



Your Knowledge Edge

REGISTRATION KIT (NON-INDIVIDUAL)

INDEX OF DOCUMENTS			
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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES / DEPOSITORIES			
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5.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange (s) & Schedule of charges for demat account.	15 - 16
6.	Rights & Obligations of Beneficial Owner & Depository Participant Investor charter	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories, Investor Charter by Depository Participant.	A1 - A8
7.	Rights & Obligations Of Stock Brokers, AP & Clients, Risk Disclosure Document , Guidance Note., Investor charter	Document stating the Rights & Obligations of stock broker / trading member, AP and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading), Uniform risk disclosure document, Guidance Note detailing Do's & Don't for trading on exchanges., Investor charter by Stock Broker.	A9 - A26
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER / DEPOSITORY PARTICIPANT			
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10.	Authorisation for issue of Contract Notes, Margin Analysis Report, Statement of Funds & other documents in digitally signed electronic mode.	By signing this document the client is agreeing to receive Contract Notes, Daily Margin Analysis Report, Statement of Funds and other documents in Digitally signed Electronic mode over e-mail id as provided in KYC form.	19 - 19
Name of Stock Broker/Trading Member/ Clearing Member/ Depository Participant		KREDENT TRADING LLP (LLPIN-AAE-2944)	
SEBI Registration No. & Date		INZ000014332 DT-18/03/2021	NSE / BSE / MSEI / MCX / NCDEX
		IN-DP-528-2020 DT-19/03/2021	NSDL
Registered Office Address :		Passport Office Building, 4, Brabourne Road, 4 th Floor, Kolkata - 700001, Ph: +91- 033 4000 2300, Website: www.kredenttrading.com	
Compliance Officer Name, Phone No. & Email Id:		Anirban Neogi Ph : +91-033 4000 2300, E-mail - compliance@kredenttrading.com	
CEO Name, Phone No. & Email Id:		Mr. Bipin Kumar Bajaj, Phone : 033 4000 2300, Email: bipin@kredent.com	
For any grievance/dispute please contact Kredent Trading LLP at the above address or investor grievance email id- ig@kredenttrading.com and Phone No - 033 - 4000 2300. In case not satisfied with response, please contact the concerned exchanges at:			
Exchange		Email	Phone No.
NSE		ignse@nse.co.in	1800220058
BSE		is@bseindia.com	(022) 2272 8097
MSEI		investorcomplaints@msei.in	(022) 6112 9000 (Extn: 9028)
MCX		grievance@mcxindia.com	(022) 6649 4070
NCDEX		ig@ncdex.com	(022) 6640 6789
NSDL		relations@nsdl.co.in	(022) 2499 4200
You can also lodge your grievances with SEBI at http://scores.gov.in . For any queries, feedback or assistance Please contact SEBI office on toll free help line at 1800227575 / 18002667575.			
Filing compliant on SCORES – Easy & quick: (a) Register on SCORES portal (b) Mandatory details for filing complaints on SCORES i). Name, PAN, Address, Mobile Number, E-mail ID (c). Benefits: i) Effective Communication, ii) Speedy redressal of the grievances			

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 authorised 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 authorised for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign national (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 for the director, their passport copy should be given.
9. In case of Merchant Navy NRIs, 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 Card) (Aadhaar Card)/Passport/Voter ID card/Driving license.
2. PAN card with photograph.
3. Identity card/document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members and Credit cards/Debit cards issued by Banks.

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

1. Passport/Voters Identity Card/Ration Card/Aadhaar Card/Registered Lease or sale Agreement of Residence / Driving License/Flat Maintenance bill/Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill-Not more than 3 months old.
3. Bank Account Statement/Passbook- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following Bank Managers of Scheduled Commercial Banks/Scheduled Co-operative Bank/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 apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/ multilateral agencies exempt from paying Taxes/ filling 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 authorised 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, authorised 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 to be obtained from non-individuals over & above the POI & POA, as mentioned below.

Types of entity	Documentary requirements
Corporate	• Copy of the balance sheets for the last 2 (Two) financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary / Whole Time Director / MD (to be submitted) every year). • Photograph, POI, POA, PAN and DIN numbers of Whole time Directors/two Directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly. • Copies of the Memorandum and Articles of Association and Certificate of Incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership firm	• Copy of the Balance sheets for the last 2 (two) financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only) • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	• Copy of the balance sheets for the last 2(Two) financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
Foreign Institutional Investors (FII)	• Copy of SEBI Registration certificate. • Authorised signatories list with specimen signatures.

HUF	- PAN of HUF. - Deed of declaration of HUF/List of coparceners. - Bank Pass-Book/Bank statement In the name of HUF. - Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	- Proof of Existence/Constitution document. - Resolution of the managing body & Power of Attorney granted to transact business on Its behalf. - Authorised signatory list with specimen signatures.
Banks / Institutional Investors	- Copy of the constitution/registration or annual report / balance sheet for the last 2(two) financial years. - Authorised signatories list with specimen signatures.
Army/Government Bodies	- Self-certification on letterhead. - Authorised signatories list with specimen signatures.
Registered Society	- Copy of Registration Certificate under Societies Registration Act. - List of Managing Committee members. - Committee resolution for persons authorised to act as authorised signatories with specimen signatures. - True copy of Society Rules and Bye laws certified by the Chairman/ Secretary.

INSTRUCTIONS / CHECK LIST

- The Account opening form should be filled in BLACK / BLUE INK and CAPITAL LETTERS ONLY and do have Client Signatures at  places Marked in Grey color.
- All proofs, photographs and signature on the form should be clearly visible.
- White ink is not allowed on form. In case of any correction in the form, sign next to the correction done and Signature Should match the original signature.
- Copy of cancelled cheque leaf/pass book/bank statement specifying name of the constituent, MICR Code and/or IFSC Code of the bank should be submitted.
- Demat Client Master or recent holding statement issued by DP bearing name of the client.
- Additional documents in case of trading in derivatives segments-illustrative* list:

Copy of ITR Acknowledgement	Copy of Annual Account
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 client, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

7. For Individual :

- Stock broker has an option of doing 'IN-person' verification through Web camera at the branch office of the stock broker/sub-broker's office.
- In case of non-resident client, employees at the stock broker's local office, overseas can do 'In person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non- resident client by the stock broker's staff attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy/ Consulate General in the country where the client resides may be permitted.

8. For Non - Individual :

- form need to be initialized by all the Authorised Signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorised to deal in securities on behalf of company/firm/others and their specimen signatures.

Know Your Customer (KYC) Application Form

Non - Individual

DP ID :- IN304375

Client ID :-

UCC :-



(1/14)

Please fill this form in ENGLISH and in BLOCK LETTER.

PHOTOGRAPH

Please affix the recent passport size photograph of Authorised Signatory & sign across it (Size 3.5 cm x 2.5 cm)

A) IDENTITY DETAILS

1.	Name of the Applicant	
2.	Date of Incorporation	DD-MM-YYYY
	Place of Incorporation	
3.	Date of Commencement of Business	DD-MM-YYYY
4.	a. PAN	
	b. Registration No. (e.g. CIN)	
5.	Status (Please tick any one)	☐ Private Ltd. Co. ☐ FI ☐ HUF ☐ Partnership ☐ Government Body ☐ Trust/Charities/NGO's ☐ Public Ltd. Co. ☐ FII ☐ LLP ☐ Society ☐ Body of Individuals ☐ Defense Establishment ☐ Body Corporate ☐ AOP ☐ Bank ☐ Others (please specify)

B) ADDRESS DETAILS

1.	Correspondence Address :	
	City/Town/Village :	Pin Code : State : Country :
2.	Contact Details:	
	Tel. (Off/Res) :	Fax : Mobile :
	E-mail Id :	
3.	Specify the proof of address submitted for correspondence address :	
4.	Registered Address (if different from above.) :	
	City/Town/Village :	Pin Code : State : Country :
3.	Specify the proof of address submitted for registered address :	

C) OTHERS DETAILS

1.	Name, PAN, Residential Address and Photographs of Promoters / Partners / Karta / Trustees / Whole time directors and Authorised Signatory.	As per Annexure
2.	a. DIN of whole time directors b. Aadhar Number of Promoters/Partners/Karta	

D) DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any change 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 give consent to download my KRA from KRA portal.



(2/14)

Signature of the Authorised Signatory(ies)

Date : DD-MM-YYYY

FOR OFFICE USE ONLY

☐ Originals verified and Self-Attested document copies received		
Name of the Authorised Signatory		
Date DD-MM-YYYY	For Kredent Trading LLP.	
Place : Kolkata		
Signature of the Authorised Signatory		

Details of Promoters/Partners/Karta/Trustees/Whole Time Directors and Authorised Signatory forming a part of Know Your Client (KYC) Application Form for Non-Individuals						
Name of Applicant				PAN of the Applicant		
Sr. No.	PAN	NAME	DIN (For Directors)/Aadhar Number (For Others)	Residential/Registered Address	Relationship with Application (i.e. promoters, partners, Karta, whole time director Authorised Signatory etc.	Photograph
1.						
2.						
3.						
4.						
 (3/14)						
Date :						
Signature of the Authorised Signatory(ies)						

ADDITIONAL DETAILS :-

I / We request you to open a Demat / Trading account in my/ our name as per the following details:

A) DETAILS OF ACCOUNT HOLDER(S) :- (For Demat Account Only)

Account Holder(s)	Sole / First Holder	Second Holder	Third Holder
Name			
PAN			
UID (Aadhaar)			

B) BANK DETAILS
Default Bank (Through which payout transactions would generally be routed)

1. Bank Account type	☐ Savings ☐ Current ☐ NRI/NRE/NRO ☐ Others (Please specify) _____		
2. Bank Account No.			
3. Bank Name			
4. Bank Address			
	PIN Code		
5. MICR Code		6. IFSC Code	
Proof of Bank Submitted	☐ Bank Statement ☐ Cancelled Cheque (with client Name and A/c No. printed) ☐ Bank Passbook ☐ Bank Verification Letter (Original)		

Additional Bank

1. Bank Account type	☐ Savings ☐ Current ☐ NRI/NRE/NRO ☐ Others (Please specify) _____		
2. Bank Account No.			
3. Bank Name			
4. Bank Address			
	PIN Code		
5. MICR Code		6. IFSC Code	
Proof of Bank Submitted	☐ Bank Statement ☐ Cancelled Cheque (with client Name and A/c No. printed) ☐ Bank Passbook ☐ Bank Verification Letter (Original)		

C) DEPOSITORY ACCOUNT(S) DETAILS

Depository Name	DP Name	DP ID	Beneficiary Name	Beneficiary ID (BO ID)
NSDL	Kredent Trading LLP	IN304375		

D) OTHERS DETAILS (please tick any one)

1. Gross Annual Income Details	☐ Below 1 Lac ☐ 1 - 5 Lac ☐ 5 - 10 Lac ☐ 10 - 25 Lac ☐ 25 - 1 Crore ☐ More than 1 Crore		
Networth	Amount (₹) _____ As on (Date) (Networth should not be older than 1 Year)		
2. Type of Account (Please tick as Applicable)(For Demat A/c only)	☐ Body Corporate ☐ FI ☐ FII ☐ Qualified Foreign Investor ☐ Mutual Fund ☐ Trust ☐ Bank ☐ CM ☐ HUF ☐ Others (Please Specify) _____		
3. Please tick, if Applicable for any of your Authorised Signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors : (If PEP/RPEP ticked than please provide details in separate sheet.)	☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (RPEP) ☐ None		

E) For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the DP account is opened in the name of the natural persons, the name & PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:

a) Name		b) PAN	
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F) IN CASE OF FIIs/OTHERS (as may be applicable)

RBI Approval Reference Number		Date :	
SEBI Registration Number (for FIIs)		Date :	

G) FAMILY DECLARATION FOR SAME MOBILE NUMBER / EMAIL ID					
		First Holder	Second Holder	Third Holder	
Mobile Number Declaration		I hereby declare that the Mobile Number as per KYC belongs to ☐ Self OR ☐ Family (tick relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents	I hereby declare that the Mobile Number as per KYC belongs to ☐ Self OR ☐ Family (tick relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents	I hereby declare that the Mobile Number as per KYC belongs to ☐ Self OR ☐ Family (tick relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents	
Email ID Declaration		I hereby declare that the Email ID as per KYC belongs to ☐ Self OR ☐ Family (tick relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents	I hereby declare that the Email ID as per KYC belongs to ☐ Self OR ☐ Family (tick relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents	I hereby declare that the Email ID as per KYC belongs to ☐ Self OR ☐ Family (tick relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents	
H) OPTION FOR ISSUE OF DIS BOOKLET (Please tick any one)					
(To be filled by persons seeking to open a depository account who have given Power of Attorney / Demat Debit Pledge Instruction (DDPI) to operate the depository account to a stock Broker/Participant/Portfolio Manager and do not intend to open a Basic Services Demat Account)		☐ I/We do not wish to receive the Delivery Instruction Slip (DIS) booklet with account opening. However, the DIS booklet should be issued to me/us on my/our request at any later date. ☐ I/We wish to receive the Delivery Instruction slip (DIS) booklet with account opening.			
I) STANDING INSTRUCTION				Yes	No
1. I/We authorise you to receive credits automatically into my/our DP account.				☐	☐
2. Account to be operated through Power of Attorney (POA) / Demat Debit Pledge Instruction (DDPI)				☐	☐
3. SMS Alert facility : [Mandatory if you are giving Power of Attorney (POA) / Demat Debit Pledge Instruction (DDPI). Ensure that the mobile number is provided in the KYC Application Form]					
	Sr. No.	Holder			
	a)	Sole / First Holder		☐	☐
	b)	Second Holder		☐	☐
	c)	Third Holder		☐	☐
4. I/We request you to enable my/our DP account for Auto Pledge confirmation.				☐	☐
5. I wish to avail facility for Internet Trading and Wireless Technology				☐	☐
6. I/We would like to share the email ID with the RTA				☐	☐
7. Mode of Receiving Contract Note, Statement of Account, Margin Reports, Standard KYC Documents & Other Communications (tick any one)			☐ Physical Form ☐ Electronic Form on your email Id (Read Note 4 and ensure that email Id is provided in KYC Application Form)		
8. I/We would like to received the Annual Report			☐ Physical Form ☐ Electronic Form		
J) ADDITIONAL DETAILS					
• Number of years of Investment/Trading Experience: _____ • Any other information _____					
K) GST DETAILS					
• GST Number • GST Implementation Location					
L) 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 ☐ No ☐ Yes If Yes, Please Specify Details					

M) TRADING PREFERENCES

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

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

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

You are requested to please activate the segment as per signed by me /us.

N) List of family members (Separate Annexure maybe used in case number of members is higher)

Sr No.	Name of Coparcener/Member	Gender	Date of Birth	Relation with Karta	Whether Coparcener/ Member (please specify)

O) DEALINGS THROUGH OTHER STOCK BROKERS

- Whether dealing with any other stock broker (in case dealing with multiple stock brokers, provide details of all)
Stock Broker Name : _____
Client Code: _____ Exchange: _____
- Details of disputes/dues pending from/to such stock broker/sub-broker : _____

P) INTRODUCER DETAILS (OPTIONAL)

- Name of the Introducer _____
- Status of the Introducer ☐ AP ☐ Existing Client ☐ Employee ☐ Other, please specify _____)
- Address of the Introducer _____

- Phone No. of the Introducer _____ Signature of the Introducer : _____

Declaration

The rules and regulations of the Depository and Depository participant pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that I/we may be held liable for it. In case of non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we further confirm having read/been explained and understood the contents of Right and obligation of the beneficial owner and depository participant/stock brokers & clients, risk Disclosure document, Policies & procedures, schedule of charges/Tariff Sheet, Investor charter and acknowledge the receipt of copy of the same. I/we do hereby agree to be bound by such provision as outlined in these documents. I/we have also been informed that the standard set of documents has been displayed for information on stock broker's designated website.

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

Sole/First Holder	Name	Signature(s)
First Signatory/ Karta of HUF		 (5/14)
Second Signatory		
Third Signatory		
Other Holders		
Second Holder		
Third Holder		

Mode of Operation for Sole/First Holder (In case of joint holdings, all the holders must sign. In case of HUF this is not applicable)

☐ Any one singly	
☐ Jointly by	
☐ As per resolution	
☐ Others (please specify)	

Notes :

- 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 Password of the email account.
 - Client must promptly inform the participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly participant may terminate this facility by giving 10 days prior notice.
- All Communication shall be sent at the correspondence address/mobile/E.mail ID of the Sole/First Holder only.
- Strike off whichever is not applicable.

FOR OFFICE USE ONLY

UCC allotted to the Client : _____ Branch Code : _____

	Documents verified with Originals	Client Interviewed by	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

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

For Kredent Trading LLP
Signature of the Authorised Signatory

Date ____/____/20____



Details of Ultimate Beneficial Owner (UBO) Including Additional FATCA & CRS Information (Refer to instructions) (Please consult your professional tax advisor for further guidance on your tax residency, if required)		Declaration Form for Non-Individuals
1 APPLICANT Details		
Name of the entity 		
Type of address given at KRA ☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office		
Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA and notify the changes		
Customer ID / Folio NO. 		
PAN Date of Incorporation 		
City of Incorporation Country of Incorporation 		
Entity Constitution ☐ Partnership Firm ☐ HUF ☐ Private Limited Company ☐ Public Limited Company ☐ Society ☐ AOP/BOI ☐ Trust ☐ Liquidator ☐ Limited Liability Partnership ☐ Artificial Juridical Person ☐ Others Specify		
Please tick the applicable tax resident declaration		
Is "Entity" a tax resident of any country other than India? ☐ Yes ☐ No (If Yes, Please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)		
Country	Tax Identification Number⁶	Identification Type (TIN or Other⁸, please specify)
⁶ In case Tax Identification Number is not available, kindly provide its functional equivalent ⁶ . In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc. In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here 		
2 FATCA & CRS Declaration (Please consult your professional tax advisor for further guidance on FATCA & CRS classification)		
PART A (to be filled by Financial Institutions or Direct Reporting NFEs)		
1. We are a, Financial Institution ⁶ ☐ or Direct reporting NFE ⁷ ☐ (please tick as appropriate) GIIN not available (please tick as applicable) If the entity is a financial institution,	GIIN Note: If you do not have the GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity ☐ Applied for ☐ Not required to apply for - please specify 2 digits sub-category ¹⁰ ☐ Not obtained - Non-participating FI	
PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs)		
1. Is the Entity a publicly traded company (that is a company whose shares are regularly traded on a established securities market)	Yes ☐ (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange 	
2. Is the Entity a related entity ² of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes ☐ (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company Nature of relation ☐ Subsidiary of the Listed Company or ☐ Controlled by a Listed Company Name of stock exchange 	
3. Is the Entity an active ³ NFE	Yes ☐ (If yes, please fill UBO declaration in the next section.) Nature of business Please specify the sub-category of Active NFE (Mention code -refer 2c of Part D)	
4. Is the entity a passive ⁴ NFE	Yes ☐ (If yes, please fill UBO declaration in the next section.) Nature of business 	
¹ Refer 2a, ² Refer 2b, ³ Refer 2c, ⁴ Refer 3(ii), ⁵ Refer 1, ⁶ Refer 3(vii), ¹⁰ Refer 1A of Section 6.		

3 UBO Declaration

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

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s).

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial Owner / Controlling person Country - Tax Residency* Tax ID No. - Or functional equivalent for each country*	Tax ID Type - TIN or Other, please specify Beneficial Interest - in percentage Type Code ¹¹ - of Controlling	Address - Include Stat, Country, PIN / ZIP Code & Contact Details Address Type -
Name: Country: Tax ID No. [%]	Tax ID Type: Type Code: Address Type ☐ Residence ☐ Business ☐ Registered Office	Address: Zip: State: Country:
Name: Country: Tax ID No. [%]	Tax ID Type: Type Code: Address Type ☐ Residence ☐ Business ☐ Registered Office	Address: Zip: State: Country:
Name: Country: Tax ID No. [%]	Tax ID Type: Type Code: Address Type ☐ Residence ☐ Business ☐ Registered Office	Address: Zip: State: Country:

If passive NFE, please provide below additional details

PAN / Any other identification Number (PAN, Aadhar, Passport, Election ID, Govt. ID, Driving License NREGA Job Card, Others) City of Birth - Country of Birth	Occupation Type: Service, Business, Others Nationality: Father's Name: Mandatory if PAN is not available	DOB: Date of Birth Gender: Male, Female, Other
1. PAN: City of Birth: Country of Birth:	Occupation type: Nationality: Father's Name:	Date of Birth: Gender ☐ Male ☐ Female ☐ Others
1. PAN: City of Birth: Country of Birth:	Occupation type: Nationality: Father's Name:	Date of Birth: Gender ☐ Male ☐ Female ☐ Others
1. PAN: City of Birth: Country of Birth:	Occupation type: Nationality: Father's Name:	Date of Birth: Gender ☐ Male ☐ Female ☐ Others

*Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green card in any country other than India:

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

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

⁵Refer 3(vi), ¹¹Refer 3(iv) (A) of Section 6.

4 FATCA - CRS Terms and Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax rules, 1962, which Rules require Indian financial institutions to seek additional personal tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Please note that you may receive more than one request for information if you have multiple relationships with Kredent Trading LLP or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information. If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a U.S. Citizen or resident or green card holder, please include United States in the foreign country information held along with the US Tax Identification Number. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such as identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

5 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 above and hereby accept the same.

Name _____ Place _____ Date _____
Designation



(6/14)

Sole/First Holder Signature

Second Holder Signature

Third Holder Signature

POLICIES & PROCEDURES

This document outlines various policies and procedures framed and followed by KREDENT TRADING LLP. (Kredent) with respect to its dealing with its clients as a stock broker on National Stock Exchange of India Ltd. ("NSE") , Bombay Stock Exchange Ltd. ("BSE"), Multi Commodity Exchange ("MCX"), National Commodity Exchange ("NCDEX") (collectively hereinafter referred as "The Exchanges").

The policies and procedures as stated herein below are subject to change from time to time depending upon regulatory changes, risk management framework, other market conditions, etc.

The said policies and procedures and any revision/ updation in the same from time to time is/will be available at the Member's website.

1. Refusal of Orders for Penny Stocks and/or illiquid Stock/Contracts/Options

In view of the risk associate in dealing with penny stocks and/or Illiquid Stocks/Contracts/options, Kredent would generally advice its clients to desist from trading in them. Further, SEBI, Exchanges or Kredent may issue circulars or guidelines necessitating exercising additional due diligence by the clients for dealing in such securities.

A security may be treated as Penny Stocks/ illiquid Stock/ Contracts/ Options if it falls in anyone category as mentioned herein below:

- Securities (with face value of Rs.10/- and above) traded at less than Rs.10/- on any of the Exchanges.
- Securities appearing in the list of illiquid securities issued by the Exchanges periodically.
- Securities forming part of Trade-to-Trade settlement.
- Securities forming part of Z, IP, P, PZ, R, M, MT, IT, SM group.
- Securities on which Exchange VaR is more than 50%.
- Securities whose average daily volume in last 3 months is less than 50,000 shares or Rs. 50 lacs in value which ever is higher (collectively for all Exchanges).
- Securities which have not been traded on all the trading days on which trading took place in the exchange during last 3 months.
- Illiquid options/ near & far month options/ long dated options/ far month future.
- Securities list identified under Graded surveillance Measure [GSM], Additional Surveillance Measure[ASM] or put under surveillance by Exchange / SEBI
- Any other securities /contracts /options as may be decided by Kredent, which may be considered by Kredent as volatile or subject to market manipulation or have concentration risk at client level or at the security level or any other.

Trading in such securities will be allowed to the client at the discretion of Kredent. such securities may be blocked in normal trading system and any dealing in such securities may be allowed only on the approval of the Risk team and subject to such terms & conditions/ requirments as may be deemed fit by kredent. Kredent may restrict the quantity of such securities, insist up to 100% advance pay-in of funds/securities, suspend purchase, allow only sell subject to share not transferred through off market etc.

Under no circumstances, Kredent shall be responsible for non-execution/ delay in execution of such orders and consequential opportunity loss or financial loss to the client.

The above list of criteria is an indicative list, Kredent may define from time to time other category/ criteria to treat a security as Penny Stocks/ illiquid Stock/ contracts/ Options.

2. Setting up the client's Exposure Limits

While setting up the exposure limits for and on behalf of the clients, Kredent broadly takes into consideration the regulatory requirement, client profile, internal risk management policy, market conditions, etc . Considering the said parameters the exposure limit for a client would be set up as follows:

- Exposure limits to the client will be provided based on the available margin in the client's broking account maintained with Kredent.
- The exposure limits will be depending upon the category of the scrip in which the client will transact and will be as decided by Kredent from time to time and may vary from client to client.
- On a case-to-case basis Kredent, at its discretion, may allow higher exposure limits to the client.
- Single Order Quantity, Single Order Value, Total Turnover cap may be set depending upon client to client.
- Available margin for the purpose of granting exposure is calculated as a sum free credit balance of the client in Kredent 's book, margin in the form of funds, securities, bank fixed deposit, bank guarantee, etc. of the client available with Kredent, and the value of securities pledged in favour of kredent.
- The choice of the securities to be considered as margin shall be determined by Kredent at its discretion form time to time and the client shall be abide by the same.

- While granting the exposure limit, margin in the form of securities will be valued as per the latest available closing price on NSE or BSE after applying appropriate haircut as may be decided by Kredent at its discretion.
- Kredent may from time to time depending on market conditions, profile and history of the client, type and nature of scrip, etc, at its discretion charge/change the rate of haircut applicable on the securities given as margin, multiplier for granting exposure in Cash/F&O segments and take such steps as Kredent may deem appropriate.
- The client will have to abide by exposure limit set by Kredent.

3. Applicable Brokerage Rate

For rendering the broking services, Kredent charges brokerage to the client. The Brokerage rate will be as per the terms agreed with the client at the time of client registration.

The brokerage rate may be varied in future as agreed between the client and Kredent either in writing or orally from time to time. In case of oral agreement, if the brokerage is charged at such revised rate in contract note subsequent to revision and the client does not raise any dispute on such brokerage within a reasonable time then the same will be considered as consent given by the client.

The brokerage rate at no point of time will exceed the rates as may be specified by the Exchanges/SEBI from time to time.

The brokerage will be exclusive of the following except in cases where it is agreed otherwise:

- GST (Goods & Services Tax)
- STT/ CTT
- SEBI/ Exchange/ Clearing member charges/ Stamp duty.
- Statutory charges payable to Exchange/SEBI/Govt. Authorities etc.
- Any other charges towards customized/specialized service.

4. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period. Imposition of penalties.

The Exchanges/ Clearing Corporation/ SEBI levies penalties on the broker for irregularities observed by them during the course of business. Kredent shall recover such imposed penalties/ levies, if any, by the Exchange/regulators, from the client which arise on account of dealings by such client. Few of the examples of violations for which penalties may be levied are as follows:

- Auction of securities pursuant to short deliveries by the client
- Non adherence to client level exposure limits in Cash and F&O segment;
- Short margin reporting in F&O, CDS, CM, MCX & NCDEX segment;
- Any other reason which may be specified by the Exchanges/ Clearing Corporation/ SEBI from time to time. Such recovery would be by way of debit in the ledger of the client and amounts would be adjusted against the dues owed by kredent to the Clients.

Delayed payment charges

It is the responsibility of the client to ensure that the required margins (including but not limited to initial margin, mark to market and/or other margins), any outstanding, settlement obligations and/or any other dues payable to Kredent are paid within the time stipulated by the Exchanges/Kredent, whichever is earlier. For the purpose of calculating required margin there should be adequate percentage of cash margin and non-cash margin as prescribed by the exchange from time to time. Further, stock margin shall be calculated on the value of stock after appropriate haircut of stock as per kredent's haircut.

In the event the client defaults in meeting his/her/its above obligations towards kredent and maintain any debit balance/ Margin shortfall/ shortfall in Cash Margin in kredent's book beyond the stipulated time period, there shall be deployment of funds/securities by kredent. In such a situation kredent shall have absolute discretion to charge and recover from the client's account, delayed payment charges at such rate (not exceeding 24%)/manner/interval as may be determined by kredent from time to time for the delayed period on the deficit amount.

The delayed payment charge is only a penal measure to deter the client from delaying the payment. The client should not construe it as funding arrangement. The client can't demand continuation of service on a permanent basis citing levy of delayed payment charges. The client will not be entitled to any interest on the credit balance/surplus margin.

5. The Right to sell clients securities or close client's Positions, on account of non-payment of client's dues.

The client needs to furnish adequate margin as specified by Kredent from time to time at its sole absolute discretion. It shall be the client's responsibility to track margins/obligations and to ascertain in advance the margin requirement for his/her/its order/trades/deals and to ensure the required margin is made available to Kredent in such form/manner/time as may be required by Kredent. Whether or not any margin call or such other communication to that effect is sent by kredent to the client. The margin will have to be paid within the time frame stipulated by the Exchange or Kredent,

upfront in case of fresh positions, in case of mark to market and or any other additional margins on same day or before the commencement of trading on next day and in case where the Exchanges levy and/ or increase any margin required during the day, immediately upon levy and/or increase in any such margin.

The client shall fulfill all his/her/its settlement obligations and/or other liabilities including but not limited to DP charges to kredent within the time frame stipulated by the kredent or the Exchanges.

In case the payment of the margin/ security is made by the client through a bank instrument, kredent shall be at liberty to give the benefit/ credit for the same only on the realization of the funds from the said bank instrument etc. at the discretion of kredent. Without prejudice to its other rights and remedies available under the member client documents executed/to be executed by and between client and Kredent or at Law, Kredent shall be entitled, in its discretion, to liquidate/close out, invoke all or any of the client's open/outstanding position, sell the client's securities (both unpaid securities as well as shares pledged towards margin) in favour of kredent at any time to recover its dues in the following circumstances:

- If the client fails to pay any margin, settlement obligations and/or other liabilities (including but not limited to DP charges) due to Kredent within the stipulated time frame.
- In case the margin requirement/ mark to market (MTM) loss on outstanding open position reaches or crosses fifty percentage/ such higher percentage as may be fixed by kredent, of available margin at any time or circumstances arise or are likely to arise which may in the opinion of kredent, jeopardize its interest and expose it to any financial loss or damage.
- In case client is allowed extra exposure on intraday basis, the position may be liquidated as above at any time on mark to market (MTM) loss reaching or crossing fifty percentage/higher percentage as may be fixed by kredent, of available collateral after specified haircut or half an hour/ lesser time as may be allowed by kredent prior to the close of the normal market, whichever is earlier.

The value of stock margin shall be determined after applying appropriate haircut rates as approved and amended by kredent from time to time. The margin requirement as determined by kredent shall be final and no question shall be raised about the same. Kredent shall be free to change the margin requirement, haircut of stock margin depending upon the market volatility and other future market situation and no question or objection shall be raised for increase in such margin requirement or reduction in the value of collaterals.

Any and all losses (actual or notional), financial charges, damages on account of such liquidation/sell/close-out /pledge invocation/ non-liquidation/ extension or waiver granted for liquidation shall be borne by the client only.

6. SHORTAGES IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES:

Securities pay-in and pay-out are to be compulsorily settled as per the stipulated Exchange Settlement Calendar as notified by the Exchanges, for any transactions executed by the Clients in any of the respective Stock Exchanges and /or market segments.

In case a Client fails to deliver any one or more securities to the pre notified Depository Pool Account of Kredent in respect of the securities sold by the Client before the pay-in deadline notified by the Stock Exchange(s), such un-discharged obligation of any one or more securities shall be deemed to auctioned and/or closed-out by the Stock Exchange and/or Internally Closed-Out by Kredent.

In case the un-discharged obligation is overdue to the Stock Exchange for pay-in, the same would be auctioned and/or closed-out by the Stock Exchange at the auction price and/or close-out price, decided by the respective Stock Exchanges. The auction and/or the close-out would be accounted, at the auction price or close-out price on the date of auction pay-out, as may be debited to Kredent in respect of the securities delivered short by Kredent on behalf of its Clients, for the respective settlement to the extent traceable to the Client on failure of the Client to deliver such securities by the pay-in deadline. The accounting procedure would be conducted without any formal permission of the Client and as mandated, an Auction Contact Note with necessary annexure, would be issued to the Client on the Auction Date (which is notified by the Stock Exchange).

The loss, if any, on account of the auction and/or close-out shall be debited to the account of the seller Client and the Client shall not hold Kredent /Exchange(s) responsible and/or dispute for losses. Similarly the buyer Client shall not hold Kredent/ Exchange(s) responsible and/or dispute for the loss/notional loss, if any, arising on account of the close-out credited to his/her/its account.

In case the un-discharged obligation is overdue to any other Client of Kredent arising out of internal netting of trades, the same would be internally Closed-Out by Kredent and charged to the defaulter seller and compensate the impacted purchaser. The basis of the Internal Close-out Rate calculation would be the Valuation Price (as decided by the Stock Exchanges) plus 10%, where the Valuation Price means the closing rate of the previous day in the Capital Market Segment of the scheduled pay-in /pay-out date of the respective exchanges. The Internal Close-Out would be accounted, at the Internal Close-Out rate on the date of auction pay-out, as decided by Kredent in respect of the securities delivered short by the defaulter seller by the pay-in deadline. The accounting procedure would be conducted without any formal permission of the Client and as mandated,

an Auction Contact Note with necessary annexure, would be issued to the Client on the Auction Date (which is notified by the Stock Exchange).

The loss, if any, on account of the Internal Close-Out shall be debited to the account of the seller Client and the Client shall not hold Kredent responsible and/or dispute for losses. Similarly the buyer Client shall not hold Kredent responsible and/or dispute for the loss/notional loss, if any, arising on account of the close-out credited to his/her/its account.

That if for any reason, schedule of pay-in and pay-out is modified, the afore said shall be applicable reckoning the actual date or pay-in and / or pay-out as the case may be by the respective Stock Exchange(s).

7. Condition under which the client may not be allowed to take further positions or Kredent may Close existing position of a client.

An illustrative list of circumstances in which Kredent may not allow the client to take further positions or may close/liquidate/invocation of pledge a part of our whole of the existing position of the client are as follows:

- Failure by the client in providing sufficient/ adequate margin(s) and or insufficient/inadequate free credit balance available in client's broking account with Kredent ;
- If the client fails to deposit the margin/additional margin by the deadline or if an outstanding debt occurs in the client's brokerage account with Kredent beyond the stipulated time period;
- If the client fails to maintain the requisite margin in such form and manner as may be specified by Kredent from time to time;
- Settlement obligations are not paid by the client within the time frame allowed by the Exchanges as per the norms specified by Kredent from time to time;
- Securities falling in the category of Penny Stocks/illiquid stock/Contract/Options.
- Trade which apparently in the discretion of Kredent seems to be synchronized trades/Circular trading/ Artificial trading/ manipulative in nature, etc;
- Securities /F&O contracts banned by the regulatory authorities;
- Any ban imposed on the client by the regulatory authorities.
- Where name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI/Exchanges(where the information available for the debarred entity(other than name) is not sufficient enough to establish that the client and such debarred entity are one and the same);
- The client fails to furnish document/ information as may be called for by Kredent from time to time as per regulatory requirement and/or as per its internal policy.
- In the event of death or insolvency of the client or the client otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold;
- Where due to adverse movement in the prices of stocks in which the client has position, in (CM or F&O, CDS, MCX, AND NCDEX)or given as collaterals, the chances of the accounts of the client going uncovered or unsecured i.e. Not backed by any kind of security arises.
- Kredent will not be responsible for any opportunity loss or financial the client in the event any action taken by it under this policy.

8. Temporary Suspending or Closing Client's Broking Account at Client Request.

A client who wishes to temporarily suspend or close his/her/its broking account can do so by submitting a written request or by email(Through E-mail Id Registered With Kredent) in the form and format as may be prescribed by Kredent . The request can be submitted to the head office of Kredent . Prior to submission of such request the client should ensure that all amount due and payable to Kredent are paid. Requests from a client where no dues are outstanding would be processed within 10 working days from the date receipt of the request.

If the client wants to activate the broking account then a request reactivating the broking account should be sent in writing/via E-mail (Though E-mail Id registered with Kredent) to Kredent along with such documentary evidence as may be specified by Kredent from time to time.

9. Voluntary Freezing/ blocking of your account ;

You can freeze online access to your account by sending an email at stoptrade@kredenttrading.com or you can call us at (033) 4000 2345 in case any suspicious trading activity is noticed by you . Your account will be frozen within 15 minutes of receiving your request if the request is given during the market hours (i.e. 9.15 am to 3.30 pm) and If the request comes after the market hours (i.e. after 3.30 pm) the account will be frozen before the trading hours of next trading day.

Similarly to unfreeze the account you can send an email at stoptrade@kredenttrading.com or you can call us at (033) 4000 2345 to unfreeze the account. Once your trading account is frozen, you will not be able to do any order placement, trading /investment related activities. Only fund transfers or withdrawals will be allowed.

10. Deregistering A Client

Without prejudice to Kredent's rights and remedies as mentioned in Rights & obligations document, kredent may forthwith, at its discretion, de-register the client in the following circumstances:

- Where the client indulges in any irregular trading activities like synchronized trading price manipulation, trading in illiquid securities/option/contracts, self trades, trading in securities at prices significantly away from market prices, etc;
- Any inquiry/ investigation is initiated by the Exchanges/ regulators against the client;
- Any regulatory action taken/initiated against the client by the Exchanges/regulators including but not limited to debarring the client from accessing the capital market;
- Where name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI / Exchanges (where no information other than name is available);
- On the death/lunacy or other disability of the client;
- If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all any part of the undertaking of the client;
- If the client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect or refers itself to the Board for industrial and financial reconstruction or under any other law providing protection as a relief undertaking.
- If the client being a partnership firm, any steps has been taken by the client and/or its partners for dissolution of the partnership;
- Name of the client appears in database/websites of CIBIL, watch out investor ,word check UN List etc;
- The client having suspicious background or link with suspicious organization; where the client is non-traceable, has pending disputes with Kredent , Possibility of a default by the client;
- Any other circumstance leading to a breach of confidence in the client for reasons like return of undelivered couriers citing reason of "No such persons/address left/ Refusal to accept mails, etc", continuous cheque bouncing or not furnishing the financial and other details as may be called for by Kredent from time to time, etc.
- Such other circumstances which in the opinion of Kredent warrants to De- Register the client.

In all such case Kredent shall have the right to close out the existing open position/contracts, sell/ liquidate/pledge the margin (in any form) and invoke pledge to recover its dues, if any, before DE-registering the client. Any action taken by Kredent in terms of this policy shall not be challenged by the client, and Kredent shall not be liable to the client for any loss or damaged (actual/ national), which may be caused to the client as a result. Also while deregistering the client, Kredent may retain certain amount/securities due/ belonging to the client for meeting any future losses, liability penalties, etc. Arising out of dealing of the client with Kredent . In case if any securities retained by Kredent is sold/liquidated to recover any such losses, liability, penalties, etc. Kredent shall have the authority to decide the mode , manner and the price at which to effect the sale of securities and the client cannot raise any dispute as to the manner, mode and the price at which the securities are sold by Kredent .

In any of the above circumstances, if the client is able to justify his/her/its innocence either by producing any record document or otherwise to the full satisfaction of Kredent , Kredent may reconsider its decision of de-registering the client. However in no circumstances any action taken by Kredent till the date of re-registration shall be challenged by the client and Kredent shall not be liable to client for any loss or damaged(actual/notional), which may be caused to the client as a result.

11. Policy For Inactive Client

Any client who has not traded in any of the Exchange for last 24 months calculated from the end of the month in which client last traded or such other period as may be decided by Kredent at its discretion then such client would be termed as Dormant/Inactive Client.

The broking account of such client may be deactivated / suspended temporarily by Kredent. If the client wants to active the broking account then a request for reactivating the broking account should be sent in writing / via email (through email id registered with Kredent) to Kredent or may convey the same over recorded telephone line. Such request for reactivation should be accompanied along with such documentary evidence and subject to In Person Verification (IPV) as may be specified by kredent from time to time.

If the client is tagged as a Dormant/inactive client then the funds/ securities lying with Kredent may be refunded / returned to the clients at his/her/its last known bank account /DP account or sent at last known address of the client as per Kredent record.

CLIENT ACCEPTANCE OF POLICIES AND PROCEDURES STATED HEREIN ABOVE:-

I/we have fully understood the policies and procedures and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/ clauses of the document under any circumstances what so ever.

These policies and procedures may be amended/changed by the broker, provided the change is informed to me/us through anyone or more means or methods such as post/speed post / courier/registered post/ facsimile/ telegram/ cable/ e-mail/ voice mail/ telephone including SMS on the mobile phone/ by messaging on the computer screen of the client's computer or any other similar device.

Signature of the Client :


(7/14)

TARIFF SHEET

A. BROKERAGE

Segment	Brokerage Rate	Remarks
1. Capital Market Segment		
Square up Brokerage		
Delivery Brokerage		
2. Futures & Options Segment		
Brokerage in Futures		
Brokerage in Options		
3. Physical Delivery		
4. Currency Segment		
Brokerage in Futures		
Brokerage in Options		
5. Commodity Segment		
Brokerage in Futures		
Brokerage in Options		
6. Call n Trade		
Square up Brokerage / Futures		
Delivery Brokerage		
Options		
7. Difference Slab (if any)		

B. OTHER CHARGES

Securities Transaction Tax (STT), Commodities Transaction Tax (CTT), Stamp duty, SEBI Charges, Transaction charges, Goods and Services Tax (GST) and other charges if any shall be levied as per the stipulation of relevant authorities and hence, subject to change from time to time.

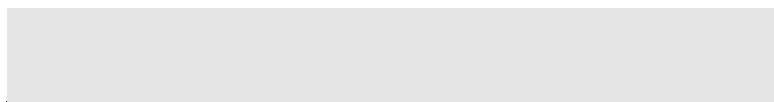
Kredent reserves the right to levy additional charges including but not limited to the following:

Particulars	Amount
POA Charges / Demat Debit Pledge Instruction (DDPI) Charges	Rs. 100/-
Duplicate Contract Notes (CN) issued	Rs. 20/- per CN*
Duplicate Sauda Summary/Financial Ledger issued	Rs. 20/- 1 year*
Duplicate copy of GST Certificate	Rs. 20/- per financial year
Bounced cheque/ Stop payment of cheque	Rs. 20/- per instance/instrument*

Kredent reserves the right to change the brokerage as well as other tariff from time to time under intimation to client.

*These charges are subject to revision at the sole discretion of Kredent. and shall be informed by ordinary post/email / quarterly account statements / Call / SMS / notification on the back office interface.


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Signature of the Client

Date : - -

TARIFF SHEET (DEMAT)		
Particulars	Rate (In Rs.)	
	Scheme Regular	
AMC (Yearly)	Rs. 400/- for Individual Rs. 600/- for Other than Individual	
Transaction Charges (Debit)	Per Transaction or (%) of Transaction Value Which ever Is Higher	
Debit Transaction - Payin to 'Image'	Rs. 20/-	
Debit Transaction - Other than 'Image' to Payin	Rs. 30/- or 0.02%	
All Kind of Margin Pledge Request	Rs. 20/- Per Transaction	
All Kind of Pledge Request (other than Margin Pledge)	Pledge Creation Rs. 75/- per transaction Pledge Closure Rs. 50/- per transaction Pledge Invocation Rs. 50/- per transaction	
Dematerialisation	a) Rs. 500/- per Certificate + Rs. 100/- Courier Charges b) Rs. 50/- for per Demat Rejection + Rs. 100/- Courier Charges	
Rematerialisation	Rs. 500/- for every hundred Securities or part there of or a flat fee of Rs. 500/- per certificates whichever is higher + Rs. 100/- Courier Charges	
Other Charges		
Cheque Dishonour	Rs. 200/-	
Re-Issuance of DIS Booklet	a) With Requisition Rs. 100/- per booklet b) Without Requisition Rs. 200/- per booklet	
Unfreeze on Payment of DP dues	Rs. 100/-	
Modification Charges		
Client Master details changes	Rs. 50/- per Modification	
Basic Service Demat Account (BSDA) : For Individual Client		
Stock Valuation in Rs.(including debt and other than debt securities Combined)	AMC (Rs.)	Transaction Charges (Rs.)
Upto Rs. 4 lakhs	NIL	As Per Regular Scheme
More than Rs 4 lakhs but up to Rs 10 lakhs	Rs 100	
More than Rs 10 lakhs	As per Regular Scheme	

Notes:

- 1) GST (Goods & Services Tax), Stamp duty, Statutory Charges, Notary charges and other charges if any shall be levied as per the stipulation of the concerned authorities.
- 2) The first year AMC will be charged on pro rata basis from the month of account opening till 31 March. Subsequently, it will be charged annually from the month of April for next financial year. All other charges will be billed on a monthly basis for any transaction during the month.
- 3) For Corporate Accounts Additional Rs. 500/- P.A will be charged towards depository AMC in all scheme.
- 4) Charges may also be collected upfront, by the authorities at the point of acceptance of delivery instruction.
- 5) Delayed Payment Charges will be levied @24% p.a. if payment for the billing month is not received by the end of next month. In case of delay in the payment of charges, the account may be frozen for all operations until such time all dues are cleared.
- 6) In case of account is closed during the year, AMC for the unrealized quarter/Balance of quarter will be refunded to the client.
- 7) **"All market instructions for transfer must be received latest by 4.00 P.M working day prior to the Pay in Day as per SEBI Guidelines. All off market instructions for transfer must be received at least 24hours before the execution date. Late instructions would be accepted at the account holder's sole risk and responsibility"**
- 8) Charges are subject to revision at the Company's sole discretion and/or as per the revisions in the Depositories Charges. Any service not quoted will be charged separately.
- 9) Value of transaction will be in accordance with rate provided by the Depositories.
- 10) Stamp Duty on off Market transactions where consideration is involved will be levied as applicable from time to time.



(9/14)

Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

Date:

To
Kredent Trading LLP
Passport Office Blding
4 Brabourne Road, 4th Floor
Kolkata - 700 001
Dear Sir,

Ref :- Trading Code _____

Sub :- Maintenance of my/our Funds on running account basis & Preference for actual settlement

I/We here by authorise you to maintain my/our account on running account basis and to retain credit balances in my/our account till further instruction (Written or verbal) from my/our side or instruction for settlement interval given by me/us (monthly/quarterly as the case may be) whichever is earlier.

I/We understand that this authority for maintenance of funds on running account basis may be revoked by me/us at any time giving instruction in writing and shall remain in force until revoked by me/us in writing.

I/We hereby authorize you to make actual settlement of funds in respect of my/our trading account at least once in a

☐ Quarter (90 days)

☐ Month (30 days)

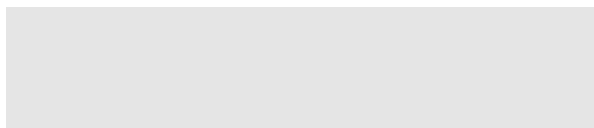
I/We understand that any excess funds lying with you shall be released during settlement of my account as per the above settlement interval.

I/We further understand that while settling the account, you shall send to me/us a statement of funds and in case there will be any dispute in the statement of account or settlement so made, I/we shall intimate the same within 7 working days from the date of receipt of Fund or Statement as the case may be.

Thanking you,

Yours faithfully

Signature of the Client : 
(10/14)



Date:

To

Kredent Trading LLP

Passport Office Building

4 Brabourne Road, 4th Floor

Kolkata - 700 001

Dear Sir,

Ref :- Trading Code: _____

Sub :- Letter of Understanding

1. I/We inform that I/we have/may have demat A/c with you. In such a case in order to avoid inconvenience to issue cheque against my depository bills, I/we hereby authorise and instruct you to recover the demat charges by debiting my ledger A/c with you for trading purpose.
2. I/We hereby authorise you to pledge / repledge the securities with NSCCL/ ICCL & to invoke the pledge in case of default as permissible in the rules and regulations of exchanges/SEBI.
3. I/We hereby authorize you to maintain records/books of accounts for me collectively for different exchanges/segments of the exchanges and/or any other service which I/we may be availing. I/We hereby authorize you to transfer, make adjustment and/or to set off a part or whole of the Securities placed as margin and/or any surplus funds in any segment/exchange(s) of my/our above account(s) maintained with you against the outstanding dues payable if any, by me/us in other segment/exchange(s) of my/our above account(s). Any entries passed by you in accordance with this authorisation shall be binding on me/us.
4. I/We understand that the LLP (hereinafter referred to as "Kredent") also do proprietary trading and I have noted the same and hereby state that I/we have no objection to Kredent doing the proprietary trading.
5. I/We authorize & instruct Kredent to issue summarised contract note instead of detailed contract note in Capital market (CM) segment.
6. I/We agree and acknowledge that it is advised and preferred that I/we give instructions for order placement/modification and cancellation in writing to avoid disputes. However as the fluctuations in market are so rapid it is not practical to give written instructions for order placement/modification and cancellation, hence I/we hereby authorize you to accept my/our authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/We shall not be entitled to disown orders and consequent trades (if any) under the plea that same were not under my/our instructions.
7. I/We hereby submit that mobile number as mentioned in KYC application form belongs to me/us. All confirmations / informations / messages sent at my/our aforesaid mobile no. or any subsequent alteration or modification thereof shall be valid and deemed to be made to me/us and shall be binding on me/us.

I/We hereby confirm that I/we have activated or may activate Do Not Disturb (DND) facility in respect of my/our mobile number(s) and I/we hereby authorise and instruct you to send any messages relating to my/our trading account with you at my/our aforesaid mobile number(s) or any subsequent alteration / modification thereof. Further, I/we shall not lodge any claim or complaint with respect to communications made at my/our aforesaid mobile number or any subsequent alteration/modification thereof.

8. I/We hereby declare that I/we do not have any link directly or indirectly with promoters of any of the companies as far as my/our transactions are concerned. Also I/we do not have any involvement, whatsoever, with regards to the increase or decrease in the price of securities dealt by me/us.
9. I/We hereby agree and authorize that if I/we fail to make payment towards my/our obligation / margin / additional margin or any outstanding debt occurring in my/our account within the time limit as stipulated by the exchange/Kredent from time to time, Kredent shall be at liberty to square off/sale a part of or the whole position/securities pledge in favour of Kredent as margin. I/we shall be solely responsible for any loss due to such sale/square off of position/securities and shall raise no claim/complaint for the same.

Thanking you,

Yours faithfully

Signature of the Client : 

(11/14)

**Voluntary
Document**

Date:

To,

Kredent Trading LLP
Passport Office Blding
4 Brabourne Road, 4th Floor
Kolkata - 700 001

Dear Sir,

Ref :- Trading Code_____

Sub :- Mandate to issue Contract Note, Margin Reports, Statement of funds & other documents in Digital Format.

I/We hereby agree and give my/our consent to you to issue Contract Notes, Margin Analysis Report, Statement of Fund, notices, circulars, amendments & other relevant documents related to my/our trading account in Digitally signed electronic mode as specified in the Information Technologies Act 2000 and the rules made thereunder over e-mail id as mentioned in KYC application form.

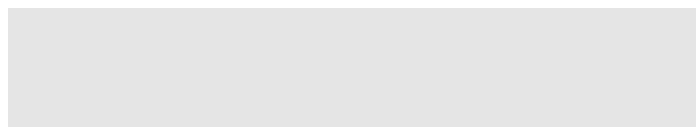
I/We shall accept all the documents sent by you in digitally signed electronic mode to my/our specified e-mail id subject to following terms & conditions:-

1. The Contract notes, Margin Reports, Statement of Funds & other documents will be issued in Digital form in compliance with the guidelines issued by SEBI/ Exchanges from time to time.
2. Digitally signed electronic Contract notes, Margin Report, Statement of Funds & other documents will be mailed to my/our specified email id as mentioned in KYC application form.
3. I/We can view the digitally signed electronic Contract Notes on Company website by using the user name & password provided to me/us.
4. The digitally signed contract notes will be archived at an interval of 15 days. If I/we intend to view the digital contract notes for a period prior to 15 days, I/we may request for the same in writing.
5. In case of any failure in sending of digitally signed electronic Contract notes, Margin Report, Statement of Funds & other documents, you will arrange to send the documents in physical form through post, registered post, speed post, courier or any other similar mode of communication.
6. I/We agree to inform you in case of any discrepancies, within 24 hrs of issue of the digitally signed electronic Contract notes, Margin Report, Statement of Funds & other documents.
7. The non-receipt of bounced mail notification by you shall amount to delivery of Contract notes, Margin Report, Statement of Funds & other documents at my/our E-mail id.
8. I/We shall communicate any change in the E-mail id through a Physical Letter immediately.
9. I/We confirm that the email id as mentioned in KYC application form belongs to me/us and I/we regularly access the same. The digitally signed electronic Contract notes, Margin Report, Statement of Funds & other documents sent to my/our aforesaid email id shall be construed as delivery of documents to me/us and non accessibility of e-mail id or any auto e mail informing non accessibility by me/us will not be taken/accepted as an excuse for non-acceptance of aforesaid documents.

Thanking you,

Yours faithfully

Signature of the Client: 
(12/14)



ACKNOWLEDGEMENT LETTER

Date:

To

Kredent Trading LLP
Passport Office Blding
4 Brabourne Road, 4th Floor
Kolkata - 700 001

Ref.: Trading Code: _____, DP Client ID: _____

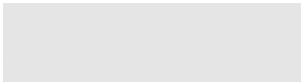
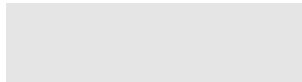
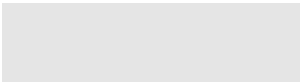
Dear Sir,

This has reference to my/our aforesaid trading and/or demat account with you. In this connection I/We hereby acknowledge the receipt of the copies of following documents :-

- ☐ Know your Client (KYC), Rights & Obligations, Risk Disclosure Document, Guidance Note, Policies & Procedures, Investor charter Tariff Sheet/Schedule of charges, PMLA Brochure and other Voluntary Documents.
Power of Attorney (POA) / Demat Debit Pledge Instruction (DDPI) duly executed by me/us in favour of the company, if any.
- ☐ For the purpose of Account Opening, I/ We hereby declare that the details provided on the KRA/KYC page downloaded from KRA/CKYCSysyem by you, are true and correct till date. 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 We are aware that I/We may be held liable for it.

Thanking you,

Yours faithfully,

Signature of the Client : Sole/First Holder SignatureSecond Holder SignatureThird Holder Signature

4. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID)

Tel.(Off/Res)		Fax	
Mobile		Mobile (2)	
Email ID			

5. FATCA / CRS Information

Do you satisfy any of the criteria mentioned below:-

	Yes	No
a. Citizen of any country other than India(dual/multiple) [including green card]		
b. Country of birth is any country other than India		
c. Tax resident of any country/ies other than India		
d. POA or a mandate holder who has an address outside India		
e. Address or telephone number outside India.		

If answer to any of the above questions is a YES or in case of NRI account .please fill the below details :-

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

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill below details)
☐ Addition of Related Person ☐ Deletion of Related Person

KYC Number of Related Person (If available*)

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

Name

(If KYC number and name are provided, below details are optional)

Proof of Identity of Related Person

Identity Proof Submitted Number Exp. Date

Other (any document notified by the Central Govt.) Identification No.

Simplified Measures Account-Documents Type Code Identification No.
7. REMARKS (If any)
8. APPLICANT DECLARATION

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

I hereby consent to receiving information from Central KYC Registry through SMS / Email on the above registered mobile number / email address.

Subject to applicable laws, I hereby give consent to share my FATCA/CRS information with domestic/overseas regulators or tax authorities wherever necessary. I also declare and confirm that the FATCA/CRS details given as per point no-5 above are true, correct & complete. I further confirm that I have read and understand the FATCA/CRS terms and conditions and hereby accept the same.

Date :

Place :


Signature / Thumb Impression of Applicant

FOR OFFICE USE ONLY

Details of Employee /AP/ Authorized Signatory	Documents Verified with Originals	Client Interviewed by & IN-Person Verification done by	DD / MM / YYYY KREDENT TRADING LLP (IN 0644)
Name			
Designation/Code			
Date	DD / MM / YYYY	DD / MM / YYYY	
Signature			

Important Instructions:

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

**For office use only**Application Type* ☐ New ☐ Update

(To be filled by financial institution) KYC Number

(Mandatory for KYC update request)

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

Name*

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

Date of Incorporation / Formation* DD - MM - YYYY

Date of Commencement of Business DD - MM - YYYY

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

PAN * Form 60 furnished

TIN / GST Registration Number

☐ **2. PROOF OF IDENTITY (PoI)*** (Please refer instruction **B** at the end)☐ Officially valid document(s) in respect of person authorised to transact.☐ Certificate of Incorporation / Formation☐ Registration Certificate

Regn Certificate No.

☐ Memorandum and Articles of Association☐ Partnership Deed☐ Trust Deed☐ Resolution of Board / Managing Committee☐ Power of attorney granted to its manager, officers or employees to transact on its behalf☐ Activity Proof - 1 (For Sole Proprietorship Only)☐ Activity Proof - 2 (For Sole Proprietorship Only)☐ **3. ADDRESS*** (Please see instruction **C** at the end)**3.1 Registered Office Address / Place of Business***

Proof of Address*

☐ Certificate of Incorporation / Formation☐ Registration Certificate☐ Other Document

Line 1*

Line 2

Line 3

District*

PIN / Post Code*

State / U.T Code*

ISO 3166 Country Code*

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2

Line 3

District*

PIN / Post Code*

State / U.T Code*

ISO 3166 Country Code*

☐ **4. CONTACT DETAILS** (All communications will be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction **D** at the end)

Tel. (Off)

FAX

Mobile

Email ID

Mobile

Email ID

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

I/we 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/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : - - Place:

[Signature / Thumb Impression]

Signature / Thumb Impression of Authorised Person(s)

Signature / Thumb Impression of Authorised Person(s)

Documents Received		☐ Certified Copies	☐ Equivalent e-document
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KYC VERIFICATION CARRIED OUT BY		INSTITUTION DETAILS																																						
Identity Verification	☐ Done Date <table border="1" style="display: inline-table; vertical-align: middle;"> <tr><td></td><td></td></tr> <tr><td></td><td></td></tr> </table> - <table border="1" style="display: inline-table; vertical-align: middle;"> <tr><td></td><td></td></tr> <tr><td></td><td></td></tr> </table> - <table border="1" style="display: inline-table; vertical-align: middle;"> <tr><td></td><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td><td></td></tr> </table>																	Name	<table border="1" style="display: inline-table; vertical-align: middle;"> <tr><td>K</td><td>R</td><td>E</td><td>D</td><td>E</td><td>N</td><td>T</td></tr> <tr><td>T</td><td>R</td><td>A</td><td>D</td><td>I</td><td>N</td><td>G</td></tr> <tr><td>L</td><td>L</td><td>P</td><td></td><td></td><td></td><td></td></tr> </table>	K	R	E	D	E	N	T	T	R	A	D	I	N	G	L	L	P				
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[Employee Signature]																																								

F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.

G) List of two character ISO 3166 country codes is available at the end.

H) Please read section wise detailed guidelines / instructions at the end.

I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated



(Mandatory for KYC update and delete request)

DIN (Director Identification Number) (Mandatory if Related Person Type is Director)

Form 60 furnished

☒ ☐ Self Declaration

Address

Line 1*																											
Line 2																											
Line 3																											
District*							Pin / Post Code*					State / U.T Code*			City / Town / Village*							ISO 3166 Country Code*					

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction **D** at the end)

Tel. (Off)					Tel. (Res)					Mobile				
Email ID														

2. APPLICANT DECLARATION

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

Date : DD - MM - YYYY

Place:

Signature /Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification
☐ Digital KYC process ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

Date												
Emp. Name												
Emp. Code												
Emp. Designation												
Emp. Branch												

INSTITUTION DETAILS

Name	K R E D E N T T R A D I N G L L P											
Code	I N 0 6 4 4											

[Employee Signature]



Address

Line 1*																											
Line 2																											
Line 3																											
District*							Pin / Post Code*					State / U.T Code*			City / Town / Village*							ISO 3166 Country Code*					

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction **D** at the end)

Tel. (Off)					Tel. (Res)					Mobile				
Email ID														

2. APPLICANT DECLARATION

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

Date : DD - MM - YYYY

Place:

Signature /Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification
☐ Digital KYC process ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

Date												
Emp. Name												
Emp. Code												
Emp. Designation												
Emp. Branch												

INSTITUTION DETAILS

Name	K R E D E N T T R A D I N G L L P											
Code	I N 0 6 4 4											

[Employee Signature]



CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

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



For office use only Application Type* ☐ New ☐ Update ☐ Delete
 (To be filled by financial institution) KYC Number (Mandatory for KYC update and delete request)

1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor
☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director Identification Number) (Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

Prefix First Name Middle Name Last Name
 Name* (Same as ID proof)
 Maiden Name
 Father / Spouse Name
 Mother Name
 Date of Birth*
 Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender
 Nationality* ☐ IN- Indian ☐ Others (ISO 3166 Country Code)
 PAN* ☐ Form 60 furnished

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F - Proof of Possession of Aadhaar
 II ☐ E-KYC Authentication
 III ☐ Offline verification of Aadhaar

☐ PHOTO*



Address

Line 1*
 Line 2
 Line 3 City / Town / Village*
 District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

☐ 1.3. CURRENT ADDRESS DETAILS (Please refer instruction E and the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F - Proof of Possession of Aadhaar
 II ☐ E-KYC Authentication
 II ☐ Offline verification of Aadhaar
 IV ☐ Deemed PoA
 V ☐ Self Declaration

Address

Line 1*																											
Line 2																											
Line 3																											
District*							Pin / Post Code*					State / U.T Code*			City / Town / Village*							ISO 3166 Country Code*					

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction **D** at the end)

Tel. (Off)					Tel. (Res)					Mobile				
Email ID														

2. APPLICANT DECLARATION

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

Date : DD - MM - YYYY

Place:

Signature /Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification
☐ Digital KYC process ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

Date												
Emp. Name												
Emp. Code												
Emp. Designation												
Emp. Branch												

INSTITUTION DETAILS

Name	K R E D E N T T R A D I N G L L P											
Code	I N 0 6 4 4											

[Employee Signature]



Prevention of Money Laundering Act, 2002 (PMLA)

The Prevention of Money Laundering Act, 2002 came into effect from 1st July 2005

Applicability of PMLA Act

Banking company

Financial institution

Intermediary (which includes a stock broker, sub-broker, depository participant, share transfer agent, portfolio manager, other intermediaries associated with securities market and registered under section 12 of the SEBI Act, 1992)

Objectives

The Act is intended to supplement the law enforcement authorities activities, to detect proceeds derived from serious crimes and help to effectively prevent money laundering, terrorist financing, and recycling of illegally obtained money.,

In brief the objectives of AML are as follows :-

- a. To prevent financial intermediaries from being used as a channel for the purpose of Money laundering & terrorist financing.
- b. To preserve the integrity/stability of the Financial System.
- c. To work hand in hand with the regulators to flush money laundering and terrorist financing activities out of our financial system.

What is Money Laundering?

Money Laundering is a process of making dirty money look clean. Money laundering is the process by which criminal attempt to hide and disguise the true origin and ownership of the proceeds of their criminal activities.

Through money laundering, the launderer transforms the monetary proceeds derived from criminal activity into funds with an apparent legal source.

Steps taken by Kredent Trading LLP :-

Kredent Trading LLP is fulfilling objective of AML program in 3 steps :-

- a) Identification of clients
- b) Monitoring of clients transactions
- c) Reporting of suspicious transactions

Obligation of the client :-

Implementation of AML/CFT measure requires demand of certain information from investors which may be of personal nature or has hitherto never been called for. Such information can include documents evidencing source of funds/income tax return/bank records etc. This can sometimes lead to raising of questions by the client with regard to the motive and purpose of collecting such information. This document has therefore been prepared to sensitize the clients about requirements emanating from AML and CFT framework.

Clients are required to provide complete details at the time of account opening :-

- 1) Address proof 2) Identity proof 3) PAN 4) Income details

Clients are required to periodically update

- 1) Contact details 2) Financial details 3) Occupational details

The transactions executed by the clients need to be commensurate with the disclosed income details.

Clients are required to provide requested explanation / details for suspicious transactions.

CLIENT NAME : _____

CLIENT CODE : _____

FORM NUMBER : _____



Your Knowledge Edge

KREDENT TRADING LLP

Registered Office Address :

Passport Office Building, 4, Brabourne Road, 4th Floor,
Kolkata - 700001, West Bengal, India

Ph: +91- 033 4000 2300, Website: www.kredentrading.com



09/2023

Client Categorisation

Pls select () on the below appropriate category depending upon your proposed nature of your activity against each product type.

Commercial - ☐	Non Commercial - ☐
Product type	Product type
Bullion - ☐	Bullion - ☐
Base Metals - ☐	Base Metals - ☐
Energy - ☐	Energy - ☐
Agri-Commodities - ☐	Agri-Commodities - ☐

1. COMMERCIAL: Commercial Client includes Value Chain/ Physical market participant/ exporter/ importer/ having direct/ indirect Exposure to the underlying Commodity

2. NON-COMMERCIAL: Non Commercial Client includes Trader/ Arbitrageur

CLIENT CATEGORISATION - COMMODITY WISE

The Customer is required to select appropriate category depending upon their proposed nature of activity against each commodity type. Please fill "COMMODITY CLIENT CATEGORISATION" declaration given below:

I / We further confirm that in case of any change in this categorisation, I / we shall update the same with _ - and I / We understand that you may be required to disclose the same to Exchanges.

Contract / Commodity	FARMER / FARMER PRODUCER ORGANISATION (FPO)	Value chain participants (VCPs) / Hedger	Others	Domestic financial institutional investors	Foreign participants
AGRIDEX					
ALMOND					
ALUMINIUM					
BAJRA					
BARLEY					
BRASS					
CARDAMOM					
CASTOR SEED					
CHANA					
COPPER					
CORIANDER/ DHANIYA					
COTTON					
COTTONSEEDOILCAKEAKOLA					
CPO - CRUDE_PALM_OIL					
CRUDE OIL					
GOLD					
GUARGUM					
GUARSEED					
GUAREX					
GUMSYOIL					
GUR					
HIPROSOYBEANMEAL					
JEERA					
KAPAS					
LEAD					
MAIZE					
MCXBULLDEX					
MCXMETLDEX					
MENTHA OIL					
MOONG					
NATURAL GAS					
NICKEL					
PADDY_BASMATI					
PEPPER					
RAPE_MUSTARD_SEEDS					
RBDPMOLEIN					
RUBBER					
SESAMESEED					
SILVER					
SOY_OIL					
SOYABEAN					
SOYDEX					
STEEL					
SUFIBLT					
SUGARM					
TURMERIC					
WHEATKOTA					
ZINC					
ENERGY INDEX FUTURES					



Signature of the Client

Date:

To,
Kredent Trading LLP
4, Brabourne Road , 4th Floor,
Kolkata - 700 001.

Dear Sir/Madam,

Client ID : _____ UCC : _____ Client Name: _____

Sub: Demat Debit and Pledge Instruction (DDPI)

I/We, hereby explicitly agree and give consent to authorize Kredent Trading LLP, to access Beneficial Owner (BO) Account as per details given above for following purposes: Accordingly, I/We hereby, authorize Kredent Trading LLP to do the following:

SL. No.	Purpose	Signature of Client *
1.	Transfer of securities held in the beneficial owner accounts of mine / us (clients) towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me / us (clients) on the Stock Exchange through Kredent Trading LLP	1st Holder _____ 2nd Holder _____ 3rd Holder _____
2.	Pledging / re-pledging of securities in favour of Kredent Trading LLP / Clearing Member (CM) / Clearing Corporations (CC) for the purpose of meeting margin requirements of the clients in connection with the trades executed by me/us (the clients) on the Stock Exchange.	1st Holder _____ 2nd Holder _____ 3rd Holder _____
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	1st Holder _____ 2nd Holder _____ 3rd Holder _____
4.	Tendering shares in open offers through Stock Exchange platforms	1st Holder _____ 2nd Holder _____ 3rd Holder _____

Details of Demat Account of Kredent where Securities of the client can be transferred

DP Name	Depository	CMBP ID	DP ID	Client ID where securities can be transferred
Kredent Trading LLP	NSDL	IN569207 IN658595	IN304375 IN304375	10000123 10000131
Eureka Stock & Share Broking Services Ltd.	CDSL		12055800 12055800	00003576 00003601

*The same may be E-signed or signed physically.

Kindly further note that I/we am/are entitled to revoke this authorization at any time, after sending the revocation letter at your office to enable you to make necessary changes. I/We hereby confirm that such revocation shall not affect my/our obligations outstanding at the time of such revocation and the authority granted hereunder shall continue until all transactions and instructions already executed or issued towards **Kredent Trading LLP** have been settled.

