



**Name of Client** \_\_\_\_\_

**Client Code** \_\_\_\_\_ **Client ID** \_\_\_\_\_

**Branch** \_\_\_\_\_

**Client Registration Form - NON INDIVIDUAL**  
(Equity + Demat + Commodity)

**ACCOUNT OPENING KIT - NON INDIVIDUAL INDEX**

Sr. No.	Name of the Document	Brief Significance of the Document	Part	Page No	
				From	To
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI / EXCHANGES / DEPOSITORY</b>					
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and In-Person Verification details and instructions	A	1	3
		B. Document captures the additional information about the constituent relevant to trading and demat account.	A	4	7
2	Tariff Schedule - Equity and Commodity	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	A	8	11
3	Schedule of DP Charges and Option for DIS Booklet	Charges for Depository Services / Demat charges and option for issuance of DIS booklet.	A	12	13
4	Acknowledgement letter	Acknowledgement indicating receipt of documents by client.	A	14	14
5	FATCA/CRS Declaration Form	Account opening form supplement	A	19	20
5	Format of Annexure	Various format of Annexures to be taken from Non-Individuals	A	21	27
6	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	B	1	10
7	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	B	11	13
8	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	B	14	15
9	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	B	16	18
10	Rights and Obligations of DP	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	B	34	35
11	Intimation of Money Laundering	This Documents is to make the client aware of Anti Money Laundering (AML) provisions.	B	36	36
12	Risk Disclosure Document, Rights and Obligations and Do's & Don'ts (Commodities)	Document detailing risks associated with delaing in Commodity Market, Rights and Obligations and Do's & Don'ts for trading on Commodity Exchange for the education of the investor.	B	37	49
13	Investor Charter – Stock Brokers	Annexure-A	B	50	53
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER / DEPOSITORY</b>					
14	Authorization for running account / request letter	Letter of authority / request to Ventura Securities Limited	A	15	15
15	Other Voluntary Consents	Consent for Electronic Contract Note (ECN), undertaking for High Value Transactions in Commodity Market.	A	16	18
16	Rights and Obligations	Additional clauses forming part and parcel of mandatory Rights and Obligations.	B	19	33
17	Power of Attorney	Stamped Power of Attorney			
<b>Name of Stock Broker/ Trading Member VENTURA SECURITIES LIMITED</b>					
<b>Single SEBI Regn. No.</b>		SEBI Registration INZ000194736	<b>Regn. Date</b>	August 21, 2018	
<b>SEBI Regn. No. NSDL</b>		IN-DP-NSDL-257-2006	DP ID - IN303116		
<b>Clearing Member - BSE Currency Segment, BSE &amp; NSE Commodities</b>		ISSL Settlement and Transaction Services Limited			
<b>SEBI Regn. No.</b>		INZ000045432			
<b>Registered Office address</b>		IL&FS House, Raheja Vihar, Chandivali, Andheri (East) Mumbai - 400072 Tel.No. 91-22-42493000 / 42493635 - 3639 Fax: 91-22-28570982			
<b>Registered / Correspondence Office</b>		I-Think Techno Campus, "B" Wing, 8th Floor, Off. Pokhran Road No. 2, Close to Eastern Express Highway, Thane (West) - 400607, Maharashtra, India.			
<b>Phone No.</b>		91-22-6754 7000	91-22-6622 7100	<b>Website :</b> www.ventura1.com	
<b>Compliance officer Name</b>		Mr. D. P. Singh	<b>Tel. No. -</b> 91-22-6754 7000	<b>Email id:</b> compliance@ventura1.com	
<b>CEO Name</b>		Mr. Hemant Majethia	<b>Tel. No. -</b> 91-22-6754 7000	<b>Email id:</b> ceo@ventura1.com	

For any grievance/dispute please contact us at the above address or email id- complaints@ventura1.com and Phone no. 91-22-67547000. In case not satisfied with the response, please contact BSE at dis@bseindia.com and phone no. 91-22-22728517, NSE at ignse@nse.co.in and phone no. 1800 266 0058 / 91-22-26598191, MCX at grievance@mcxindia.com and phone no. 91-22-66494070 / 91-22-67318888 & Option 0, NCDEX at ig@ncdex.com and phone no. 1800 26 62339 / 91-22-66406789

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & registered 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/ Aadhaar Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy/ Aadhaar Card.
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 upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

#### **E. List of people authorized to attest the documents:**

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

#### **F. 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 and IFSC Code of the bank should be submitted.
- H.** Demat master or recent holding statement issued by DP bearing name of the client.
- I. 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/firm/others and their specimen signatures.

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

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

**NOTE: Signatures of all Authorised Signatories must be accompanied with Company's/Firm Rubber Stamp.**



**VENTURA SECURITIES LTD.**
**KNOW YOUR CLIENT (KYC) APPLICATION FORM**

 Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

Please affix your recent passport size photograph and sign across it

**1/34**
**A. IDENTITY DETAILS**

<b>Name of the Applicant</b>											
<b>Date of Incorporation</b>								<b>Place of Incorporation</b>			
D D M M Y Y Y Y											
<b>Date of commencement of business:</b>						D D M M Y Y Y Y					
<b>PAN</b>						<b>Regn. No. (e.g. CIN)</b>					
<b>Status (please tick any one):</b>											
<input type="checkbox"/> Private Limited Co.		<input type="checkbox"/> Public Ltd. Co.		<input type="checkbox"/> Body Corporate		<input type="checkbox"/> Partnership		<input type="checkbox"/> Trust		<input type="checkbox"/> Charities	
<input type="checkbox"/> HUF		<input type="checkbox"/> FI		<input type="checkbox"/> FII		<input type="checkbox"/> NGO's		<input type="checkbox"/> AOP		<input type="checkbox"/> Bank	
<input type="checkbox"/> Government Body		<input type="checkbox"/> Non-Government Organization				<input type="checkbox"/> Defense Establishment		<input type="checkbox"/> BOI			
<input type="checkbox"/> Society		<input type="checkbox"/> LLP		<input type="checkbox"/> Others (please specify) _____							

**B. ADDRESS DETAILS**

<b>Correspondence Address:</b>						<b>Registered Address : (If different from Correspondence):</b>					
<b>City /Town / Village</b>						<b>City /Town / Village</b>					
<b>PIN Code</b>						<b>PIN Code</b>					
<b>State</b>			<b>Country</b>			<b>State</b>			<b>Country</b>		
Specify the proof of address submitted for Correspondence Address:											
<b>Tel. Off.</b>				<b>Tel. Resi.</b>				<b>Fax</b>			
<b>Mobile</b>				<b>Email Id</b>							

**C. OTHER DETAILS**

<b>Name, PAN, residential address and photographs of Promoters/ Partners/Karta/Trustees and whole time directors:</b>						<b>As per Annexure N-2</b>					
<b>DIN of whole time directors:</b>											
<b>Aadhar number of Promoters/Partners/Karta:</b>											

**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.

**2/34**
**Name and Signature of the Authorised Signatory(ies)**

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

**FOR OFFICE USE ONLY**
 Originals verified and Self-Attested documents copies received

 (A) \_\_\_\_\_  
**(Name & Signature of the Authorised Signatory)**

Date \_\_\_\_\_

Seal/Stamp of the intermediary

**FOR OFFICE USE ONLY**

Unique Client Code (UCC) allotted to the Client: \_\_\_\_\_

Name of the intermediary **VENTURA SECURITIES LIMITED** and intermediary ID **P0501**

	<b>Documents verified with Originals</b>	<b>Client Interviewed by</b>	<b>In-Person Verification done by</b>
Name / Details of Branch / Service Center			
Name of the Person			
Designation			
Employee Code, if any			
Date and Place			
Signature			

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

  
 (Signature of the Authorised Signatory)

Date \_\_\_\_\_

Seal/Stamp of **Ventura Securities Limited**



<b>1. Name</b>			
<b>2. Relationship with Applicant</b> <i>(i.e. promoters, whole time directors etc.)</i>			
<b>3 a. PAN</b>	<b>3 b. DIN</b>		
<b>3 c. Aadhaar (UID) Number</b>			
<b>4. Residential Registered Address</b>			
City / Town / Village		PIN	
State		Country	

**PHOTOGRAPH**

Please affix your recent passport size photograph and sign across

<b>1. Name</b>			
<b>2. Relationship with Applicant</b> <i>(i.e. promoters, whole time directors etc.)</i>			
<b>3 a. PAN</b>	<b>3 b. DIN</b>		
<b>3 c. Aadhaar (UID) Number</b>			
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City / Town / Village		PIN	
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<b>4. Residential Registered Address</b>			
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State		Country	

**PHOTOGRAPH**

Please affix your recent passport size photograph and sign across

<b>1. Name</b>			
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<b>3 a. PAN</b>	<b>3 b. DIN</b>		
<b>3 c. Aadhaar (UID) Number</b>			
<b>4. Residential Registered Address</b>			
City / Town / Village		PIN	
State		Country	

**PHOTOGRAPH**

Please affix your recent passport size photograph and sign across

<b>1. Name</b>			
<b>2. Relationship with Applicant</b> <i>(i.e. promoters, whole time directors etc.)</i>			
<b>3 a. PAN</b>	<b>3 b. DIN</b>		
<b>3 c. Aadhaar (UID) Number</b>			
<b>4. Residential Registered Address</b>			
City / Town / Village		PIN	
State		Country	

**PHOTOGRAPH**

Please affix your recent passport size photograph and sign across

  
**Name & Signature of the Authorised Signatory (ies)**

**Date:** \_\_\_\_\_

**PART II - TRADING ACCOUNT RELATED DETAILS**

A. OTHER DETAILS					
<b>Gross Annual Income Details (please specify): Income Range per annum: (Rs. in lacs)</b>					Please affix your recent passport size photograph and sign across
<input type="checkbox"/> Below 1	<input type="checkbox"/> 1 to 5	<input type="checkbox"/> 5 to 10	<input type="checkbox"/> 10 to 25	<input type="checkbox"/> Above 25	
<b>OR</b>					
<b>Net-worth as on date</b>	(Net worth should not be older than 1 year)				
	<b>Rs.</b>				
<b>Occupation</b> (please tick any one and give brief details):	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Service	<input type="checkbox"/> Business	<input type="checkbox"/> Student
	<input type="checkbox"/> Professional	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife	<input type="checkbox"/> Others
<b>Please tick, if applicable:</b>	<input type="checkbox"/> Politically Exposed Person (PEP)		<input type="checkbox"/> Related to a Politically Exposed Person (PEP)		
	<input type="checkbox"/> Not a Politically Exposed Person (PEP)		<input type="checkbox"/> Not Related to a Politically Exposed Person (PEP)		
<b>Any other information :</b>					

B. BANK ACCOUNT(S) DETAILS		Please provide cancelled cheque leaf for MICR & IFSC Code	
<b>Bank Name</b>			
<b>Branch Address</b>			
<b>City/Town/Pincode</b>			
<b>Bank Account No.</b>			
<b>Account Type</b>	Savings/Current/Others-in case of NRE/NRO	Savings/Current/Others - in case of NRE/NRO	
<b>MICR No.</b>			
<b>IFSC Code</b>			


C. DEPOSITORY ACCOUNT(S) DETAILS, IF AVAILABLE		
<b>Depository Participant Name</b>		
<b>Depository Name</b>	NSDL / CDSL	NSDL / CDSL
<b>Beneficiary Name</b>		
<b>DP ID</b>		
<b>Beneficiary ID (BO ID)</b>		

D. TRADING PREFERENCE *Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.					
Exchange/Segment	NSE	BSE	MCX	NCDEX	Date of Consent
Cash	3/34	10/34		N. A.	
F & O	4/34	11/34		N. A.	
Currency Derivatives	5/34	12/34		N. A.	
Mutual Fund	6/34	13/34		N. A.	
Debt Market	7/34	14/34		N. A.	
SLBM	8/34	15/34		N. A.	
Commodity Future & Option	9/34	16/34	17/34	18/34	

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

E. PAST ACTIONS	
Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:	
<b>Please provide your GST No.</b>	

19/34

 **Signature of the Applicant**

**F. INVESTMENT / TRADING EXPERIENCE**
 **No Prior Experience**      \_\_\_\_\_ **Years in Commodities**      \_\_\_\_\_ **Years in other investment related fields**
**G. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS**
**If client is dealing through the sub-broker/authorised person and other stock brokers, provide the following details:**

Sub-broker's Name:			
Registered office address:		BSE SEBI Regn. No.:	
		NSE SEBI Regn. No.:	
		Tel.:	
		Fax:	
		Website :	

**Whether dealing with any other stock broker/sub-broker** (in case dealing with multiple stock brokers/sub-brokers, provide details)

<b>Name of stock broker:</b>		<b>Name of Sub-Broker/AP, if any:</b>	
<b>Client Code:</b>		<b>Exchange:</b>	
<b>Details of disputes/dues pending from/to such stock broker/sub- broker:</b>			

**H. ADDITIONAL DETAILS**

<ul style="list-style-type: none"> <li>Whether you wish to receive physical contract note or Electronic Contract Note (ECN) <i>(please specify)</i>:</li> </ul>	<input type="checkbox"/> <b>Electronic Contract Note</b> <input type="checkbox"/> <b>Physical</b>
<ul style="list-style-type: none"> <li>Specify your Email id, if applicable:</li> </ul>	
Primary email Id :	
Secondary email Id :	
<ul style="list-style-type: none"> <li>Whether you wish to receive Rights &amp; Obligations of stock broker, sub-broker and client as prescribed by SEBI and Stock Exchanges (including additional rights &amp; obligations in case of internet/ wireless technology based trading); Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depositories; Uniform Risk Disclosure Documents (for all segments/ exchanges); and Guidance Note detailing Do's and Don'ts for trading on Stock Exchanges <i>(please specify)</i>;</li> </ul>	<input type="checkbox"/> <b>Physical</b> <input type="checkbox"/> <b>Electronic</b>
<ul style="list-style-type: none"> <li>Whether you wish to avail of the facility of internet trading/ wireless technology <i>(please specify)</i>:</li> </ul>	<input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
<ul style="list-style-type: none"> <li>No. of years of Investment / Trading Experience:</li> </ul>	
<ul style="list-style-type: none"> <li>Any other information:</li> </ul>	

**I. INTRODUCER DETAILS (optional)**

<b>Name of the Introducer</b>	
<b>Status of the Introducer:</b>	<input type="checkbox"/> <b>Sub-broker</b> <input type="checkbox"/> <b>Remisier</b> <input type="checkbox"/> <b>Authorized Person</b> <input type="checkbox"/> <b>Existing Client</b> <input type="checkbox"/> <b>Others, please specify</b> _____
<b>Address and Tel. No. of the Introducer</b>	
<b>Introducer's Signature</b>	①

**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 confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet and all voluntary documents.
- I further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and Guidance Note/Do's & Don'ts. 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 stock broker's designated website: www.ventura1.com.

Place \_\_\_\_\_

20/34

Date \_\_\_\_\_

Signature of the Applicant

**FOR OFFICE USE ONLY**

<b>I wish to open</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>Equity &amp; Commodity Trading &amp; DP</b>	<b>Only Equity Trading</b>	<b>Only DP</b>	<b>Only Commodity Trading</b>

Branch Code	
Scheme Code	
Trading Code	

**ANNEXURE K**
**DP ID - IN303116**
**PART II - DEMAT ACCOUNT OPENING FORM (FOR NON INDIVIDUALS)**

<b>Date</b>	D	D	M	M	Y	Y	Y	Y	<b>Client Id</b> (To be filled by Participant)										
-------------	---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--

We request you to open a depository account in our name as per the following details : (Please fill all the details in **CAPITAL LETTERS only**)

**Details of Account holder (s):**

	NAME	PAN	SMS Alert Facility	
			Yes	No
Sole / First Holder			<input type="checkbox"/>	<input type="checkbox"/>
Second Holder			<input type="checkbox"/>	<input type="checkbox"/>
Third Holder			<input type="checkbox"/>	<input type="checkbox"/>

**Type of Account**

<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	Others (please specify) _____

For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the Karta, Partner(s), Trustee(es), etc. the name & PAN of the HUF, Association of persons (AOP), Partnership Firm, Unregistered Trust etc., should be mentioned below:

Name		PAN													
------	--	-----	--	--	--	--	--	--	--	--	--	--	--	--	--

**Income Details (please specify): Income Range per annum: (Rs. in lacs)**

<input type="checkbox"/> Below 20 Lac	<input type="checkbox"/> 20 to 50 Lac	<input type="checkbox"/> 50 to 1 Crore	<input type="checkbox"/> Above 1 Crore							
<b>Networth as on date</b>	D	D	M	M	Y	Y	Y	Y	<b>Rs.</b>	(*Networth should not be older than 1 year)

**In Case of FIs / Others (as may be applicable)**

RBI Approval Reference No.								
RBI Approval Date	D	D	M	M	Y	Y	Y	Y
SEBI Registration Number (For FIs)								

**Bank Account Details**

<b>Bank Name</b>																										
Branch Address																										
City/Town/Village											Pincode															
State											Country															
Bank Account No.																										
Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others (Please specify)																									
MICR No.																IFSC Code										
Please provide cancelled cheque leaf for MICR & IFSC Code																										

**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)
---	--

### Standing Instructions

We authorise you to receive credits automatically into our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through Demat Debit and Pledge Instruction (DDPI)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
SMS Alert facility : <i>[Mandatory if you are giving Power of Attorney (PoA/DDPI). Ensure that the mobile number is provided in the KYC Application Form]</i>		
Mode of receiving Statement of Account, Rights & Obligations Documents <i>(Tick any one)</i>	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form <i>(Read Note 3 and ensure that email ID is provided in KYC Application Form)</i>	
For Joint accounts, communication to be sent to	<input type="checkbox"/> First holder <input type="checkbox"/> All joint account holders	




### Clearing Member Details (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)	

### 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 the copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

### Authorised Signatories (Enclose a Board Resolution for Authorised Signatories)

Sole / First Holder	Name	Signature(s)
First Signatory		21/34 
Second Signatory		X (BR)
Third Signatory		X (BR)
<b>Other Holder</b>		
<u>Second Holder</u>		1/3 
<u>Third Holder</u>		1/3 

### Mode of Operation for Sole/First Holder (In case of Joint holdings, all the holders must sign)

<input type="checkbox"/>	Any one singly	
<input type="checkbox"/>	Jointly by	
<input type="checkbox"/>	As per resolution	
<input type="checkbox"/>	Others (please specify)	

#### Note :

- In case of additional signatures, separate annexures should be attached to the application form.
- 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.
- For receiving Statement of Account in electronic form:
  - Client must ensure the confidentiality of the password of the email account.
  - Client must promptly inform the Participant if the email address has changes
  - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever is not applicable.

## **BROKERAGE / CHARGES (TARIFF SCHEDULE)**

### **BROKERAGE**

#### **CASH AND FUTURES AND OPTIONS AND CURRENCY DERIVATIVES SEGMENTS**

Type	Percentage	Minimum (paisa per share)	Legs
Trading in Cash (intra day)			Single / Both
Delivery in Cash			All transaction
Futures (intra day)			Single / Both
Futures (other than intra day)			All transaction
	% / Rs. per lot	Minimum (Rs. Per lot / Paisa Per Share)	
Options (intra day)	____% / Rs. _____		Single / Both
Options (except intra day)	____% / Rs. _____		All transaction
Currency Derivative	Rs. _____ per lot		

#### **MUTUAL FUND SEGMENT**

Type	BROKERAGE ON PURCHASE	BROKERAGE ON REDEMPTION
Equity Oriented	0.50% of investment amount subject to maximum of Rs. 1,000/-	Rs. 50/- per transaction
Debt Oriented Plans	0.30% of investment amount subject to maximum of Rs. 1,000/-	
Liquid Plans	Nil	

#### **BROKERAGE FOR ACCOUNT SETTLEMENT OTHER THAN QUARTERLY BASIS :-**

Brokerage will be charged as 2.5% per share on each and every leg of transactions on securities listed in cash segment and on index, stock and currency futures. On options contract listed in futures and options and currency derivative segments brokerage will be charge as 2.5% or Rs. 100 per lot whichever is higher.

#### **OTHER LEVIES AS PREVALENT FROM TIME TO TIME :-**

Other Charges includes:- 1. Goods and Services Tax 2. Stamp Duty 3. Exchange transaction charges 4. SEBI turnover fees 5. Clearing Member charges 6. Securities Transaction Tax (STT) 7. Expiry charges on derivative contracts 8. Delayed payment charges not exceeding 2.5% per month. 9. Cheque return charges in actual as charged by the banks. 10. Demat charges towards pay-in / pay out of securities / margin from VSL's beneficiary account. 11. Amount paid / payable by VSL on account of any penalties / charges levied / leviable on VSL due to default / breach committed by client. Any other statutory levies not specified in this tariff sheet. 12. Document and service charges for trading account opening Rs.150/- 13. Charges for providing research report. 14. Charges for any other services provided / cost incurred by VSL. 15. Any other charges toward customised / specialised services.

**Note :** The brokerage in cash and futures segment (except options) is calculated on a per share basis and rounded of to nearest paisa. Rate of the other levies may vary from time to time. You may contact us to know the prevalent rates of the above levies. Any change in the commercial shall be communicated on your email id registered with us and the same shall also be available in your client login on our website.

Inspection related penalty can not be passed on to clients.

The above terms & conditions are subject to change at the sole discretion of Ventura Securities Ltd. (VSL).

**Signature of the Applicant :** 22/34  \_\_\_\_\_

**Name of the Applicant :** \_\_\_\_\_

## IMPORTANT RULES CUM BROKERAGE / CHARGES (TARIFF SCHEDULE) FOR TRADING IN NSE / BSE

→ **We levy a Software Access Charge: this charge is credited back to the client account ONLY to the extent of the brokerage generated during the opted period. Refund of software access charge is only against the brokerage generated in the account. Early termination of account or closure of account shall result in to complete forfeiture of software access charge. No request for the refund of software access charge except against the brokerage generated shall be entertained. Please find on page 15, the various software access charge plans that we offer. Kindly select the access charge plan chosen by you.**

→ BROKERAGE ON ACCOUNT SETTLEMENT OTHER THAN QUARTERLY BASIS: - Brokerage will be charged as 2.5% per share on each and every leg of transactions on securities listed in cash segment and on index, stock and currency futures. On options contract listed in futures and options and currency derivative segments brokerage will be charge as 2.5% or Rs. 100 per lot whichever is higher.

→ Scrips listed on the BSE and NSE in the cash market and which are available for trading in POINTER are categorized in A-B-C-D groups. Margin applicable is based on the group as under:

Group	A	B	C	D
Exposure (No. of times)	4	3	2	1

→ The scrip list is also available for download through our website and the link is <http://www.ventura1.com/download/scrips.xls> we reserve our right to revise the scrip list without any prior intimation.

→ For trading on the Derivatives Market, the applicable margin is defined as per the NSE SPAN margin file. We reserve the right to levy additional margin.

→ Payment gateway tie-ups are presently available with various banks, for transfer of funds online (pay-in and pay-outs). Your designated bank account will be mapped for pay-in and pay-out.

→ Cheque/Demand Drafts payments are not entertained in the online system of Trading.

→ Payments towards financial obligations in cash segment are required to be made as per the settlement schedule in terms of Rules, Regulations, Bye-laws, circulars of the Stock Exchanges as well as Risk Disclosure document to avoid deactivation of POINTER terminal. However, it is always in your interest that the fund towards your pay-in obligation is transferred to our account on T+1 day. Any delay in fulfillment of financial obligation shall attract levy of delayed payment charges as per policy and procedure as prevalent from time to time.

→ In case of F&O; the shortfall occurred in your account during the day must be paid immediately on demand or before the start of the market on the next trading day, whichever is earlier.

→ The effect of the funds transferred to Ventura from the client's bank account is immediate, and thereby reflects in the client's margin. This enables the client to trade immediately. In case this does not happen due to any connectivity issue, the client needs to contact the branch immediately.

→ In case of a demand for a pay-out before 5 p.m., the funds shall be credited to the client's bank account on the next working day, subject to availability of clear credit balance in the account of the client. The client's bank account will be credited towards funds payout on receipt of payout demand from the client.

→ In the event the client buys shares on T day and sells before receiving delivery in Demat A/c, commonly known in the market parlance as BTST, there is a possibility of auction as the actual delivery of shares may not be received. The costs associated with the auction will be to the client's account.

→ **Minimum Brokerage: Brokerage will be charged as per the Plan selected by the client subject to a minimum brokerage of 2 paise per share for delivery based transactions and 1 paise per share for Intra Day. Brokerage shall not exceed the maximum rates prescribed by the SEBI.**

→ Other Charges includes:- 1. Goods and Services Tax 2. Stamp Duty 3. Exchange transaction charges 4. SEBI turnover fees 5. Clearing Member charges 6. Securities Transaction Tax (STT) 7. Expiry charges on derivative contracts 8. Delayed payment charges not exceeding 2.5% per month. 9. Cheque return charges in actual as charged by the banks. 10. Demat charges towards pay-in / pay out of securities / margin from VSL's beneficiary account. 11. Amount paid / payable by VSL on account of any penalties / charges levied / leviable on VSL due to default / breach committed by client. Any other statutory levies not specified in this tariff sheet. 12. Charges for providing research report. 13. Charges for any other services provided / cost incurred by VSL. 14. Any other charges toward customised / specialised services.

**Note:** Inspection related penalty can not be passed on to clients.

- ➔ On expiry of account, to avoid inconvenience the account will automatically be renewed under the same access charge /brokerage plan until further intimation provided by client.
- ➔ If a client's terminal has been deactivated frequently, he would be placed under the category of 100% margin.
- ➔ I hereby agree to the plan type ticked in the following plan type table.

**PLAN TYPES (Quarterly Settlement)**

PLEASE TICK ONE	ACCESS CHARGES	MOBILE MARKETS	MAXIMUM REFUNDABLE AMOUNT	PERIOD	BROKERAGE		
					Delivery %	Intraday % (for cash & derivatives) charged one leg only	Options
			(Amount Refunded will be to the extent of access charge or brokerage generated; whichever is lower)				
	1000	✗	1000	1 year	0.45	0.05	RS.100 PER LOT
	2000	✗	2000	1 year	0.35	0.04	RS.100 PER LOT
	3500	✗	3500	1 year	0.20	0.03	RS.100 PER LOT
	5000	✗	5000	1 year	0.17	0.025	RS.100 PER LOT
	7500	✗	7500	1 year	0.15	0.02	RS.100 PER LOT
	9999	✓	9999	1 year	0.15	0.02	RS.100 PER LOT
	10000	✓	10000	6 months	0.15	0.015	RS.100 PER LOT
	18000	✓	18000	1 year	0.15	0.015	RS.100 PER LOT
	15000	✓	15000	6 months	0.13	0.0125	RS.100 PER LOT
	25000	✓	25000	1 year	0.13	0.0125	RS.100 PER LOT
	20000	✓	20000	6 months	0.10	0.01	RS.100 PER LOT
	30000	✓	30000	1 year	0.10	0.01	RS.100 PER LOT
	40000	✓	43000	1 year	0.10	0.01	RS.70 PER LOT
	50000	✓	55000	1 year	0.10	0.01	RS.60 PER LOT
	72000	✓	80000	1 year	0.10	0.01	RS.50 PER LOT

**MUTUAL FUND SEGMENT**

Brokerage on redemption (excluding Liquid Funds)	Rs. 50/- per transaction
--	--------------------------

**Currency Derivative Rs. 20/- per lot on single leg of transaction.**

**Note :** The brokerage in cash and futures segment (except options) is calculated on a per share basis and rounded of to nearest paisa. Brokerage shall not be levied more than the maximum permissible limits specified by SEBI/Exchanges. Rate of the other levies may vary from time to time and in accordance with the rules governing securities market. You may contact us to know the prevalent rates of the above levies. Any change in the commercial shall be communicated on your email id registered with us and the same shall also be available in your client login on our website.

The above terms & conditions are subject to change at the sole discretion of Ventura Securities Ltd. (VSL).

Name of the Applicant \_\_\_\_\_

24/34  \_\_\_\_\_  
 Signature of the Applicant

Date \_\_\_\_\_



## IMPORTANT RULES CUM BROKERAGE /CHARGES (TARIFF SCHEDULE) FOR COMMODITY TRADING

- We levy a Software Access Charge; this charge is credited back to the client account ONLY to the extent of the brokerage generated during the opted period. Refund of software access charge is only against the brokerage generated in the account. Early termination of account or closure of account shall result in to complete forfeiture of software access charge. No request for the refund of software access charge except against the brokerage generated shall be entertained. Please find below, the various software access charge plans that we offer. Kindly select the appropriate software access charge suitable to you considering your trading capacities.**
- Margin is payable in the commodity contracts as per exchange norms and our policy and procedure in this regards.
- Payment gateway tie-ups are presently available with various banks, for transfer of funds online (pay-in and pay-outs). Your designated bank account will be mapped for pay-in and pay-out.
- Cheque / Demand Drafts payments are not entertained in the online system of Trading.
- Payments towards financial obligations are required to be made as per the settlement schedule in terms of Rules, Regulations, Bye-laws, circulars of the Exchanges as well as Risk Disclosure document to avoid deactivation of Trading terminal or squaring off of open positions. Any delay in fulfilment of financial obligation shall attract levy of delayed payment charges as per our policy and procedure as prevalent from time to time.
- The shortfall occurred in your account during the day must be paid immediately on demand or before the start of the market on the next trading day, whichever is earlier.
- The effect of the funds transferred to our Bank Account from the client's bank account is immediate, and thereby reflects in the client's margin. This enables the client to trade immediately. In case this does not happen due to any connectivity issue, the client needs to contact the branch immediately.
- In case of a demand for a pay-out before 9.30 a.m., the funds shall be credited to the client's bank account on same day, subject to availability of clear credit balance in the account of the client.
- Other charges includes :- (a) Goods and Service Tax (b) Stamp Duty (c) Exchange transaction charges (d) Commodity Transaction tax (CTT) (e) Delayed payment charges not exceeding 2.5% per month (f) Cheque return charges in actual as charged by the banks, (g) Demat charges (h) Amount paid / payable by us on account of any penalties / charges levied / leviable on us due to default / breach committed by client. Any other statutory levies not specified in this tariff sheet (i) Charges for providing research report (j) Charges for any other services provided / cost incurred by us (k) Any other charges toward customised / specialised services.
- On expiry of plan period, to avoid inconvenience the account will automatically be renewed under the same access charge / brokerage plan and fresh access charges may be called for until further instruction received from the client.
- Client would be under RMS control and position will be reduced as per RMS Desk discretion subject to consideration of margins in the account of the client.
- This commercial plan is applicable only for VSL Direct Clients. The same will be not applicable for remiser / sub-broker or franchisee of VSL.
- The client hereby agrees to the commercial plan type ticked in the following commercial plan type table.

Please Tick one	Yearly Software Access Charges PLAN (Rs.)	Brokerage Slab - Both Side	
		Commodity Futures	Commodity Options
	1000	0.0200% (Rs. 2000 per Crore)	Rs. 100/- PER LOT
	3500	0.0150% (Rs. 1500 per Crore)	Rs. 100/- PER LOT
	5000	0.0100% (Rs. 1000 per Crore)	Rs. 100/- PER LOT
	7500	0.009% (Rs. 900 per Crore)	Rs. 100/- PER LOT
	10000	0.008% (Rs. 800 per Crore)	Rs. 100/- PER LOT
	15000	0.0075% (Rs. 750 per Crore)	Rs. 100/- PER LOT
	20000	0.0070% (Rs. 700 per Crore)	Rs. 100/- PER LOT
	25000	0.0065% (Rs. 650 per Crore)	Rs. 100/- PER LOT
	30000	0.0060% (Rs. 600 per Crore)	Rs. 100/- PER LOT
	40000	0.0055% (Rs. 550 per Crore)	Rs. 100/- PER LOT
	50000	0.0050% (Rs. 500 per Crore)	Rs. 100/- PER LOT
	75000	0.0040% (Rs. 400 per Crore)	Rs. 100/- PER LOT
	100000	0.0030% (Rs. 300 per Crore)	Rs. 100/- PER LOT

The above terms & conditions are subject to change at the sole discretion of Ventura Securities Ltd. (VSL).

Client Name : \_\_\_\_\_

Client Code : \_\_\_\_\_

25/34  \_\_\_\_\_

Signature of the Applicant

Date: \_\_\_\_\_

**Depository Participant ID IN303116**
**Charges for Depository Services**

The Investor will have to choose one of the schemes to pay the charges to VSL for the services offered.

PARTICULARS Please Select any one scheme	SCHEME - A <input type="checkbox"/>	SCHEME - B <input type="checkbox"/>	SCHEME - C <input type="checkbox"/>
	With POA	Without POA	With POA
<b>A) Documentation Charges</b>	Nil	Nil	Nil
<b>B) Refundable Deposit (Non Interest bearing)</b>	Nil	Nil	Rs. 3,000/-
<b>C) Account Maintenance</b>	Nil	Nil	Nil
<b>Payable at the time of opening the Account</b>	Nil	Nil	Rs. 3,000/-
<b>Custody Charges</b>	Nil	Nil	Nil
Dematerialisation Charges (Per Request)	Rs. 200/-	Rs. 200/-	Rs. 200/-
Rematerialisation Charges (Per Request)	Rs. 50/-	Rs. 50/-	Rs. 50/-
<b>Transaction Charges</b>			
With VSL (Buy)	Nil	Nil	Nil
Within VSL (Sell) (Market & Off Market)	Rs. 20/-	Rs. 50/-	Rs. 12/-
Outside VSL (Buy)	Nil	Nil	Nil
Outside VSL (Sell) (Market & Off Market)	Rs.50/- or 0.05% of value whichever is higher	Rs.50/- or 0.05% of value whichever is higher	Rs.50/- or 0.05% of value whichever is higher
Pledge creation	Rs. 50/-	Rs. 50/-	Rs. 50/-
Pledge closure	Nil	Nil	Nil
Pledge invocation	Nil	Nil	Nil

**Notes :-**

- 1) Cheque returned charges will be levied in actual as charged by the banks.
- 2) Interest @ 2 % per month shall be charged, if the bill is not paid by due date.
- 3) In case of Corporate Demat Account: AMC of Rs. 500/- p.a. will be levied by NSDL in addition to VSL charges.
- 4) The above rates are based on the existing NSDL charges and may change from time to time.
- 5) The scheme once selected can be changed only at the end of financial year.
- 6) Refundable deposit will be repaid only on closure of account. No adjustment will be made in the interim.
- 7) Any extra statement would be charged @ Rs. 25/- per statement for one page and thereafter, it would be charged @ Rs. 2/- per page.
- 8) Actual charges levied by NSDL for CAS statement will be charged separately.
- 9) Statutory levies as applicable would be charged extra.

26/34

 Signature of the 1<sup>st</sup> Holder

2/3

 Signature of the 2<sup>nd</sup> Holder

2/3

 Signature of the 3<sup>rd</sup> Holder

### OPTION FOR ISSUANCE OF DIS BOOKLET ALONGWITH ACCOUNT OPENING

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

**Ventura Securities Limited,**

I-Think Techno Campus,  
 "B" Wing, 8th Floor,  
 Off. Pokhran Road No. 2,  
 Close to Eastern Express Highway,  
 Thane (West) - 400607, Maharashtra, India.  
 Tel.: 6754 7000 / 6622 7100

DP ID	I	N	3	0	3	1	1	6
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Name(s) of account holder(s)	Sole/ First holder	
	Second holder	
	Third holder	




**Option for Issue of DIS booklet** (please tick any one)

**Option 1** 

I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.

**Option 2** 

I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/ us within reasonable time on my/ our request at any later date.

	Name(s) of holder(s)	Signature(s) of holder
<b>Sole / First Holder (Mr./Ms.)</b>		27/34 
<b>Second Holder (Mr./Ms.)</b>		3/3 
<b>Third Holder (Mr./Ms.)</b>		3/3 

Place \_\_\_\_\_

Date \_\_\_\_\_

**ACKNOWLEDGEMENT**

Date :- \_\_\_\_\_

Ventura Securities Limited,  
I-Think Techno Campus,  
“B” Wing, 8th Floor, Off. Pokhran Road No. 2,  
Close to Eastern Express Highway,  
Thane (West) - 400607, Maharashtra, India.

Dear Sir,

This has reference to necessary Know Your Client Form containing basic information, additional information and other documents executed by me/us. I/We hereby acknowledge receipt of following documents from you:-

1. Documents containing mandatory Rights & Obligations of stock broker, authorised person and client for trading on BSE/NSE/MCX/NCDEX exchanges (including additional rights & obligations in case of internet / wireless technology based trading).
2. Risk Disclosure Documents.
  - a. For BSE & NSE
  - b. For MCX & NCDEX
3. Document detailing do’s and don’ts for trading on exchange, for the education of the investors.
  - a. For BSE & NSE
  - b. For MCX & NCDEX
4. Policy and Procedures document.
5. Additional Voluntary clauses forming part and parcel of mandatory rights and obligations.
6. Rights & Obligations of beneficial owner and depository participant

I/We state that I/We have read and understood all above documents and these documents are binding upon me/us.

Thanking you,

**Signature of the Applicant** : 28/34 \_\_\_\_\_

**Name of the Applicant** : \_\_\_\_\_

**DP ID** IN303116

**ACKNOWLEDGEMENT**

**Regd. and correspondence Office:** I-Think Techno Campus, “B” Wing, 8th Floor, Off. Pokhran Road No. 2, Close to Eastern Express Highway, Thane (West) - 400607, Maharashtra, India. Tel.: 6754 7000 / 6622 7100 Email ID: dpcare@ventura1.com

Received the application from Mr/Ms \_\_\_\_\_  
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 in all your future correspondence.

**For Ventura Securities Ltd.**

Date: \_\_\_\_\_

**Authorised Signatory**

Date: \_\_\_\_\_

**Ventura Securities Limited,**  
 I-Think Techno Campus,  
 “B” Wing, 8th Floor, Off. Pokhran Road No. 2,  
 Close to Eastern Express Highway,  
 Thane (West) - 400607, Maharashtra, India.

Dear Sir,

**Sub.- Letter of Authority / Request to Ventura Securities Limited**

I/We, the undersigned, have opened the client / constituent account with Ventura Securities Limited (herein referred to as “VENTURA”) for trading / dealing in securities on the Bombay Stock Exchange Limited (BSE) and / or National Stock Exchange of India Limited (NSE) and/or Multi Commodity Exchange of India Limited (MCX) and/or National Commodity and Derivatives Exchange Limited (NCDEX). In respect of my/our dealing / account with you, I/We hereby request / instruct and authorize VENTURA to do the followings:-

1. To accept verbal instructions for placement / modification / cancellation of orders.
2. To maintain a running account instead of settlement of my/our trade related dues and/or delivery of securities or commodities on a bill-to-bill / settlement-to-settlement basis.
3. To retain the securities received by VENTURA on my/our behalf from Exchange(s) on pay-out or otherwise against my/our debit balance/ trade related dues/ exposure/ trading limits/ open interest/ various margins or as per any regulations of BSE and/ or NSE and/ or MCX and/ or NCDEX. Such retaining / holding of securities shall be construed as due compliance of the requirement of exchange(s) and SEBI. Further, VENTURA has the sole discretion and authority (i) to use / Transfer the above securities to the clearing corporation/ clearing member/ exchange(s) for the purpose of early pay-in / margin, Additional Base Capital; (ii) to dispose/ sell the above securities to meet any monetary / other trade related dues/obligation(s) not fulfilled by me/us towards VENTURA/ the exchange(s).
4. To hold payout of funds / credit in my/our account and pay to me/us only to the extent demanded by me/us. To use/ adjust the credit balance available from time to time in my/our account(s) for my/our exposure/ trading limits/ margin requirements / other dues.
5. However, I/We prefer to settle the account on following basis (Please tick in Appropriate Box):-

Quarterly		Monthly	
-----------	--	---------	--

6. To debit/credit/ transfer of amounts, either on same Exchange and / or between various segments of the same exchange and / or between the exchanges across various segment and / or depository / demat charges to meet my/our debit balance or various dues payable to VENTURA / Exchanges in relation to my/our trades.
7. To transfer credit / debit balance from mark to mark to market and/or premium account to margin account and vice versa.
8. All the instructions / requests placed by me/us on VENTURA website by using login and Password shall be always binding upon me/us.
9. I/We hereby agree to receive through telephone calls / SMS on my/our mobile number / email ID as registered by me/us with VENTURA, the messages / communications relating to transactions, PIN, passwords, stock ideas , real time news pertaining to market, updates on stock prices and any other messages (including products and services) as sent by VENTURA from time to time.

Further, I/We reserve my/our right to withdraw the above instructions at any time. In such event, I/We undertake to inform you in writing and such communication shall be addressed to the above address.

Signature of the Applicant : 29/34 \_\_\_\_\_

Name of the Applicant : \_\_\_\_\_

**ANNEXURE-I**

Date : \_\_\_\_\_

To,

**Ventura Securities Ltd.**

I-Think Techno Campus,  
"B" Wing, 8th Floor, Off. Pokhran Road No. 2,  
Close to Eastern Express Highway,  
Thane (West) - 400607, Maharashtra, India.

Dear Sir,

**Subject: My / Our request for trading in commodity forward contracts / commodity derivatives  
on NCDEX and MCX as your client**

1. I / We, the undersigned, have taken cognizance of circular no. NCDEX / TRADING-114 / 2006 / 247 dated September 28, 2006 issued by the National Commodity & Derivatives Exchange Limited (NCDEX) and circular no. MCX / 300 / 2006 dated August 1, 2006 and MCX / 338 / 2006 dated August 21, 2006 issued by the Multi Commodity Exchange of India Limited (MCX) on the guidelines for calculation of net open positions permitted in any commodity and I / we hereby undertake to comply with the same.
2. I / We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by NCDEX or MCX or SEBI and such position limits will be calculated in accordance with the contents of above stated circulars of NCDEX and MCX as modified from time to time.
3. I / We undertake
  - I) to inform you and keep you informed if I / any of our partners / directors / karta / trustee or any of the partnership firms / companies / HUFs / Trusts in which I or any of above such person is a partner / director / karta / trustee, takes or holds any position in any commodity forward contract / commodity derivative on NCDEX or MCX through you or through any other member(s) of NCDEX or MCX,
  - II) to enable you to restrict our position limit as prescribed by the above referred circular of NCDEX and MCX as modified from time to time.
4. I / We confirm that you have agreed to enter orders in commodity forward contracts / commodity derivatives for me / us as your clients on NCDEX or MCX only on the basis of our above assurances and undertaking.

Yours faithfully

**Signature of the Applicant** : 30/34 \_\_\_\_\_

**Name of the Applicant** : \_\_\_\_\_

**ANNEXURE-II**

Date : \_\_\_\_\_

To,

**Ventura Securities Ltd.**

I-Think Techno Campus,  
"B" Wing, 8th Floor, Off. Pokhran Road No. 2,  
Close to Eastern Express Highway,  
Thane (West) - 400607, Maharashtra, India.

Dear Sir/Madam,

**Sub: Undertaking for High Value Transactions in MCX / NCDEX**

Please note that I/We hereby wish to inform you that I/We intend to transact for Rs. 5 lacs or more in a day in MCX / NCDEX Commodities, based on various reasons for which I/We am liable.

I/We hereby inform you that the purpose and intended nature of business relationship is as mentioned below:

Purpose: \_\_\_\_\_

Intended nature of business relationship: \_\_\_\_\_

This undertaking is as per the requirement of the Exchange and SEBI relating to Anti Money Laundering (AML) and Know Your Client (KYC) norms.

Thanking you.

Yours faithfully

**Signature of the Applicant** : 31/34 \_\_\_\_\_**Name of the Applicant** : \_\_\_\_\_

**ELECTRONIC CONTRACT NOTE (ECN) - DECLARATION**

To,  
Ventura Securities Ltd.,  
I-Think Techno Campus,  
“B” Wing, 8th Floor, Off. Pokhran Road No. 2,  
Close to Eastern Express Highway,  
Thane (West) - 400607, Maharashtra, India.

Dear Sir,

I/We, \_\_\_\_\_ a client  
with

member M/s. **VENTURA SECURITIES LIMITED** of **BSE/NSE/MCX/NCDEX** Exchange undertake as follows:

- I/We am/are aware that the Member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself want the same in the electronic form. I/We am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/us.
- My email id is \* \_\_\_\_\_ and/or secondary email ID \_\_\_\_\_.
- I/We am/are aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above email id.
- This authorization has been signed by the me/us only and not by any authorised person on my/our behalf or holder of the Power of Attorney.
- Please note that any change in my/our email-id shall be communicated by me/us through a physical letter to Ventura Securities Ltd. In respect of internet clients, the request for change of email id shall be made through the secured access by way of client specific user id and password provided to me/us.

**Signature of the Applicant : 32/34**  \_\_\_\_\_

Date : \_\_\_\_\_

Place : \_\_\_\_\_



# SELF-CERTIFICATION FOR INDIVIDUAL

Client Code:	
--------------	--

## FATCA/CRS DECLARATION FORM

**Part I- Please fill in the country for each of the following:**

1	Country Of:	
	a) Birth	
	b) Citizenship	
	c) Residence for Tax Purposes	
2	US Person (Yes / No)	


**Part II- Please note:**

	a.	If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to part III for signature.	
	b.	If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country in the table below:	
i)	TIN	Country of Issue	
ii)	TIN	Country of Issue	
iii)	TIN	Country of Issue	

- a. In case any of the parameters in **Part I** indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in **Part IV**.
- b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate.
- c. Please also fill **Part IV** Self-Certification.

**Part III- Customer Declaration (Applicable for all customers)**


- (i) Under penalty of perjury, I/we certify that:
  - 1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**
  - 2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. **(This clause is applicable only if the account holder is a tax resident outside of India)**
- (ii) I/We understand that the Ventura is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The Ventura is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- (iv) I/We agree that as may be required by domestic regulators/tax authorities the Ventura may be required to report, reportable details to CBDT or close or suspend my account.
- (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature :	33/34 
Name :	Date (DD/MM/YYYY) :

**Part IV- Self Certification:**

To be filled only if-

- (a) Name of the country in Part I is other than India TIN or functional equivalent is not available, or
- (b) US person is mentioned as YES in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.	34/34 
---	---

Document Proof submitted (Please tick document being submitted)

<input type="checkbox"/> Passport	<input type="checkbox"/> Election Id	<input type="checkbox"/> PAN Card	<input type="checkbox"/> Driving License	<input type="checkbox"/> Aadhar Card	<input type="checkbox"/> NREGA
<input type="checkbox"/> Job Card	<input type="checkbox"/> Govt. Issued Id Card				

**Notes :**

1. **All communications shall be sent at the address of the Sole/First holder only.**
2. **Thumb impression and signatures other than English or Hindi or any of the other languages 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. **Instructions related to nomination, are as below:**
  - I. The Nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
  - II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
  - III. The nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of attorney holder. A non-resident Indian can be a nominee, subject to the exchange controls in force, from time to time.
  - IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
  - V. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
  - VI. The cancellation of nomination can made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
  - VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
  - VIII. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
  - IX. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
  - X. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
  - XI. Savings bank account details shall only be considered if the account is maintained with the same participant.
  - XII. DP ID and client ID shall be provided where demat details is required to be provided.
4. 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.
5. Strike off whichever is not applicable.
6. In case physical share certificate are to be converted to demat, the same has to be handed over to the branch ONLY alongwith duly filled DRF form.

**For Office Use :**

I verify that the Account opening form is in order.

Name	:
Signature	:
Date	:

	Date	Name	Signature
Checked & Entered in DPM			
Released in DPM			

## ANNEXURE N-1

### DECLARATION FOR HUF (FORMAT TO BE PRINTED ON LETTERHEAD OF HUF)

In the event of an account being opened with Ventura Securities Ltd, we the undersigned, with the intention of binding not only the present members of the family but also all future members thereof, and all persons entitled to a share therein (including ourselves personally and our respective interests), in the joint family properties as well as our separate estates, agree and undertake to give notices to Ventura Securities Ltd in writing,

- Whenever any change occurs in the karta, or
- Of any birth or death of a co-parcener, or
- If at any time, there is a partition (partial or otherwise) of the joint family, or
- If any minor member of the said family attains majority

SR. No.	Name of Co-parcener	Date of Birth (ddmmyyyy)	Relationship	Signature
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				

**Stamped and Signed by Karta**

## ANNEXURE N-2

**(FORMAT TO BE PRINTED ON THE LETTERHEAD OF THE  
CORPORATE / PARTNERSHIP FIRM / TRUST / HUF/FIRM)**

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

We are submitting herein below the names of Whole Time Directors / Two Directors involving in day to day operations / Authorised Signatories / Partners / List of Managing Committee Members. (Strike off whichever is not applicable) :-

Sr. No.	Name	Relationship with Applicant (i.e. promoters, whole time directors etc.)	PAN	Aadhaar No.	Residential/Registered Address	DIN of whole time directors / Aadhaar number of promoters/partners/Karta	Photograph
							<div style="border: 1px solid black; width: 40px; height: 40px; margin: 0 auto;"></div>
							<div style="border: 1px solid black; width: 40px; height: 40px; margin: 0 auto;"></div>
							<div style="border: 1px solid black; width: 40px; height: 40px; margin: 0 auto;"></div>
							<div style="border: 1px solid black; width: 40px; height: 40px; margin: 0 auto;"></div>
							<div style="border: 1px solid black; width: 40px; height: 40px; margin: 0 auto;"></div>

<b>Name &amp; Signature of the Authorised Signatory(ies)</b>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%;"><b>Date</b></td> <td style="width: 5%;">D</td> <td style="width: 5%;">D</td> <td style="width: 5%;">-</td> <td style="width: 5%;">M</td> <td style="width: 5%;">M</td> <td style="width: 5%;">-</td> <td style="width: 5%;">Y</td> <td style="width: 5%;">Y</td> <td style="width: 5%;">Y</td> <td style="width: 5%;">Y</td> </tr> </table>	<b>Date</b>	D	D	-	M	M	-	Y	Y	Y	Y
<b>Date</b>	D	D	-	M	M	-	Y	Y	Y	Y		

**ANNEXURE N-3**  
**SHARE HOLDING PATTERN**

*(FORMAT TO BE PRINTED ON THE LETTERHEAD OF THE COMPANY)*

Date:

To,  
 I-Think Techno Campus,  
 "B" Wing, 8th Floor, Off. Pokhran Road No. 2,  
 Close to Eastern Express Highway,  
 Thane (West) - 400607, Maharashtra, India.

Dear Sir,

**Sub: Shareholding Pattern including list of all those holding control, either directly or indirectly in the company.**

With reference to above, we are submitting herewith latest shareholding pattern of the company. We undertake to submit updated list of shareholders every year.

SR.No.	Names of Shareholders	No. of shares held	Percentage
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

Thanking you,

**Yours faithfully,**

**For** \_\_\_\_\_

**Signature** \_\_\_\_\_

**Name** \_\_\_\_\_

**Designation : Company Secretary / Whole-Time Director / Managing Director**

**Company Seal**

**ANNEXURE N-4 - FOR TRADING ACCOUNT  
DECLARATION TO BE GIVEN BY PARTNERS  
(FORMAT TO BE PRINTED ON LETTER HEAD OF THE PARTNERSHIP FIRM)**

Dated:

To,  
**Ventura Securities Limited,**  
I-Think Techno Campus, "B" Wing, 8th Floor, Off. Pokhran Road No. 2,  
Close to Eastern Express Highway, Thane (West) - 400607, Maharashtra, India.

Dear Sir,  
We refer to the trading account opened with you in the name of \_\_\_\_\_ and declare and authorise you as under. We recognise that a beneficiary account cannot be opened with a depository participant in the name of a Partnership firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorise you to recognize the beneficiary account No. \_\_\_\_\_ with depository \_\_\_\_\_ having DP \_\_\_\_\_ opened as a joint account in the names of the partners of the firm.

We agree that the obligations for shares purchased and / or sold by the firm will be handled and complied through transfers to / from the above mentioned account. We recognise and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Thanking you,  
Yours faithfully,

for \_\_\_\_\_

- 1)
- 2)
- 3)
- 4)

(Signed by all Partners of the Firm with Seal of Firm)

**ANNEXURE N-4A - FOR DEMAT ACCOUNT  
(FORMAT TO BE PRINTED ON LETTER HEAD OF THE PARTNERSHIP FIRM)**

To,  
**Ventura Securities Limited,**  
I-Think Techno Campus, "B" Wing, 8th Floor, Off. Pokhran Road No. 2,  
Close to Eastern Express Highway, Thane (West) - 400607, Maharashtra, India.

Dear Sir,  
1. I/We have submitted an application for opening a single / joint account for opening a Beneficial Owner (BO) account in the category "Individual for holding and carrying out transactions in respect of securities belonging to our firm, since as per the clarification issued by the Department of Company Affairs vide its Circular No. 5/75(8/18/75-CL-V) dated March 31, 1975, Partnership Firm is not capable of being a member within the meaning of section 41 of the Companies Act, 1956.  
2. I/We represent the firm.  
3. In consideration of you having agreed to accept the Permanent Account Number (PAN) issued by the Income Tax Department (ITD) to the firm along with our-individual identity documents. I/We acknowledge and undertake as under:-  
a) The acceptance of the PAN number of our firm does not amount to you having taken notice of trust or recognize our firm  
b) I/We shall continue to be responsible for complying with the relevant provisions of the Companies Act, 1956 and the Rules made thereunder and other applicable Laws failing which I/We shall be responsible for the consequences thereof.

Yours faithfully,

**Signature : (with Firm seal)**

**Signature : (with Firm seal)**

**Signature : (with Firm seal)**

**Name of the Partner**

**Name of the Partner**

**Name of the Partner**

## ANNEXURE N-5

### AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER/(S) (FORMAT TO BE PRINTED ON LETTER HEAD OF THE PARTNERSHIP FIRM)

We the partners of M/s. \_\_\_\_\_

a partnership firm, having its office situated at \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ hereby authorize

Mr./Mrs. \_\_\_\_\_ and Mr./Mrs. \_\_\_\_\_ to open a securities trading account in Capital Market segment, F&O segment, Retail Debt Market and Commodity Derivative and Options Segment on behalf of the firm M/s. \_\_\_\_\_ with the Trading Member **M/s. Ventura Securities Limited**, for sale and purchase of shares/debentures/derivative instruments in Capital market segment (CM) and or Futures and Options segment (F&O) and/ or Retail Debt Market segments (RDM) or any other segment that may be introduced by NSE / BSE / MCX / NCDEX in future. He/She/ They is/are authorized on behalf of the firm to deal in equities, F&O, debentures, debt products, Commodity Derivative Segment and Options Segment and the said Trading Member is hereby authorized to honor all instructions oral or written, given on behalf of the firm by him/her/them.

Mr./Mrs. \_\_\_\_\_ and/or Mr./Mrs. \_\_\_\_\_

is/are authorized to sell, purchase, transfer, endorse, negotiate documents and / or / otherwise deal through **Ventura Securities Limited**, on behalf of the firm M/s. \_\_\_\_\_. He / She / They is / are also authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

However any partner / authorized signatory (ies) can issue cheques from bank account(s) of the firm in favour of **Ventura Securities Limited**, for credit to Share Trading account of the firm M/s. \_\_\_\_\_, even though his/ their signatures may not be available on the records of **Ventura Securities Limited**.

Yours faithfully,

for \_\_\_\_\_

- 1)
- 2)
- 3)
- 4)

(Signed by all Partners of the Firm with seal if firm)

## ANNEXURE N - 6 – FOR TRADING ACCOUNT

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF M/S. \_\_\_\_\_  
 \_\_\_\_\_ AND HAVING ITS REGISTERED OFFICE AT \_\_\_\_\_ HELD ON \_\_\_\_\_ DAY OF  
 \_\_\_\_\_ 2016 AT \_\_\_\_\_ P.M.

RESOLVED THAT the Company be registered as CLIENT with VENTURA SECURITIES LIMITED Member of The Stock Exchange, Mumbai (BSE), The National Stock Exchange of India Ltd. (NSE) , National Commodity & Derivatives Exchange (NCDEX) and Multi Commodity Exchange of India Limited (MCX) for the purpose of dealing in all types of securities listed on NSE / BSE / MCX/ NCDEX include Equities, Derivatives, Debentures, Debt products, commodities and the said Member be and is hereby authorized to honour instructions oral or written, given on behalf of the Company by any one of the undernoted authorised signatories :-

Sr. No.	Name	Designation
1		
2		

who are authorised to sell, purchase, transfer, endorse, negotiate and / or otherwise deal through VENTURA SECURITIES LIMITED., on behalf of the Company.

RESOLVED FURTHER THAT Mr. \_\_\_\_\_ and / or Mr. \_\_\_\_\_ Directors of the Company be and are hereby authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution singly.

AND RESOLVED FURTHER THAT, -the Common Seal of the Company be affixed, wherever necessary, in the presence of any Directors or of anyone director and Company Secretary, who shall sign the same in token of their presence.”

For

Director

Specimen Signatures of the Director / Authorised Persons

Sr. No.	Name	Designation	Signature
1			
2			

The above signatures to be attested by the person signing the resolution for account opening on behalf of the Company.



**ANNEXURE N-6-A**  
**BOARD RESOLUTION - For DEMAT ACCOUNT**  
*(FORMAT TO BE PRINTED ON LETTER HEAD OF THE COMPANY)*

Certified true copy of the Board Resolution of the Board of Directors of \_\_\_\_\_ passed at a meeting of the Board held on \_\_\_\_\_ at the Registered Office of the Company at \_\_\_\_\_ and duly recorded in the minute book of the Company.

"Resolved that a Beneficiary / Clearing Member Account for the Company opened with Ventura Securities Limited in the name and style of \_\_\_\_\_ for dealing in the Depository/Electronic segment and investments in the various Stock Exchanges and that \_\_\_\_\_ be hereby authorised to negotiate and finalise the terms and conditions for opening of the account and completing the formalities.

Further resolved that \_\_\_\_\_ be individually / jointly be and is/are authorised to operate the account on behalf of the Company.

Further resolved that a certified copy of the said resolution be communicated to Ventura Securities Limited by the Chairman of the Meeting.

For \_\_\_\_\_ Ltd.  
Chairman / Company Secretary

**For Office Use :**

I verify that the Account opening form is in order.

Name	:
Signature	:
Date	:

	Date	Name	Signature
Checked & Entered in DPM			
Released in DPM			







**VENTURA SECURITIES LTD.**

I-Think Techno Campus, "B" Wing, 8th Floor, Off. Pokhran Road No. 2,  
Close to Eastern Express Highway, Thane (West) - 400607, Maharashtra, India.

**Tel.:** 91-22-6754 7000 / 6622 7100

**Website :** [www.ventura1.com](http://www.ventura1.com)