under the signature of the Chairman or any one of the aforesaid Signatories.**

**Certified to be true copy**

For \_\_\_\_\_

**CHAIRMAN**

**NOTE : TO BE SIGNED BY AT LEAST TWO DIRECTORS.**

**(On Letter Head)**

**TO,  
KK Securities Limited,  
76-77, Scindia House,  
Janpath, Connaught Place,  
New Delhi – 110001**

**Sub: Updation of following Details: Demat ID: IN300468. Client ID: .....**

**Trading Code: ..... Co. Name: .....**

**ACCOUNT HOLDER PAN: .....**

**Dear Sir/Madam,**

**We/I are/ am providing annual income details as under. Please update the same in your records:**

**INCOME RANGE – NON-INDIVIDUAL:**

BELOW RS. 1 LAC

RS. 1 LAC TO RS. 5 LACS

RS. 5 LACS TO RS. 10 LACS

RS. 10 LACS TO RS. 25 LACS

MORE THAN RS. 25 LACS

BELOW RS. 20 LACS

RS. 20 LACS TO RS. 50 LAC

RS. 50 LACS TO RS. 1 CRORE

MORE THAN RS. 1 CRORE

**Client Sign & Stamp:**