

Know Your Client (KYC) Application Form (For Individuals Only) Please fill the form in ENGLISH and in BLOCK letters Fields marked * are mandatory Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also	 CDSL VENTURES LIMITEDExploring New Horizons	Intermediary Logo
Application Number: _____ Application Type*: ☐ New KYC ☐ Modification KYC		
KYC Mode*: Please Tick (✓) ☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline EKYC ☐ Digilocker		
1. Identity Details (please refer guidelines overleaf)		
PAN* _____ Please enclose a duly attested copy of your PAN Card Name* (same as ID proof) _____ Maiden Name+ (if any) _____ Fathers/Spouse's Name* _____ Date of Birth* _____ Gender* ☐ Male ☐ Female ☐ Transgender Marital Status* ☐ Single ☐ Married Nationality* ☐ Indian ☐ Other _____ Residential Status* ☐ Resident Individual ☐ Non Resident Indian Please Tick (✓) ☐ Foreign National ☐ Person of Indian Origin+ (Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the individual) Recent passport size Applicant Photo Cross Signature across photograph		
Proof of Identity (POI) submitted for PAN exempted cases (Please tick) ☐ A — Aadhaar Card XXXX XXXX ____ (Expiry Date) _____ ☐ B — Passport Number _____ (Expiry Date) _____ ☐ C — Voter ID Card _____ (Expiry Date) _____ ☐ D — Driving License _____ ☐ E — NREGA Job Card _____ ☐ F — NPR _____ ☐ Z — Others _____ (any document notified by Central Government) Identification Number _____		
2. Address Details* (please refer guidelines overleaf)		
A. Correspondence/ Local Address* Line 1* _____ Line 2 _____ Line3 _____ City/Town/Village* _____ District* _____ Pin Code* _____ State* _____ Country* _____ Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified		
		Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1*

Line 2

Line 3

City/

Town/Village*

District*

Pin Code*

State*

Country*

Address Type*

☐

Residential/Business

☐

Residential

☐

Business

☐

Registered Office

☐

Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

☐ A — Aadhaar Card	XXXX XXXX _ _ _ _ _	
☐ B — Passport Number		(Expiry Date) _____
☐ C — Voter ID Card		
☐ D — Driving License		(Expiry Date) _____
☐ E — NREGA Job Card		
☐ F — NPR Letter		
☐ Z — Others		(any document notified by Central Government)
Identification Number		

3. Contact Details (in CAPITAL)

Email ID*

Mobile No. *

Tel (off)

Tel (Res)

4. Applicant Declaration

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

DATE: _____ (DD-MM-YYYY)

PLACE: _____

Applicant e-SIGN

Applicant Wet Signature

5. For Office Use Only

In-Person Verification (IPV) carried out by*

Intermediary Details*

IPV Date

Emp. Name

Emp. Code

Emp. Designation

☐ Self certified document copies received (OVD)☐ True Copies of documents received (Attested)

AMC / Intermediary Name :

Employee Signature and Stamp

Institution Name and Stamp



Reactivation of Trading Account Undertaking

Date: _____

To,
B D SHAH SECURITIES LTD
102/B CHARMEE ENCLAVE,
OPP. SERVICE ROAD,
VILE PARLE (E) Mumbai- 400 057.

Sir,

I/we _____ am having trading account
with Unique Client Code _____ allotted to me/us.

I herewith request you to activate my account, which was deactivated due no
trade since more than 1 year/ (in case of any other reason) _____

I herewith enclose the KYC documents, self-certified copy of my PAN Card and
_____ as address proof.

Kindly activate my account at the earliest.

Yours Faithfully,

 _____

Name : _____

UCC : _____

**B. D. SHAH SECURITIES LTD.**

Depository Participant of Central Depository (I) Ltd.
 102/B, Charmee Enclave, Off Shraddhanand Road, Vile Parle-E, Mumbai-400 057.
 Ph. No: 022 26101817/26108942 Fax-26125385



CDSL
YOUR
Depository

Depository Participant ID: 12021700 SEBI REG NO.: IN-DP-148-2015

ACCOUNT DETAILS ADDITION / MODIFICATION / DELETION REQUEST FORM**Date:**

			-				-												
--	--	--	---	--	--	--	---	--	--	--	--	--	--	--	--	--	--	--	--

DP ID	1	2	0	2	1	7	0	0	Client ID										
--------------	---	---	---	---	---	---	---	---	------------------	--	--	--	--	--	--	--	--	--	--

Account Holder's Details

Name of the First/Sole Holder	
Name of the Second Holder	
Name of the Third Holder	

I/We request you to make the following Additions/Modification/Deletions to my /our Demat as well as my Trading Client Code:

--

☐ I/We request to carry out the change of correspondence/permanent address / signature in the demat account

☐ I/We request to carry out the change of address / signature in the KRA and demat account

DETAILS (Please specify change of correspondence /permanent address, bank details, telephone number, sub-status etc)	Addition / Modification / Deletion (Please specify)	Existing Details	New Details
☐ Address (Need Fresh KRA Form) ☐ Bank Details : ☐ DP Details : ☐ Income Details as on Date : Provided Details of the Person whose Mobile Number / Email Id is Shown. ☐ Mobile Number : ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children ☐ Authorised Person (Only for Non Individual) Name of Person : _____ _____ ☐ Email: ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children ☐ Authorised Person (Only for Non Individual) Name of Person : _____ _____ ☐ Others :	☐ Addition ☐ Modification ☐ Deletion -----/-----/-----		

(Attach an Annexure (With signature(s) if the space above is found insufficient)

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

C. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	Segments	Signature
	All Segments	☐
NSE, BSE, MSEI	Cash / Mutual Fund	☐
	F&O	☐
	Currency	☐
	Debt	☐
MCX, NCDEX, BSE & NSE	Commodity Derivatives	☐

If you do not wish to trade in any of segments / Mutual Fund, please mention here

_____.

FATCA Annexure for Individual Accounts (Mandatory)
Details under FATCA and CRS (see instructions)

BOID : _____ **UCC CODE :** _____ **DATE** _____

	1st Holder	2nd Holder	3rd Holder
1.NAME			
2.PAN			
3.Occupation Type			
4.Nationality			
5.City of birth			
6.Country of birth			

7. Tax residence declaration - Tick anyone, as applicable to you:

☐ I / We am / are tax resident of India and not resident of any other country

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

Country			
Tax Identification Number			
Identification Type (TIN or Other (please specify))			

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

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

Certification

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

Signature			
Name			

FATCA Terms and Conditions

Details under FATCA-CRS/Foreign Tax Laws: Towards compliance with tax information sharing laws, such * as FATCA and CRS, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, 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. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

Letter of Authority / Operations / Noting:

These additional clause(s)/ documentation(s) are voluntary and at the discretion of the Stock Broker/ Trading Member and the Client. The same are required in order to ensure smooth conduct of nosiness operations between the Stock Broker/ Trading Member and the Client. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document. Any such clause introduced shall stand null and void if they dilute the responsibility of the stock broker or is in conflict with any of the clauses in the mandatory documents, Rules, Bye-laws, Regulations, Notices, Guidelines and Circulars issued by SEBI and the stock exchanges from time to time.

To,

B D Shah Securities Limited

Mumbai

Noting:

1. I/we am/are aware and have noted that you trade in your OWN/ PRO account
2. I/we have noted and are aware that you do not deal in cash, and all payment mate to you or received from you would be in the form of electronic funds transfer or account payee cheques to and from your account
3. I/we have also noted your website <https://www.bdshah.in> and the same contains, inter alia
 - a. Investor grievance email ID
 - b. Various policies including Policy for dealings with clients, PMLA Policy, Policy for dormant accounts, Risk Management Policy and other policies and procedures of your organization relevant to us
 - c. Literature on Anti Money Laundering requirements
 - d. Relevant contact details of SEBI and the Exchanges of which you are members
 - e. Other information that a trading member is required to furnish to his clients

Operations:

1. In the course of business, I/we may deal in various segments/ sub-segments of various exchanges that you are members for which you may keep separate accounts/ledgers. We authorize you to adjust the debit/ credits in my account across such segments/ exchanges subject to any restrictions that may be imposed by Exchanges/SEBI from time to time
2. My/our dues for demat bills with your DP may be recovered to my trading account subject to any restrictions that may be imposed by Exchanges/ SEBI from time to time
3. I/we am/are desirous of maintaining our account as a running account subject to terms and conditions as imposed by SEBI vide circular No. MIRSD/SE/Cir-19/2009 dated December 3, 2009 (modified by circular SEBI/ MIRSD /Cir/ 01/ 2011 dated May 13, 2011) as amended and other restrictions placed by the Exchanges from time to time. I/we understand and are aware that we can revoke this running account authorization at any time.
4. I we request you to settle my funds and securities account on ☐ monthly / ☐ quarterly basis
5. I/we hereby consent to receive digitally signed electronic communication including but not restricted to contract notes, statements of funds/ securities, margin positions, etc. via email on our email ID as per your records as provided under the Information Technology Act, 2000 as amended from time to time

Authorization:

1. I/we have no objection to Mr. / Ms. / M/s _____ placing / modifying / cancelling order on my/our behalf and receiving any communication or doing any transaction with B D Shah Securities Limited on my/our behalf.

Signature:

Client Name: _____

Client Code: _____



B D SHAH SECURITIES LIMITED

Annexure A

Most Important Terms and Conditions (MITC) (For non-custodial settled trading accounts)

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

Client Name:

Client Code:



B D SHAH SECURITIES LIMITED

Facility of Freezing Account

Kindly note that as per SEBI Circular SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated JANUARY 12, to clients you can now opt to freeze / block the Online access to your trading Account by either sending a request email from your registered Email Id on stoptrade@bdshah.com or by way of message from your registered mobile number on 9322235659.

A. Timelines to freeze / block the client account:

The online access of the trading account given to client will be frozen /blocked as also will cancel all the pending orders of the said client. The timelines for freezing/ blocking of the online access of the clients' trading account is as under:

Scenario	Timelines for issuing acknowledgement as well as freezing blocking of the online access of the trading account
Request received during the trading hours and within 15 minutes before the start of trading	Within 15 mins
Request received after the trading hours and 15 minutes before the start of trading	Before the start of next trading session

B. Trading hours will be as follows:

Segment	Start Time	End Time
Capital Market	9:15 am	3:30 pm
Equity Derivatives	9:15 am	3:30 pm
Commodities Derivatives	9:39 am	11:30 pm

The time limit of 15 minutes is being specified for the purpose of issuing acknowledgement as well as freezing/blocking of the online access of the trading account. The trading hours and the time limit may change depending upon the change in market timing.

You can avail the policy regarding the same by visiting the following link:

https://www.bdshah.in/_files/ugd/8409c4_087ff99087ce4b2e9d80f70a44092c5a.pdf

I / we acknowledge the receipt of the above Facility of Freezing Account and Policy regarding the same:

Client Name:

Client Code: