

**INDEX OF DOCUMENTS**  
**MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES**

S.N.	Name of the Document	Brief Significance of the Document	Pg. No
1.	Account Opening Form	A. CKYC & KYC form - Document captures the basic information about the constituent and an instruction/checklist.	2-12
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/checklist.	13-15
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, Authorised Person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Part B
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	16-19
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	20
7.	Most Important Terms and Conditions	For non-custodial settled trading accounts	21
8.	Policy for Handling GTT Orders	As per format	22
<b>DOCUMENTS FOR DEMAT ACCOUNT (IF DP SERVICES AVAILED THROUGH HORNIC)</b>			
9.	Account Opening Form	Additional information about the constituent relevant to demat	23-28
10.	Rights and Obligations	Between BO and Dp as prescribed by SEBI and Depositories	29-30
11.	Terms & Condition for receiving SMS alerts	Terms & Condition for receiving alerts on Debits and or Credits in the Demat a/c. of client through SMS from Dp	31-32
12.	Tariff sheet	Charges payable by client for availing DP services	33-34
13.	DDPI	To facilitate transfer of securities towards deliveries	35-36
14.	Option Form for issue of DIS	Option Form for issue of DIS Booklet	38
15.	Format of Board Resolution (DP)	To be provided on letterhead of Company (if applicable)	39
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
16.	Running Account Authorisation	To maintain fund, securities on running account basis	41
17.	Mandate to issue ECN	This mandate is to authorisation to issue contract notes in digital mode. It provides terms and conditions for the issuance of digital contract note.	42
18.	Policy Framework for Voluntary Freezing/Blocking Trading a/c.	As per format	43
19.	Download Consent Form	Consent to download my KYC Records from the Central KYC Registry	43
20.	Debit authorisation letter	This letter authorises DP to debit charges of demat account to trading account	44
21.	Link Aadhaar Number	As per format	55
<b>FORMATS</b>			
22.	Format of Declaration by partnership firm	To be provided on letterhead of partnership firm (if applicable)	44
23.	Format of Declaration by HUF	To be provided on letterhead of HUF firm (if applicable)	45
24.	Format of Board Resolution/ Shareholding pattern	To be provided on letterhead of Company (if applicable)	47
25.	Welcome Letter	Welcome letter alongwith allotment of client code	48
26.	FATCA / CRS Declaration	FATCA Declaration for where client hold tax residency	49-53
27.	Consent Letter for same Email ID & Mobile Number	Declaration for Common Mobile number / Email ID For Demat and Trading accounts	54
28.	Declaration of fit & proper person as per Regulation 20 of SECC Regulations 2012	Declaration letter for fit & proper person	54

Name of stock broker/ trading member/clearing member	<b>HORNIC INVESTMENT PVT. LTD.</b>			
SEBI Registration No. and date	INZ000220935 Dated: 20-02-2019 (NSE Cash, NSE F&O, NSE CUR., BSE CASH, BSE F&O, MSEI Cash, MSEI F&O & MSEI CUR.) For DP IN-DP-538-2020 Dated: 30-12-2020 NSE Member Code No.: 08148 • BSE Member Code No.: 368			
Self Clearing member of Derivative Segment (NSE & BSE) Self Clearing member of (MSEI)				
GST No.	27AAACH1537N1ZG			
Registered office address:	1303-1304, 13th Floor, Arcadia, Plot-195, NCPA, Nariman Point, Mumbai - 400021. Tel No.: 022 40616263 E-mail: bo@hornic.com Website: www.hornic.com			
Compliance officer name: phone no. & email id:	Naresh Badbe	022-40616216	bo@hornic.com	MSEI
	Naresh Badbe	022-40616216	bo@hornic.com	CDSL/NSE
	Bhavesh Mehta	022-40616215	cdsl@hornic.com	BSE
	Chetan Thakkar	022-40616231	commodity@hornic.com	MCX
Director name: phone no. & email id:	Lalit Daga	022-40616211	lalit@hornic.com	
	Anil Daga	022-40616227	anil@hornic.com	
For any grievance/dispute please contact <b>HORNIC INVESTMENT PVT. LTD.</b> at the above address or email id: contact@hornic.com and Phone no. 91-022-40616100. In case not satisfied with the response, please contact the concerned exchange(s) at BSE Tel:-022 2272 8097 E-mail Id :- is@bseindia.com, NSE Tel:- 022 2659 8190 /18002660058 • E-mail Id:- ignse@nse.co.in, MSEI Tel:- 022-67318933/900 • E-mail Id:- investorcomplaints@msei.in & CDSL Tel:-022-22728698 • E-mail Id:- urmilac@cdslindia.com & prachik@cdslindia.com and on SEBI for filing complaints on SCORES Tel.: 1800 266 7575 or 1800 22 7575 • https://scores.sebi.gov.in				

**Subject: Displaying of information regarding SEBI Complaint Redress System (SCORES) in the website**  
As per NSE Circular No. NSE/ISC/2019/4 Dated July 4, 2019 in order to make complaint redressal mechanism more efficient through SCORES clients may note the following procedures:  
**a. Register on Scores portal** (Link: <https://scores.sebi.gov.in/scores/Welcome.html>)  
**b. Mandatory details for filing complaints on SCORES:** i. Name, PAN, Address, Mobile Number, Email id  
**c. Benefits:** i. Effective communication ii. Speedy redressal of the grievances  
Tel.: 1800 266 7575 or 1800 22 7575 • [www.scores.sebi.gov.in](http://www.scores.sebi.gov.in)

<b>KRA Registration details (For office purpose only)</b>									
<b>If client is already registered with KRA please fill in below details:</b>									
<input type="checkbox"/> NDML <input type="checkbox"/> CVL <input type="checkbox"/> Others _____	(Please tick (✓) any one)								
(Please furnish photocopy of KRA Registration letter)									
KRA Registration No.: _____									
Date of Registration: <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; text-align: center;">D</td> <td style="width: 20px; text-align: center;">D</td> <td style="width: 20px; text-align: center;">M</td> <td style="width: 20px; text-align: center;">M</td> <td style="width: 20px; text-align: center;">Y</td> <td style="width: 20px; text-align: center;">Y</td> <td style="width: 20px; text-align: center;">Y</td> <td style="width: 20px; text-align: center;">Y</td> </tr> </table>		D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		

**Note:** Any correction kindly counter signature, please do not use white ink.

<b>PROPRIETARY TRADE DECLARATION</b>
In terms of circular no. SEB/MRD/SE/CIR-42/2003 dated 19 Nov. 2003 issued by Securities Exchange Board of India the broker member is obliged to disclosed to its clients / constituents whether the member is trading in his own account or not. Accordingly we hereby inform you that the member, its directors or its associates do invest / trade in capital / currency / derivatives segment. The same may please be noted.

**CENTRAL KYC REGISTRY - KNOW YOUR CLIENT (KYC) APPLICATION FORM - INDIVIDUAL**

**MANDATORY**

**Important Instructions:**

- A) Fields marked with '\*' are mandatory fields.
- B) Tick '✓' wherever applicable.
- C) Please fill the form in English and in BLOCK letters.
- D) Please fill the date in DD-MM-YYYY format.
- E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.

- F) Please read section wise detailed guidelines / instructions at the end.
- G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- H) List of two character ISO 3166 country codes is available at the end.
- I) KYC number of applicant is mandatory for update application.
- J) The 'OPT based E-KYC' check box is to be checked for accounts opened using OTP based EKYC in non face to face mode.

**Hornic Investment Pvt. Ltd.**



**For office use only**

Application Type\*  New  Update

(To be filled by financial institution) KYC No. \_\_\_\_\_ (Mandatory for KYC update required)

Account Type\*  Normal  Minor  Aadhaar OTP based E-KYC (in non-face to face mode)

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
PAN*	<input type="text"/>	<input type="checkbox"/> Form 60 furnished		
Citizenship*	<input type="checkbox"/> IN-Indian	<input type="checkbox"/> Others (ISO 3166 Country Code _____ )		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> NRI	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector)	<input type="checkbox"/> B-Business	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> X-Not Categorized	
Gross Annual Income Details (please specify): Income Range per annum:				
<input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lacs -1 Crore <input type="checkbox"/> > 1 Crore				

**2. PROOF OF IDENTITY AND ADDRESS\* (Please refer instruction B at the end)**

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

<input type="checkbox"/> A- Passport Number	<input type="text"/>	 Sign across Photo
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>	
<input type="checkbox"/> C- Driving Licence	<input type="text"/>	
<input type="checkbox"/> D- NREGA Job Card	<input type="text"/>	
<input type="checkbox"/> E- National Population Register Letter	<input type="text"/>	
<input type="checkbox"/> F- Proof of Possession of Aadhaar	<input type="text"/>	
<input type="checkbox"/> Offline verification of Aadhaar	<input type="text"/>	

Address

Line 1\*

Line 2

Line 3

District\*  PIN/Post Code\*  State /U. T. Code\*  ISO 3166 Country Code\*

3. CURRENT ADDRESS DETAILS (Please refer instruction B at 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
- III  Offline verification of Aadhaar
- IV  Deemed proof of Address - Document Type code

Address

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 no. / Email-ID) (Please refer instruction C at the end)

Tel. (Off)  -  Tel. (Res)  -  Mobile  -

Email ID

5. REMARKS (If any)

6. 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.  Incase any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date: -- Place:  Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received  Certified Copies  E-KYC data received from UDAI  Data received from Offline verification  Digital KYC Process  Equivalent e-document  Video Based KYC  IPV Done

Pos Code: **1100033000**

IPV Done  on

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date: <input type="text"/>	Name <b>Hornic Investment Pvt. Ltd.</b>
Emp. Name: <input type="text"/>	Code <b>IN0350</b>
Emp. Code: <input type="text"/>	<div style="border: 1px solid black; height: 100px;"></div>
Emp. Designation: <input type="text"/>	
Emp. Branch: <input type="text"/>	
Branch Name/Code <input type="text"/>	
<div style="border: 1px solid black; height: 50px; display: flex; align-items: center; justify-content: center;">[Employee Signature]</div>	

**A Clarification / Guidelines on filling 'Personal Details' section**

- 1 **Name:** The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory: **Spouse's name or Father's name and Mother's name is Mandatory.**

**B Clarification / Guidelines on filling 'Current address details' section**

- 1 In case of deemed POA such as utility bill, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address'.
 

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and license agreements with such employers allotting official accommodation.
- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document issued by the issuing authority of such document with its valid digital signature including issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of information by intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Id entities Data Repository.

**C Clarification / Guidelines on filling 'Contact details' section**

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999). Do not add '0' in the beginning of Mobile number.
- 2 Email id (Mandatory)

**D Clarification / Guidelines on filling 'Related Person details' section**

- 1 Provide KYC number of related person, if available.

**E Clarification on Minor**

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy 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. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
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/UID/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

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

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 FI/sub account, Power of Attorney given by FI/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN

- (\*Sufficient documentary evidence in support of such claims to be collected.)
1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
  2. Investors residing in the state of Sikkim.
  3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
  4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
  5. In case of institutional clients, namely, FIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

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

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

**List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988**

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

**List of ISO 3166 two- digit Country Code**

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent & the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia & the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius & Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island & McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire !Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao !Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		







**Annexure - A**  
**Details of Promoters / Partners / karta / Trustees and whole time directors 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) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph







Name & Signature of the Authorised Signatory(ies) \_\_\_\_\_ Date \_\_\_\_\_

BANK ACCOUNT(S) DETAILS					
No.	MICR No.	Bank Name, Branch Add. & Tel. No.	A/c Type	Account No.	IFSC Code
1					
2					

Please provide Cancelled Cheque leaf for MICR &amp; IFSC Code

DEPOSITORY ACCOUNT(S) DETAILS					
Sr. No.	Depository Participant Name	Beneficiary name	DP ID No.	BO ID	Depository Name
1*	Hornic Investment Pvt. Ltd.		12033000		(Nsd/Cdsl)
2					(Nsd/Cdsl)


\*Shares bought by you will be transferred to your DP A/c stated by you at Sr. No. 1

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		NSE & MSEI	NSE	MCX
All Segments	Cash/Mutual Fund	F&O	Currency Derivatives	SLBM	Commodity
					

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

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:

OTHER DETAILS
<p>1. <b>Gross Annual Income Details (please specify):</b></p> <p>Income Range per annum: <input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lacs-1 Cr. <input type="checkbox"/> &gt; 1 Cr</p> <p><b>Net-worth as on</b> (date) _____ ( _____ ) (Net worth should not be older than 1 year)</p> <p>2. <b>Occupation (please tick any one and give brief details):</b> <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others _____</p> <p>3. <b>Is the entity involved/providing any of the following services</b> <input type="checkbox"/> YES <input type="checkbox"/> NO <b>(For Non-Individuals only)</b>  - For Foreign Exchange / Money Changer Services <input type="checkbox"/> YES <input type="checkbox"/> NO – Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) <input type="checkbox"/> YES <input type="checkbox"/> NO  - Money Lending / Pawning <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>4. <b>Please tick, if applicable:</b> Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)</p> <p>5. <b>Any other information:</b> _____</p>

<b>DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS (If dealing through Sub-brokers provide details)</b>					
Sub-Broker Name				BSE SEBI Reg. No.	
Regd. Off.				NSE SEBI Reg. No.	
Address				MSEI SEBI Reg. No.	
Signature of Sub-Broker <b>X</b>	Tel. No.			MCX SEBI Reg. No.	
	Fax No.			Remisier/AP (BSE)	
	Website			AP (NSE/MSEI)	
Whether dealing with any other stock broker/sub-broker (if in case dealing with multiple stock brokers/sub-brokers, provide details of all)					
Name of Stock Broker		Name of Sub-Broker, if any		Client Code	Exchange
Details of disputes/dues pending from/to such stock broker/sub- broker:					
<b>Pursuant to SEBI Circular dt.3.8.2018, w.e.f.1.4.2019 Sub-Broker has been migrated to Authorised Person</b>					
<b>ADDITIONAL DETAILS</b>					
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):					<input type="checkbox"/> YES <input type="checkbox"/> NO
Specify your Email id, if applicable:					
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):					<input type="checkbox"/> YES <input type="checkbox"/> NO
Number of years of Investment/Trading Experience:					
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: Details as per Annexure - A					
Any other information					
<b>INTRODUCER DETAILS (Optional)</b>					
Name of the Introducer				Signature of Introducer <b>X</b>	
Add. / Tel.					
Status of the Introducer: Sub Broker / Remisier / Authorized Person / Existing Client / Others, please specify_____					
<b>DECLARATION</b>					
1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.					
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.					
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.					
Name				Signature of client	
Place		Date			

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client:		
Documents verified with Originals	Client Interviewed / Approved by	In person Verification done by
Name of the employee		
Signature		
Designation of the employee		
Employee Code		
Date		

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents.

I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. 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 Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

Date: \_\_\_\_\_ Signature of the Authorised Signatory Seal/Stamp of the stock broker

**INSTRUCTIONS/ CHECK LIST**

**1. Additional documents in case of trading in derivatives segments - illustrative list: (Please provide physical copy of below mentioned list)**

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

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

2. Self-certified copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted. (Not more than 4 months old)
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. **For individuals:**
  - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. **For non-individuals:**
  - a. Form need to be initialized by all the authorized signatories.
  - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

**POLICIES AND PROCEDURES (MANDATORY) OF HORNIC INVESTMENT PVT. LTD.**

**a. Refusal of orders for penny stocks:**

Although, the term 'Penny Stock' has not been defined by BSE/NSE/MSEI or any stock exchanges, SEBI a penny stock generally refers to a stock which has following mentioned characteristics:

- Has small market capitalization;
- Trades at a price less than its face value;
- Has unsound fundamentals;
- Is illiquid (A list of illiquid securities is jointly released by NSE, BSE & MSEI from time to time.)

Hornic Investment Pvt. Ltd. recognizes that it is client's privilege to choose shares in which he/she would like to trade. However, HORNIC INVESTMENT PVT. LTD. like to have special attention to dealing in "Penny stocks". To this end,

- Hornic Investment Pvt. Ltd. may refuse to execute any clients orders in penny stocks without assigning any reason for the same.
- Any large order for purchase or sale of a "Penny stocks" should be referred to Head - Dealing, such orders can be put in the market for execution.
- Clients must ensure that trading in "Penny stock" doesn't result in creation of artificial volume or false or misleading appearance of trading. Further, clients should ensure that trading in "Penny stock" doesn't operate as a device to inflate or depress or cause fluctuations in the price of such stock.
- Clients are expected not to place orders in penny stocks at prices which are substantially different from the prevailing market prices. Any such order is liable to be rejected at the sole discretion of HORNIC INVESTMENT PVT. LTD.
- In case of sale of penny stocks, client should ensure delivery of shares to HORNIC INVESTMENT PVT. LTD. before the pay-in date.
- HORNIC INVESTMENT PVT. LTD. reserves the right to refuse or restrict the execution of any transaction requests of the Client on certain stocks depending on various conditions like volume, value, illiquidity, even though a client may have credit balance or sufficient margin in the trading account or restrictions in Z group/T group or restrictions on ASM/GSM securities appearing in SMS list.

**b. Setting up client's exposure limit:**

- Exposure limit for each client is determined by the Risk management Department based on Net-worth information, client's financial capacity, prevailing market conditions and Margin deposited by client in the form of funds/securities with the HORNIC INVESTMENT PVT. LTD. These limits may be set exchange-wise, segment-wise, & scrip-wise.
- Hornic Investment Pvt. Ltd. retains the discretion to set and modify from time to time any clients exposure limit decided as above.
- The limits are determined by Risk Management Department based on the above criteria and payment history of the client in consultation with Sales/Sales trader.
- Whenever, any client has taken over or wants to take exposure in any security, HORNIC INVESTMENT PVT. LTD. may call for appropriate margins in the form of early pay-in of shares or funds before or after execution of trades in the Cash segment. In case of any margin shortfall, the clients are told to reduce the position immediately or requested to deposit extra margin to meet the shortfall. Otherwise, HORNIC INVESTMENT PVT. LTD. may refuse to trade on behalf of such client in its own discretion.

**c. Applicable brokerage rate:**

- The applicable brokerage rate is mentioned in the Client registration form and any future change in the brokerage rate is communicated to the client & should be with clients consent.
- The maximum brokerage chargeable will not exceed as prescribed by SEBI and exchanges.

**d. Imposition of penalty / delayed payment charges by either party, Specifying the rate and the period:**

- Penalty and other charges levied by Exchanges pertaining to trading of the client shall be recovered from the respective client.
- If there is delay on part of client in satisfying his/her margin obligation or settlement obligations, then, HORNIC INVESTMENT PVT. LTD. shall levy interest at the rate of 12% p.a. on such shortage amount for the delayed period on such client. HORNIC INVESTMENT PVT. LTD. shall recover such delayed payment charges from the client by debiting the client's account.
- No interest or charges will be paid by HORNIC INVESTMENT PVT. LTD. to any client in respect of retention of funds or securities towards meeting future settlement obligations and in respect of running account authorizations.

**e. Right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non payment of client's Dues:**

Hornic Investment Pvt. Ltd. shall have the sole discretion to square off the open position of the Client and/or sell clients' securities (including securities maintained as margin with Hornic Investment Pvt. Ltd. and securities lying in client's beneficiary/demat account) in case the Client fails to meet its settlement/margin obligations in time. The specific securities to be sold and the positions to be squared off shall be decided solely by Hornic Investment Pvt. Ltd. Further, the square off of client's open position or the selling of securities may be executed on best effort basis on such Exchanges and at such price as may be decided by Hornic Investment Pvt. Ltd. Hornic Investment Pvt. Ltd. shall have no obligation of communicating the same to the Client. Hornic Investment Pvt. Ltd. shall not be responsible for any losses, delays, brokerage, other charges, margin shortfall penalties etc. incurred by the Client due to such squaring off of the open position of the client.

Hornic Investment Pvt. Ltd. reserves the right to square off client's open positions or sell clients' securities under following circumstances:

- (i) Where the limits given to the Client have been breached.
- (ii) Where the Client has defaulted on their existing obligation and/or had failed to make payments/deliver securities to Hornic Investment Pvt. Ltd. within the stipulated time period.
- (iii) Where the margin or security placed by the Client with Hornic Investment Pvt. Ltd. falls short of the applicable minimum margin as may be required to be maintained by the client.
- (iv) Where Mark to Market Loss on the open position has reached 80 % of the margins placed with Hornic Investment Pvt. Ltd. and the Client(s) have not taken any steps either to replenish the margin or reduce the Mark to Market Loss.
- (v) If the open position is neither squared off nor converted to Delivery by Client(s) within the stipulated time. Hornic Investment Pvt. Ltd. shall not be hold responsible for any losses, brokerage, other charges, margin shortfall penalties etc.

**Square off policy:**

- 1) Open positions in CM segment may be squared off on T+7 days in either of following circumstances to the extent of due debit and unsettled obligation amount if any;
  - Ledger Account is in debit for 5 continues days and payment is not realized by the T+6th day, or
  - Securities Remain unpaid on clear fund basis for T+7 days, or
  - Total asset cover (Including shares in BO POA account offered as collateral) to debit falls below 120% on real time basis)
- 2) Payment made to HORNIC INVESTMENT PVT. LTD. will be recognized and credited on real time basis such payments made need to be informed to accounts department.
- 3) In case of square off, securities available in unpaid securities account/ client collateral account(s) may be sold proportionate to the outstanding amount or based on liquidity/ depth in market on a FIFO basis.
- 4) On the day of square off, Client will be put on square up mode/100% margin without collateral margin benefit. No fresh exposure will be allowed on square off days unless on receipt of clear funds.

Ledger balance for the purpose will be considered on the basis of realized balance excluding unclear cheque credit. However, management at their sole discretion may take any informed decision to deviate from the aforementioned policy in certain instances on a case to case basis.

**f. Shortages in obligations arising out of internal netting of trades:**

- To determine the net obligation of a broker / trading cum clearing member (for securities and funds) in a settlement, clearing house does the netting of trades at the broker level. It is possible that a broker's net obligation towards clearing house may be nil but due to default by one or more clients in satisfying their obligations towards the broker, the broker internally might have shortages to fulfill its obligation towards the other client(s). In such situation, HORNIC INVESTMENT PVT. LTD. shall endeavor to collect the securities from the selling client and deliver it to the purchasing client within 48 hours of the settlement date. In case the selling client is unable to deliver the securities within 48 hours, then HORNIC INVESTMENT PVT. LTD. shall attempt to purchase the security from the market and deliver it to the purchasing client. If HORNIC INVESTMENT PVT. LTD. is unable to obtain the securities from the market, then the transaction will be closed out as per the auction rate prescribed by the Exchange for that scrip and the closing amount will be credited to the purchasing client and same will be debited to the selling client.

**g. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of the client**

HORNIC INVESTMENT PVT. LTD. shall have absolute discretion and authority to limit client's volume of business or

to close any existing position of a client without giving any prior notice to the client under following mentioned conditions:

- Extreme volatility in the market or in particular scrip or in the F&O segment.
- If there is shortfall in the margin deposited by client with HORNIC INVESTMENT PVT. LTD..
- If there is insider trading restrictions on the client.
- If there are any unforeseen adverse market conditions or any natural calamities affecting the operation of market.
- If there are any restrictions imposed by Exchange or Regulator on the volume of trading outstanding positions of contracts.
- If the client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- If Hornic Investment Pvt. Ltd. has reached its limit in that scrip.
- If the clients has breached the client-wise limit.
- If the client has taken or intends to take new position in a security which is in the ban period.
- If due to abnormal shortfall in the market, if market are closed.

**h. Temporarily suspending or closing a client's account based at the Client's request:**

- Any client desirous of temporarily suspending his or her trading account has to give such request in writing to the management. After management's approval, any further dealing in such client's account will be blocked. Whenever, any suspended account wants to resume trading, request in writing should be made to management and management may ask for updated financial information & other details for reactivating such account. After receiving necessary documents, details etc. and approval from the management, client is reactivated & is allowed to carry out transaction.
- Similarly, any client desirous of closing his/her account permanently is required to inform in writing and the decision in this regard is taken by management. After necessary approval from the management, the client code is deactivated. Only after scrutinizing the compliance requirements and "no pending queries" confirmation is taken, securities and funds accounts are settled.

**i. Deregistering a Client**

HORNIC INVESTMENT PVT. LTD. may, in its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which HORNIC INVESTMENT PVT. LTD. may deregister a client are given below:

- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
- Such client has been indicated by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibiting entities or SEBI debarred list.
- Such client's account has been lying dormant for a long time or client is not traceable.
- Such client has declared insolvent or any legal proceedings to declare him/her as such have been intended.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.
- Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of HORNIC INVESTMENT PVT. LTD. or may act as detriment to HORNIC INVESTMENT PVT. LTD.'s prospects.

**J. Inactive Client Account**

As per the BSE & NSE circular on "Treatment of Inactive Trading account" dated February 10, 2020, the term "Inactive" refers to such account wherein no trades have been carried out since last 12 (Twelve) months across all Exchanges. Any further trading by "Inactive" client will be allowed only after undertaking sufficient due diligence (including In-person verification) and obtaining updated information related to KYC.

**Return of client assets:**

- HORNIC INVESTMENT PVT. LTD. shall settled all client's account on monthly or quarterly basis (as per the client preferences) in the manner prescribed from time to time. In case HORNIC INVESTMENT PVT. LTD. is unable to settle the client account due to non-availability of client's bank account and demat account details and non-traceability of client, HORNIC INVESTMENT PVT. LTD. will make all efforts to trace the client to settle their funds and securities lying with HORNIC INVESTMENT PVT. LTD.. Further in cases where HORNIC INVESTMENT PVT. LTD. is unable to trace such clients in spite of all efforts

taken, HORNIC INVESTMENT PVT. LTD. will open one separate Client Bank/Client collateral Demat account and immediately set aside the funds and securities of these clients in such account.  
In case of receipt of any claims from such clients, HORNIC INVESTMENT PVT. LTD. shall settle the accounts immediately and make the payment/delivery to the respective clients only.

Any outstanding dues in the client's account will be communicated and collected from the client and the client will be liable to pay such dues immediately on receiving such communication.

I/We have fully understood the above and do hereby sign the same. These policies and procedures may be amended unilaterally by the broker, provided the amendment is informed to me / us and is preceded by a notice and consent is obtained from clients as per applicable laws, rules and regulations of exchange/SEBI. These policies and procedures shall always be read alongwith this client registration form and shall be referred to while deciding any dispute or claim between me / us and broker before any regulator or arbitrator or court of law.



---

(Signature of the constituent)

**BROKERAGE AND STATUTORY CHARGES**

Further, I agree to the following terms of doing business

Segment	Sq. off %		Sq. off Min (ps)		Settlement %		Settlement Min (ps)	Delivery %	Delivery Min (ps)
	Buy	Sell	Buy	Sell	Buy	Sell			
BSE Cash									
BSE F&O									
NSE Cash									
NSE F&O									
NSE Curr.									
NSE SLBM									
MCX Comm.									
MSEI Cash									
MSEI F&O									
MSEI Curr.									

The above given brokerage will be inclusive/exclusive of the following charges.

	BSE Cash	BSE F&O	NSE Cash	NSE F&O	NSE Currency	NSE SLBM	MCX Comm.	
Transaction charges								
Sq. up Stamp Duty								
Del. Stamp Duty		N. A.		N. A.				
STT/CTT								
GST								
SEBI Fees								

	MSEI Cash	MSEI F&O	MSEI Currency					
Transaction charges								
Sq. up Stamp Duty								
Del. Stamp Duty		N. A.		N. A.				
STT/CTT								
GST								
SEBI Fees								

- Note:**
1. Inter settlement/DP transaction charges arising out of purchase/sell transactions effected by constituents will be debited to Constitute Account.
  2. The above charges are subject to change by the regulatory authorities or Government agencies.
  3. Brokerage charged shall not exceed the maximum limit as prescribed by SEBI/Exchanges.
  4. All regulatory and statutory taxes/charges shall be levied at actuals, at the rate prevailing from time to time.



Signature of the Client \_\_\_\_\_

### Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

**MANDATORY**

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

Client Signature 

## Policy for Handling Good till Triggered Orders (GTT/GTC/GTD)

**MANDATORY**

### Introduction

In compliance with NSE circular NSE/INSP/62528 dated June 21, 2024, and BSE circular 20240622-2 dated June 22, 2024, this policy outlines the management of Good Till Cancelled (GTC), Good Till Triggered (GTT), Good Till Date (GTD), and similar order types provided to clients of Hornic Investment Pvt. Ltd. (HIPL).

### Scope

This policy includes:

1. Detailed descriptions of GTC, GTT, and GTD orders, including validity parameters.
2. Procedures for managing such orders during corporate actions, including cancellations, price resets, and retention of unexecuted orders.
3. Client notification timelines for corporate actions affecting unexecuted orders, ensuring notifications are sent at least one day before the ex-date.

### Good till Triggered (GTT) Orders

#### Definition and Features

Good till Triggered (GTT) orders allow clients to place buy and sell limit orders that remain active until a specific price-based trigger condition is met. These orders can be applied to equity cash products, index futures, and index options

#### Eligibility

- GTT orders are available to all current and new clients eligible to trade in equity cash products and derivatives.
- This facility is not available for products like Margin and Spot.
- Any new segments where GTT orders are introduced will be updated on the HIPL website and reflected in this policy.

#### Validity

- GTT orders must be placed at a limit price and cannot be submitted at market price.
- Unexecuted quantities of GTT orders will be placed as new orders on subsequent trading days until the validity expires or the order is executed or cancelled.

#### Placement

- GTT orders can be placed during pre-open and regular trading hours. Orders for scrips not enabled during the pre-open session will be treated as overnight orders.
- Orders may also be placed via the Call and Trade facility.

### Order Modification and Limits

- Clients may modify the quantity or limit price of GTT orders when they are in 'Ordered' or 'Requested' status. Orders in 'Blocked' status can only be cancelled.
- A maximum of two GTT orders can be placed per scrip, with an overall cap of thirty orders across all eligible scrips.

### Client Obligations

- Clients must ensure sufficient funds or margins are available to cover unexecuted quantities of GTT orders.

### Exclusions

- GTT orders cannot be placed for debt securities, NCDs, bonds, or illiquid securities.

### Handling of GTT Orders During Corporate Actions

In the event of a corporate action affecting a security, all GTT orders will be validated against the Daily Price Range (DPR) issued by the exchange. Orders that do not meet the updated criteria will be marked as "GTT Blocked" and retried on subsequent trading days. Notifications will be sent to clients via email and SMS in cases where GTT orders are blocked due to price limitations or insufficient funds/securities.

### Client Notification of Upcoming Corporate Actions

HIPL will notify clients with unexecuted GTT orders of all relevant corporate actions, such as dividends, bonuses, and splits, at least one day before the ex-date. Clients are responsible for reviewing, modifying, or cancelling their orders in response to these actions.

### Policy Communication

This policy is included in the Account Opening Form/Kit under "Policy on Handling of Good Till Cancelled Orders of Clients." It is also available on the HIPL website for client reference.

### Policy Review

This policy will be reviewed annually to incorporate any changes required by regulatory updates or operational needs.

### No Liability for Non-Execution or Opportunity Loss

Hornic Investment Pvt. Ltd. will not be liable for Non-execution of any GTT order. Partial or full rejection of any leg of the order. Any opportunity loss resulting from such non-execution. Cancellation or non-placement of orders due to system or regulatory constraints.

Signature of the Client



First Holder's Signature

NSE No. NSE/INSP/62528 dated 21.06.2024 & BSE 20240622-2 dated 22.06.2024

## INSTRUCTIONS FOR THE APPLICANTS FOR ACCOUNT OPENING

Applicant shall fill up the KYC Application form as specified by the KYC Registration Agency for individuals or for Non-Individuals as the case may be and additional KYC Form for opening a Demat Account for Individuals (Annexure 2.1) or for Non-Individuals (Annexure 2.2) and submit the same to the DP. The applicant should submit any one of the documents as valid Proof of Identity and Proof of address as specified by SEBI from time to time. If the investor is already KRA compliant, the investor should disclose such details of KRA with whom he / she is registered. Such investor need not submit KYC documents and KYC application form again. A Power of Attorney holder cannot open a demat account on behalf of the BO. DP must collect separate KYC application forms from sole / first holder, second holder and third holder in case of Joint Accounts. In case, if sole holder is a minor, KYC application form should be collected from the guardian also. Separate KYC application form to be collected from the HUF entity, Karta, Trust and Trustees in case of unregistered Trust and Partnership Firms. In order to open an account, the investor needs to fill up KYC Application form (if not KRA compliant) and Additional KYC form for opening a demat account. As per the format provided by CDSL (Annexures 2.1 or 2.2). The investor shall complete the standard form in all respects and submit the same to the DP along with the relevant documents as prescribed by SEBI vide circular no. MIRSD/SE/CIR-21/2011 dated October 5, 2011 & circular no. MIRSD/CIR-26/2011 dated December 23, 2011. However, the DPs can obtain a single form from the CM for opening the multiple accounts of same exchange, e.g. CM Principal and CM USA accounts for BSE and CM Clearing Member for exchanges other than BSE. Instructions to the applicants / BOs for account opening as given in Annexure 2.3 may also be printed on the account opening forms or given to the BOs as a separate sheet along with the accounting form. Those section of the application form, which are not relevant to any particular type of BO, shall be marked "Not Applicable". BO must provide photocopies of documents submitted on regular paper and not on thermal facsimile paper.

Obtaining PAN Card details of all holders is compulsory for all categories of demat account holder (s) & updation of the same in CDSL system. In some cases, the PAN is not required to be entered. Such cases are to be handled by entering appropriate exemption code. The exemption codes provided are as follows:

Exemption Code	D	G	P	S	U	H
Exemption Description for the account holder	Custodian	Governor	President of India	Sikkim Resident	UN entities / Multilateral Agencies	Holder Deceased

### CHECK-LIST → (All the documents must be self attested by applicant)

#### (A) Correspondence Address

- This is applicable to all types of investors. • If correspondence address of the BO is not the same as permanent address, then the DP shall obtain proof of correspondence address and enter the same in the system, in case the BO is not registered with KRA.
- If the BO is registered with KRA and wants to use the same correspondence address mentioned in the KRA system, the BO will inform the DP accordingly. • If the BO is registered with KRA and does not want to use the correspondence address mentioned in the KRA system, the BO will inform the DP and submit SEBI specified proof of address document for the address to be entered on CDSL system.
- As per SEBI Circular No. CIR/MRD/DP/37/2010 dated December 14, 2010, address of a third party as a correspondence address, may be captured in a BO account provided that the Depository Participant (DP) ensures that all prescribed 'Know Your Client' norms are fulfilled for the third party also. The DP shall obtain proof of identity and proof of address for the third party. The DP shall also ensure that customer due diligence norms as specified in Rule 9 of Prevention of Money Laundering Rules, 2005 are complied with in respect of the third party.
- Where third party address is accepted as correspondence address, the DP shall ensure that proof of permanent address for the BO has been obtained and the same has been entered in the system. DPs should ensure that the statement of transactions and holdings are sent to the BO's permanent address atleast once in a year. • In case of PMS accounts, portfolio manager's address cannot be captured as correspondence address.

#### (B) Minor Details

The minor shall be the first and sole holder in the account i.e. there shall not be any joint accounts where a minor is a First / Second / Third joint holder. PAN card details of minor have to be entered in CDSL system.

In case of death of Guardian of existing Minor account holder:

In the case of death of the guardian of an existing minor account holder, the following procedure shall be followed:

- i. Original Death Certificate of the deceased Guardian or a copy of the same, duly notarized or attested by a Gazetted Officer.
- ii. The minor's account shall be frozen under the appropriate reason code till the new guardian has completed all formalities.
- iii. Original or copy of the Court Order (duly notarized or attested by a Gazetted Officer), if the new guardian has been appointed by the Court.
- iv. The new guardian shall submit a new account opening form duly complete in all respects along with KYC application form or details of KRA registered with.
- v. DP has to provide a copy of Rights and Obligations document to the new guardian and keep an acknowledgement of the same on record.
- vi. The new guardian shall submit a fresh Nomination Form for the minor's account.
- vii. After verification of the AOF and documentation, details of the Guardian of the Minor account holder shall be suitably modified in the CDSL system.
- viii. The signature of the deceased guardian shall be deleted and the signature of the new guardian shall be recorded in the CDSL system.
- ix. POA documents/details, if any, recorded with the signature of the deceased guardian shall be deleted.

After the minor has attained majority, DP must collect new KYC application form after the minor has attained majority. The following procedure is to be adopted: • The account holder shall submit KYC application form or details of KRA registered with. • The account holder shall submit a new account opening form duly complete in all respects. The DP shall provide a copy of the Rights and Obligations document to the account holder and shall keep an acknowledgement of the same on record. • The guardian's details shall be deleted and guardian's signature shall be replaced by account holder's signature.

The above procedure can be followed only if the word 'minor' is not present in the "Account Holder's name" when the account was opened. If "minor" word is present, then the existing account has to be closed and a new account shall be opened.

#### (C) HUF

The documents to be obtained are:

- a) The PAN details of the HUF entity would have to be entered in the CDSL system.
- b) Declaration by Karta giving details of the family members of the HUF with their names, sex (male/ female), date of birth and relationship with the Karta.
- c) DPs shall note the following while opening a HUF account:
  - HUF accounts cannot be opened with joint holder(s).
  - HUF accounts cannot appoint a nominee.
  - In the account opening form, the Karta shall sign under the HUF stamp.
  - Account can be opened in the name of - Existing Karta / HUF entity
  - The name shall be as it appears in the PAN card, e.g. A H Doshi & Sons, Bal Govind Zangle (HUF).
  - In case POA is to be given by the karta to some other entity to operate the HUF Account, the POA shall be signed by all the members of the HUF account in addition to the karta.

Procedure to be adopted in the event of death of Karta is as follows:

- HUF, being a Hindu Undivided Family, the property of the family is managed by the Karta, • HUF does not come to an end in the event of death of the Karta. In such a case, the members of the HUF will appoint the new Karta. • The new karta shall submit the new list of members and a no objection from the surviving members of the HUF for him to act as Karta of the HUF. • The new Karta will submit to the DP the account modification form and record change in signature of the new Karta to operate the account. • The previous account need not be closed and the same account can continue.

Procedure to be followed in case of partition of HUF:

In case of partial partition of the HUF, if one or two members of the HUF have left, the others can still continue the HUF in the existing name. In case of full partition, the entire HUF is dissolved. In both the above cases, the Karta can transfer shares to the members who seek partition. If the issue of transfer cannot be amicably settled, the family members can go to court and transfer of shares can then be based on the Court directions.

Procedure to be followed in case of POA being given for the HUF

The Power of Attorney (POA) document shall be signed by the Karta of the HUF and all the co-parceners.

#### (D) NRI

- a) In case of foreign address, if address with P.O. Box No. has been submitted as Permanent and/or Correspondence address. Additionally the DPs shall obtain the complete residential address of the NRI BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.
- b) A declaration duly signed by the NRI that he/she has complied with and will continue to comply with, FEMA regulations and other applicable laws. Change of status from NRI to Resident and vice versa: It is the responsibility of the individual to inform the change of status to the DP with whom he/she has opened the demat account. Subsequently, a new demat account in the new status will have to be opened, securities shall be transferred from the old demat account to the new demat account and then the old demat account shall be closed.

#### (E) Foreign Nationals

- a) Documents – same as NRI. • b) If the foreign address with P.O. Box No. is given as Permanent and/or Correspondence address, additionally, the DPs should obtain the complete residential address of the Foreign National BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.

(F) **Association of Persons (AOP)**

- a) Object of the association. b) Powers of the Managing Committee. c) Copy of the Bye Laws.

(G) **Proprietary / Partnership Firms**

BO accounts in the name of the Proprietorship Concern or Partnership Firm cannot be opened in CDSL system. KYC application form / KRA details are to be obtained for proprietor / partners and partnership firm. For Partnership firm, Partnership deed is also to be obtained. The pan card details of the partnership firm / proprietor is to be updated in the CDSL system.

BO's Account can have a maximum of three names associated with it: the Sole/ First Account holder, the First Joint holder and the Second Joint holder. One passport-size photograph of each applicant shall be pasted on the form along with their signatures across the photograph and Account Opening Form.

(H) **Foreign Corporate**

A duly signed declaration that the corporate has complied with, and will continue to comply with, FEMA Regulations and other applicable laws.

(I) **Clearing Member (CM)**

- a) If CM is a corporate body: True copy of certificate of registration with SEBI, certified by Managing Director/Company Secretary / notarized.  
b) If CM is a not a corporate body: • The CM account (CM Pool / CM Principal / 1 / Early Pay-in) may be opened in the CDSL system:  
i)- either in the name of the partnership firm/entity as mentioned on the Certificate of Registration with SEBI, or ii)- in the name of the proprietor or partners (up to three partners). • Photocopy of Certificate of Registration with SEBI, duly notarized.  
c) Asset Management Company (AMC) Pool Account: • This account is linked with a stock exchange.  
Following document is to be submitted by the AMC for opening the pool account with any DP of CDSL for the purpose of settlement of mutual fund units:  
• Letter / circular / instructions issued by the concerned Stock Exchange indicating the CM ID.

(J) **OCBs**

- a) Certified true copy of Board Resolution, certified by Managing Director/Company Secretary for persons authorized by the Board to act as authorized signatory (ies).  
b) Names of the authorized signatory (ies), designation, photographs and their specimen signatures, certified by Managing Director/Company Secretary.  
c) Memorandum and Articles of Association of the Company.  
d) RBI Registration Certificate.  
e) Declaration from the OCB that it meets with the guidelines issued by RBI / Ministry of Finance.  
f) Certificate from overseas auditors in Form OAC or OAC – 1, as may be applicable.  
g) Statement of account from the Bank.

(K) **Society**

Registered Society: The account shall be opened in the name of the society.

Unregistered Society: a) The account shall be opened in the names of the members under "Individual" category (maximum three accountholders).

b) All the documents, as applicable for account opening under individual category, shall be obtained.

(L) **Trust**

Public Trust/ Charitable Trust and Trust capable of holding property in its name (Registered Trust /Public Trust):

- a) Account shall be opened in the name of the Trust.  
b) Certificate of Registration of Trust under the Societies Registration Act/Public Trust Act, 1860 / Bombay Public Trust Act, 1950 / Public Trust Act, of relevant State.  
c) Certified true copy of Board Resolution to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account.  
d) Names of the authorized signatories, designation, and their specimen signatures duly verified by the Managing Trustee.

Private Trust:

- a) The Board of Trustees shall specify the names of the trustee/s who shall hold/ operate the demat account.  
b) The account shall be opened in the names of the trustees under "Individual" category of the first named trustee (maximum three account holders).

Recognized Funds / Trusts/ Other similar entities.

The Funds/ Trusts/ Entities presently included under this category are as follows:

- a) Employees Provident Fund, which have been recognized by the Provident Fund Commissioner under Employee's Provident Funds & Miscellaneous Provisions Act, 1952.  
b) Employees Gratuity Fund, which are formed under Payment of Gratuity Act, 1972.  
c) Superannuation Fund which are formed under the guidelines issued by Income Tax Department.  
d) Venture Capital Funds which are registered by SEBI.  
e) ESOP Trust formed pursuant to the guidelines issued by SEBI).

Accounts of the above Funds/ Trusts/ Entities shall be opened in the name of above Funds/ Trusts/ Entities as they are recognized either under the Income Tax Act or Securities & Exchange Board of India Act, etc.

Documents to be furnished by the above Funds/ Trusts/ Entities and other Funds/ Trusts/ Entities, which are similarly placed, are:

- Certificate of Registration, if any, issued by the authority recognizing the Fund / Trust / Entity as such; • Trust Deed and Rules and/or any document or charter defining their constitution and providing for management thereof; • List of Members on the Board of Trustees/Governing Body; • Certified true copy of the Resolution passed by the Board of Trustees/Governing Body to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account; • Names of the authorized signatories, designation, and their specimen signatures duly verified by the Managing Trustee;

(M) **Banks**

- a) Certified true copy of Board Resolution, or b) Letter on the letterhead of the bank, signed by the Chairman/MD authorizing opening of account and authority given to authorized signatories to open and operate the demat account.

(N) **Mutual Funds**

SEBI Registration Certificate clearly indicating the name of the Mutual Fund.

(O) **Escrow Account**

• KYC form / KRA details of entity that is opening the account (RTA / Clearing Member / Manager to the Issue). • The photographs of the authorized signatory (ies) who would be operating the account. • PAN card of both parties i.e. Corporate entity & Escrow Agent. The PAN details of the Corporate entity would have to be captured in the CDSL system.

Procedure for opening Escrow account.

- The escrow account shall be opened in the name and form of < Issuer name> - <Reason for opening the escrow account>-operated by-<Operator Name> for e.g. Infosys Technologies Ltd. – Buyback Account - Operated by – Karvy Consultants Ltd. • The photographs of authorized signatories who will be opening the account as well as who will be operating the account along with name, designation shall also be obtained. • The escrow account shall be active for the limited period of the activity for which it has been opened. Such period shall be as specified by SEBI / CDSL or any such regulating authority from time to time. After the specified period is over the account shall be closed by the DP irrespective of whether the closure instruction is received from the account holder or not.

(P) **Limited Liability Partnership Firm**

Demat Account for Limited Liability Partnership Firm [which is registered under the Limited Liability Partnership Act (2008)]

Such an account shall be opened as: <"Company Name" Limited Liability Partnership> or <"Company Name" LLP>. For example, if the company name is "ABC" then the demat account shall be opened in the name of <ABC Limited Liability Partnership> or <ABC LLP>.

The following documents shall be obtained :

- (i) Registration Certificate granted by the Registrar to the LLP under the LLP Act 2008. (ii) Declaration, on the letterhead of the LLP signed by all the designated partner/s clearly stating that the within named persons, who are designated partners of the LLP, have been nominated as authorized signatories to open and operate the said demat account on behalf of the LLP. (iii) The declaration shall specify the manner in which the account will be operated, that is: jointly or severally and shall give details of the names, addresses and DPIN [Designated Partner Identification Number allotted by the Registrar for each designated partner]/DIN [Directors Identification Number] along with their signatures and photographs. (iv) PAN Card details of the LLP are to be entered in the CDSL system. (v) The bank details in the name of the LLP, as sole / first holder in the bank account. (vi) PAN card of the authorized signatories to be kept on record. (vii) In case of change in registered office address of the LLP, the DP should take on record the notice of change of address filed by the LLP with the Registrar

• Joint holders in the demat account may be allowed. • Nomination in such demat accounts shall not be allowed. • Such demat accounts shall be opened under "Corporate" status in the CDSL system with the sub-status "Limited Liability Partnership".

**ANNEXURE - 3**

**HORNIC INVESTMENT PVT. LTD.**

1303-1304, 13th Floor, Arcadia, Plot-195, NCPA, Nariman Point, Mumbai - 400021.

Tel.: 4061 6263 DP Dept.: 4061 6213 / 14 / 15 / 16 • Fax: 91-22-4061 6119

E-mail: naresh@hornic.com, cds@hornic.com, bo@hornic.com, boacc@hornic.com • Website: www.hornic.com

DP ID No. 120 33000 • DP SEBI REG. NO.: IN-DP-538-2020

(To be filled by the Depository Participant)

Application No.		Date																		
DP Internal Reference No.																				
DP ID	1	2	0	3	3	0	0	0	0	Client ID	0	0								

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

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

<b>Type of Account</b>		<b>(Please tick whichever is applicable)</b>		
<b>Status</b>	<b>Sub – Status</b>			
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual-Director	<input type="checkbox"/> Individual Director's Relative	
	<input type="checkbox"/> Individual HUF / AOP	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	
	<input type="checkbox"/> Individual Resident Negative Nomination	<input type="checkbox"/> Minor	<input type="checkbox"/> Others (specify)	
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non-Repatriable	<input type="checkbox"/> NRI-Repatriable Promoter	
	<input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> NRI – Depository Receipts	<input type="checkbox"/> Others (specify)	
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign - National	<input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Others (specify)	

<b>Type of Account</b>		<b>(Please tick whichever is applicable)</b>		
<b>Status</b>				<b>Sub – Status</b>
<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Banks	<input type="checkbox"/> Trust	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> OCB
<input type="checkbox"/> CM	<input type="checkbox"/> FI	<input type="checkbox"/> Clearing House	<input type="checkbox"/> Other (Specify)	<input type="checkbox"/> FII
				<b>To be filled by the DP</b>
Date of Birth/Incorporation				
SEBI Registration No. (If Applicable)		SEBI Registration Date		
RBI Registration No. (If Applicable)		RBI Approval Date		
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____			

**Holders Details**

Sole / First Holder's Name	PAN																			
	UID	X	X	X	X	X	X	X	X	X										
	UCC																			
	Exchange Name & ID	CM ID M50703, TM ID BSE 368 & TM ID NSE 08148																		
Second Holder's Name	PAN																			
	UID	X	X	X	X	X	X	X	X	X										
Third Holder's Name	PAN																			
	UID	X	X	X	X	X	X	X	X	X										

Name*	
* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.	

<b>Details of Guardian</b>		<b>(in case the account holder is minor)</b>		
Guardian's Name		PAN		
Relationship with the applicant				

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be `Yes`)	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be `No`)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	
I / We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be `Yes`) [ECS is mandatory for locations notified by SEBI from time to time ]	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Clearing Member Details (To be filled by CMs only)**

Name of Stock Exchange			
Name of CC / CH			
Clearing Member Id		Trading member ID	

**Bank Details (Dividend Bank Details)**

MICR code starting with 000 will not be eligible for ECS.

Bank Code (9 digit MICR code)									
IFS Code (11 character)									
Account number									
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Cash Credit <input type="checkbox"/> Others (specify)								
Bank Name									
Branch Name									
Bank Branch Address									
City		State		Country		PIN			

- (i) Photocopy of the cheque/cancelled cheque having the name of the account holder where the cheque book is issued, (or)
  - (ii) Photocopy of the Bank Statement having name and address of the BO
  - (iii) Photocopy of the Passbook having name and address of the BO, (or)
  - (iv) Letter from the Bank.
- In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

**OTHER DETAILS**

- Gross Annual Income Details (please specify):** Income Range per annum:  
 Below Rs 1 Lac    1-5 Lac    5-10 Lac    10-25 Lac    25 Lacs -1 Crore    > 1 Crore
- Net-worth as on (date)** \_\_\_\_\_ ( \_\_\_\_\_ ) (Net worth should not be older than 1 year)
- Occupation (For Individuals only)**  Private / Public Sector    Govt. Service    Business    Professional    Agriculture    Retired  
 Housewife    Student    Others (Specify) \_\_\_\_\_
- Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP)  or Related to Politically Exposed Person (RPEP) . Please provide details as per Annexure 2.2 A.
- Any other information:** \_\_\_\_\_

<b>SMS Alert Facility</b> Refer to Terms & Conditions given as Annexure-2.4	<input type="checkbox"/> Yes MOBILE NO. +91 _____ [(Mandatory , if you are giving Power of Attorney ( POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	<input type="checkbox"/> No
<i>easi</i>	<input type="checkbox"/> Yes. To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/> No




**MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)**

Sole Holder       Jointly       Anyone of the Holder

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder.

<input type="checkbox"/> First Holder	<input type="checkbox"/> All Holder	Email id
	<input type="checkbox"/> Second Holder	
	<input type="checkbox"/> Third Holder	

I/We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details/Particulars mentioned by me/us in this form. I/We further agree that any false/misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature			

(Signatures should be preferably in black ink).



**\*Joint Accounts:**

Event	Transmission of Account
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously - having nominee	Nominee
Demise of all joint holders simultaneously - not having nominee	Legal heir(s) of the youngest holder

\*\* If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division/fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

\*\*\* Provide only number: PAN or Driving Licence or Aadhaar (last 4 digits). Copy of the document is not required. However, in case of NRI/OCI/PIO, Passport number is acceptable.

\*\*\*\* to be furnished only in following conditions/circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
  - Guardian: It is optional for you to provide, if the nominee is minor.
- 1) I/We want the details of my/our nominee to be printed in the statement of holding or statement of account, provided to me/us by the DP as follows; (please tick, as appropriate)  
 Name of nominee(s)  Nomination: Yes/No
- 2) Signature(s) - As per the mode of holding in demat account(s)

	Name(s) of holder(s)		Signature(s) of holder	Witness Signature*
1)				
2)				
3)				

\* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Name & Address - Witness 1	Name & Address - Witness 2

**Rights, Entitlement and Obligation of the investor and nominee:**

- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the DP for each instance of providing or changing nomination.
- The signatories for this nomination form shall be as per mode of holding in the folio(s)/demat account(s) i.e.
  - 'Either or Survivor' Folios/Accounts - any one of the holder can sign
  - 'First holder' Accounts - only First holder can sign
  - 'Jointly' Accounts - all holders have to sign

**Transmission aspects**

- DPs shall transmit the account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion/updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the DP.
- In case of multiple nominees the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
<b>Total</b>	<b>100%</b>	-	<b>40%</b>	<b>60%</b>	<b>100%</b>

## RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI AND DEPOSITORIES

### General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

### Beneficial Owner information

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

### Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

### Dematerialization

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

### Separate Accounts

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

### Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. Pursuant to SEBI circular SEBI/HO/MIRSD/DOP/P/CIR/2022/44 Dated April 04, 2022 - The stock broker/stock broker and depository participant shall not directly/indirectly compel the clients to execute Power of Attorney (POA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute POA or DDPI.

### Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

### Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the



First/Sole Holder



Second Joint Holder



Third Joint Holder

right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

#### Default in payment of charges

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

#### Liability of the Depository

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

#### Freezing/Defreezing of accounts

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

#### Redressal of Investor grievance

26. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

#### Authorized representative

27. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

#### Law and Jurisdiction

28. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
29. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
30. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
31. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and / or SEBI
32. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
33. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.



\_\_\_\_\_  
First/Sole Holder



\_\_\_\_\_  
Second Joint Holder



\_\_\_\_\_  
Third Joint Holder

## Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

### Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

### Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

### Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL [at complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

**Fees:**

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

**Disclaimer:**

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

**Liability and Indemnity:**

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

**Amendments:**

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

**Governing Law and Jurisdiction:**

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of **registration / modification** (Please cancel out what is not applicable).

BOID	1	2	0	3	3	0	0	0		0	0						
	(Please write your 8 digit DPID)								(Please write your 8 digit Client ID)								

Sole / First Holder's Name : \_\_\_\_\_

Second Holder's Name : \_\_\_\_\_


Third Holder's Name : \_\_\_\_\_


Mobile Number on which messages are to be sent	+91																
--	-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--


(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: \_\_\_\_\_

Email Id: \_\_\_\_\_  
(Please write only ONE valid email ID on which communication; if any, is to be sent)

 \_\_\_\_\_  
Signatures Sole / First Holder

 \_\_\_\_\_  
Second holder

 \_\_\_\_\_  
Third Holder

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

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



**HORNIC INVESTMENT PVT. LTD.**

1303-1304, 13TH FLOOR, ARCADIA, PLOT-195, NCPA, NARIMAN POINT, MUMBAI - 400021.

TEL. : 4061 6263 DP DEPT.: 4061 6213 / 14 / 15 / 16 • FAX NO.: 91-22-4061 6119

E-MAIL: naresh@hornic.com, cdsi@hornic.com, bo@hornic.com, boacc@hornic.com • Website: www.hornic.com

**TARIFF FOR THE DEPOSITORY SERVICES**

**HORNIC INVESTMENT PVT. LTD. - CHARGES SLAB**

**SCHEME A: AA - AA / SCHEME B: BB - BB/SCHEME C: CC - CC /**

**SCHEME D: DD - DD / SCHEME E: EE - EE / SCHEME F: FF - FF**

SR. NO.	ITEM	DESCRIPTION					
1.	Account Opening Charges	Nil					
2.	Account Maintenance Charges						
	Charges Head	<input type="checkbox"/> Scheme A	<input type="checkbox"/> Scheme B	<input type="checkbox"/> Scheme C	<input type="checkbox"/> Scheme D	<input type="checkbox"/> Scheme E	<input type="checkbox"/> Scheme F
	Account Maintenance Charges	Rs. 300/- Yearly	Rs. 75/- Monthly	Life time 999/-	Life time 1300/-	Rs. 300/- yearly	Rs. 350/- yearly
	Sales Charges	0.02% subject to minimum Rs. 12/-	0.02% subject to minimum Rs. 12/- and maximum Rs. 22/-	0.02% subject to Minimum amount 15/-	0.02% subject to minimum Rs.25/-	0.02% subject to minimum Rs.15/-	0.04% subject to Minimum amount 15/-
3.	Purchase (Market / Off Market)	Nil					
4.	Custody Charges	Nil					
5.	Dematerialization	Rs.3/- per certificate plus courier charges of Rs.25/- per demat request per every 500 ms.	Rs.3/- per certificate plus courier charges of Rs.25/- per demat request per every 500 ms.	Rs.5/- per certificate plus courier charges of Rs.40/- per demat request per every 500 ms.	Rs.3/- per certificate plus courier charges of Rs.25/- per demat request per every 500 ms.	Rs.3/- per certificate plus courier charges of Rs.25/- per demat request per every 500 ms.	Rs.5/- per certificate plus courier charges of Rs.40/- per demat request per every 500 ms.
6.	Rematerialization	Rs.25/- per certificate plus courier charges of Rs.25/- per Remat.					
7.	Creation/Confirmation/Closure	0.02% minimum Rs.25/- of creation of pledge					
8.	Invocation of pledge	0.03% minimum Rs.50.00					
9.	Late Transaction charges	Rs.10.00					
10.	Transaction charges fail	Rs.20/- per Transaction					
11.	Demat Rejection Charger	Rs.35/- per Rejection					
12.	Pledge	Rs. 25/-	Unpledge		Rs. 12/-		
	Margin Pledge	Rs. 25/-	Margin Unpledge		Rs. 10/-		
	Margin Funding Pledge	Rs. 25/-	Unpledge		Rs. 5/-		
	Repledge		Margin Funding Unpledge		Rs. 25/-		

CHEQUE BOUNCE CHARGES	CHARGES WILL BE APPLIED BASED ON CHARGES AS DETERMINED BY BANKERS
PAYMENT OF BILLS AFTER 15 DAYS FROM DUE DATE OF THE PAYMENT	PENALTY @ 13% PER ANNUM WILL BE LEVIED FROM THE DUE DATE ON THE VALUE OF OUT STANDING BILLS

BSDA Tariff Sheet			
SERVICE	CHARGES		REMARKS
	BSDA - I (VALUE OF HOLDING UP TO ₹ 400,000/-)	BSDA - I (VALUE OF HOLDING FROM ₹ 400,000/- TO ₹ 10,00000/-)	
Annual Maintenance Charges	NIL	₹ 100/-	Per Annum
Sale Transaction	0.02% SUBJECT TO MINIMUM RS. 12/-		Per Transaction
Purchase	NIL		Per Transaction

**OTHER POINT**

- In Case of Power of Attorney Rs.500/- every account will be debited from BO account and additional stamp duty payable as per local state charges and Rs.100/- notary charges for Power of Attorney.
- In case of corporate account opened on CDSL, an additional A.M.C. of Rs.500/- Payable to CDSL would be collected.
- All the percentage in the above tariff would be applied on the value of the transaction as computed by CDSL.
- All the payment have to be made in the name of Hornic Investment Pvt. Ltd.
- Out or Pocket expenses incurred on the dispatch of securities for Dematerialization and communication charges incurred on out station calls/faxes made specifically on request of the client will be charged on actual.
- Non periodic statement will be charges at Rs.10/- per statement any extra statement would be charged @ 15/- per statement for first 10 pages, there after it would be charged Rs.2/- per page.
- Any Penalty charged by CDSL for late instruction will be charged to the account at 0.05% plus CDSL charges.
- Late Charges would be collected for all instructions received after 4 pm for same day execution or execution date as pay in date.
- Account cum billing statements will send quarterly.
- The above Rates depend on existing CDSL charges & will be revised on revision by CDSL. The above charges are subject in revision by Hornic Investment Pvt. Ltd.
- Kindly Debit the Bill to my regular account with you. My account code is \_\_\_\_\_

\_\_\_\_\_  
Name of First Holder

\_\_\_\_\_  
Name of Second Holder

\_\_\_\_\_  
Name of Third Holder



\_\_\_\_\_  
Signature of First Holder



\_\_\_\_\_  
Signature of Second Holder



\_\_\_\_\_  
Signature of Third Holder

**DEMAT DEBIT AND PLEDGE INSTRUCTION**

**VOLUNTARY**

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

Unique Client Code														
BO ID	1	2	0	3	3	0	0	0	0	0				
Name of First Holder														
Name of Second Holder														
Name of Third Holder														













To,

**HORNIC INVESTMENT PVT. LTD.**

1303-1304, 13th Floor, Arcadia, Plot-195, NCPA, Nariman Point, Mumbai - 400021.

**Sub: Execution of 'Demat Debit and Pledge Instruction' (DDPI) for transfer of securities towards deliveries / settlement obligations and pledging / re-pledging of securities as per SEBI circular SEBI/ HO/ MIRSD/ DoP/ P/ CIR/ 2022/ 44 dated April 4, 2022 and SEBI/HO/MIRSD/MIRSD-PoD-1/P/IR/2022/137 dated October 6, 2022 on Execution of Demat Debit and Pledge Instruction' (DDPI).**

1. I/We hereby execute Demat Debit and Pledge Instruction' (DDPI) in the favour of Hornic Investment Pvt. Ltd. and agree to authorize them to access my/our BO Account specified above for the limited purpose of settlement/ margin obligation as specified below:

Sr. No.	Purpose/Nature of Instruction	Client Signature
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries/ settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker (TM).	First Holder:  Second Holder:  Third Holder: 
2.	Pledging/re-pledging of securities in favour of trading member (TM) /clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	First Holder:  Second Holder:  Third Holder: 
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	First Holder:  Second Holder:  Third Holder: 
4.	Tendering shares in open offers through Stock Exchange platforms	First Holder:  Second Holder:  Third Holder: 




**2. List of Beneficial Owner Accounts that the Member is entitled to operate with DDPI are as follows\*:**

SR.	DEMAT ACCOUNT	ACCOUNT DETAIL	SR.	DEMAT ACCOUNT	ACCOUNT DETAIL
1	1203300000000108	BSE POOL - CDSL	6	1203300000113418	MCX-SX (CM A/C.) - CDSL
2	1203300000156331	CDSL MTF Pledge	7	30503498 IN300484	NSDL POOL A/C. (NSE)
3	1203300000156376	Corporate-TM CM Client Securities Margin Pledge	8	11658877 IN300095	NSDL POOL ACCOUNT (MSEI)
4	30503480 IN300484	NSDL POOL A/C. (BSE)	9	1203300000188744	MCX - Corporate-TM CM Client Securities Margin Pledge
5	1203300000000087	NSE POOL - CDSL			

\*\*Note: NSDL Pool Accounts are lying with HDFC Bank Limited

\*Any modification, deletion or addition in the above account shall be intimated to me/ us separately.

3. The authorization provided by DDPI shall be applicable for all transactions specified herein from the date of applicability as specified by SEBI/ Exchange.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

**If HUF, Signature of all members:**

- 1) \_\_\_\_\_
- 2) \_\_\_\_\_
- 3) \_\_\_\_\_
- 4) \_\_\_\_\_
- 5) \_\_\_\_\_
- 6) \_\_\_\_\_
- 7) \_\_\_\_\_

**Details of Politically Exposed Persons (PEP)/ Related to Politically Exposed Person (RPEP). [ For-non-individual]**

Name of holder \_\_\_\_\_ PAN of the holder \_\_\_\_\_

Sr. No.	Name of the Authorized signatories /Promoters /Partners / Karta/ Trustees /Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc)	Please tick the relevant option.
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

Name & Signature of the Authorised Signatories Date \_\_\_\_/\_\_\_\_/\_\_\_\_

**PEP:** Politically Exposed Person **RPEP:** Related to politically Exposed Person

<p><b>FOR NRI / FN (FEMA DECLARATION)</b> Declaration format for PO Box Address</p>	<p><b>VOLUNTARY</b></p>
<p>Name: _____</p> <p>Address: _____</p> <hr/>	
<p><b>TO WHOMSOEVER IT MAY CONCERN</b></p>	
<p>I/We agree to abide by all necessary rules and regulations introduced or amended from time to time by all statutory government bodies in India, and guidelines as prescribed by the Reserve Bank of India under the Foreign Exchange Management Act, 1999 (FEMA).</p> <p>Further, in the process of opening my/our accounts with the Indian Bank/s, members of Indian Stock Exchange/s, and Depository Participants, I/We have complied with the current laws and will continue to do so as required for the proper maintenance of the aforesaid accounts.</p> <p>In case there is any change in my/our status from Resident to Non-resident or vice versa or PO Box Address, I/We shall inform all concerned agencies of the same and will abide by the procedures and requirement for the transition.</p>	
<p>Signature  _____</p>	<p style="color: grey;">First Holder's Signature</p>
<p>Name: _____</p>	

**OPTION FORM FOR ISSUE OF DIS BOOKLET**

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

DP ID	1	2	0	3	3	0	0	0	Client ID	0	0						
Sole/First Holder																	
Second Holder																	
Third Holder																	

To,  
**HORNIC INVESTMENT PVT. LTD.**  
 1303-1304, 13th Floor, Arcadia, Plot-195,  
 NCPA, Nariman Point, Mumbai - 400021.




Dear Sir / Madam,  
 I / We hereby state that:

[Select one of the options given below]

**OPTION 1:**

I/We request you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening of my/our CDSL account though I/we have issued a Power of Attorney (POA)/registered for eDis/executed PMS agreement in favour of/with **HORNIC INVESTMENT PVT. LTD.** (name of the attorney/Clearing Member/PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Power of Attorney holder - Clearing Member/by PMS manager/for executing delivery instructions through eDIS.

Yours faithfully




	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature			

**OPTION 2:**

**OR**

I/We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I/We have issued a POA/registered for eDis/executed PMS agreement in favour of/with **HORNIC INVESTMENT PVT. LTD.** (name of the attorney/Clearing Member/PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member/by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

Yours faithfully,

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature			

===== ( Please Tear here ) =====

**ACKNOWLEDGEMENT RECEIPT**

**Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from:**

DP ID	1	2	0	3	3	0	0	0	Client ID	0	0						
Name of the Sole / First Holder																	
Name of Second joint Holder																	
Name of Third joint Holder																	

**For HORNIC INVESTMENT PVT. LTD.**

(Authorised Signatory)

FORMAT OF RESOLUTION

**FORMAT**

**ON LETTERHEAD OF COMPANY**

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF \_\_\_\_\_ AT THEIR MEETING HELD ON \_\_\_\_\_ .

RESOLVED THAT Depository Account in the name of M/s. \_\_\_\_\_ be opened with HORNIC INVESTMENTS PVT. LTD. 1303-1304, 13th Floor, Arcadia, Plot-195, NCPA, Nariman Point, Mumbai - 400021 a Depository Participant registered with Central Depository Services Limited, the following officials be and are hereby authorised, jointly or severally or any other person authorised by the Board from time to time, to sign the documents related to above account opening.

RESOLVED FURTHER THAT any one of the following Directors/Executives/Officers of the Company, whose specimen signatures are appended here under.

No.	Name of Authorised person	Designation	Specimen Signature
1.			
2.			

Be and are hereby authorised jointly or severally to

1. Sign, execute and deliver instruction slips, orders, share transfer forms, Pledge, hypothecation of Shares/ Securities/Debt Instrument and such other documents as may considered necessary from time to time for the aforesaid purpose, and
2. Take all such actions and do all such things, as may be deemed prudent, necessary and expedient for giving effect to the above resolution from time to time.

RESOLVED FURTHER THAT the above resolution shall remain effective and in force till such time as a fresh resolution canceling or amending the same is passed by the Board of Directors of the Company and is furnished to the Hornic Investment Pvt. Ltd. in writing.

RESOLVED FURTHER THAT a copy of the above resolution duly certified as true by any one of the Directors of the Company be furnished to Hornic Investment Pvt. Ltd. and such other parties as may be required from time to time.

**CERTIFIED TRUE COPY**

\_\_\_\_\_  
Director

To,  
**HORNIC INVESTMENT PVT. LTD.**  
 1303-1304, 13th Floor, Arcadia, Plot-195,  
 NCPA, Nariman Point, Mumbai - 400021.

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

Dear Sir / Madam,




- I / We do not want to avail the BSDA (Basic Services Demat Account) facility in respect of my /our below mentioned demat account with you.
- I / We wish to avail the BSDA facility for the new account for which we have submitted my / our account opening form
- I / We wish to avail the BSDA facility for my / our below mentioned demat account number

DP ID	1	2	0	3	3	0	0	0	Client ID	0	0	0				
-------	---	---	---	---	---	---	---	---	-----------	---	---	---	--	--	--	--

	Name	PAN														
Sole/First Holder																
Second Holder																
Third Holder																

I/We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time. I/we also undertake to comply with the guidelines issued by any such authority for BSDA facility from time to time. I/We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guideline issued by SEBI or any such authority at any point of time, my / our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the DP.

I, the first / Sole holder also hereby declare that I do not have / propose to have any other demat account across depositories as a first / sole holder.

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature			

===== ( Please Tear here ) =====

**ACKNOWLEDGEMENT RECEIPT**

**Received BSDA declaration form from:**

DP ID	1	2	0	3	3	0	0	0	Client ID	0	0	0				
Name																
Address																

For Hornic Investment Pvt. Ltd.

Date:

(Authorised Signatory)

**RUNNING ACCOUNT AUTHORISATION FOR ALL EXCHANGES**

**VOLUNTARY**

From: \_\_\_\_\_

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

To,

**HORNIC INVESTMENT PVT. LTD.**

1303-1304, 13th Floor, Arcadia, Plot-195,  
NCPA, Nariman Point, Mumbai - 400021.

Dear Sirs,

I/We am/are dealing through you as a client in Cash/Derivative/Currency Segment in BSE/NSE/MSEI/SLBM and in order to facilitate ease of operation and upfront requirement of margin for trade as per SEBI & Exchange Circular:

I/We authorize Hornic Investment Pvt. Ltd. through this Authorisation letters as under:

1. I/We here by give my/our consent to maintain a running balance in my account and retain credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless/I/We instruct /revoke you otherwise.
  2. I/We have read the circular and request you to settle my fund and securities account as below: (choose one option)  
 **Monthly**  **Quarterly**
  3. As per SEBI Circular No. SEBI/HO/MIRSD/DOP/P/CIR/2022/101 dated July 27,2022 and NSE FAQ vide Ref: NSE/INSP/53820 dated September 23,2022, the settlement of running account of funds of the client shall be done by the trading member after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchange on first Friday/Saturday of the Quarter (i.e., Apr-Jun, Jul-Sep, Oct-Dec, Jan-Mar) for all the clients. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day. For clients, who have opted for Monthly settlement, running account shall be settled on first Friday/Saturday of each month. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day.
  4. I/We having credit balance and have not done any transaction in the 30 calendar days since the last transaction, the credit balance shall be returned to me/us, on first Friday/Saturday of the next month.
  5. I/We confirm you that I/We shall to your notice, any dispute arising from the statement of account or settlement so made, in writing preferably within 7 working days from the date of receipt of funds/ securities or statement of account or statement related to it, as the case may be at registered office.
  6. I/We confirm that the above mentioned authorization shall continue until it is revoke by me/us.
- I/We confirm having read the above circular and this running account authorization.

Yours faithfully,



Signature of Client \_\_\_\_\_

ECN AUTHORISATION

VOLUNTARY

From: \_\_\_\_\_

\_\_\_\_\_

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

To,  
**HORNIC INVESTMENT PVT. LTD.**  
1303-1304, 13th Floor, Arcadia, Plot-195,  
NCPA, Nariman Point, Mumbai - 400021.

Dear Sirs,

**Sub: Mandate to issue contract notes in digital format & other communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.) through an E-Mail**

I/We hereby agree and consent to accept the contract notes for transactions carried on by us/me on BSE/NSE/MCX with you, in terms of the mandatory & voluntary client registration document entered into between us/me, in digital form. Digital contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.

Terms and conditions for issuance of contract notes in digital form between us :-

1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.  
You can also send me/us my/our margin statement in digital form with contract notes.
2. I / we undertake to check the contract notes and bring the discrepancies to your notice.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent on E-mail: [contact@hornic.com](mailto:contact@hornic.com)
5. Clients can view the digital contract notes using the username & password through the web-site apart from the contract notes sent to the client through mail.
6. The Digital contract notes will be archived at an interval preferably in 3 months. If the client intends to view the digital contract notes for a period prior to 3 months client may request for the same in writing.
7. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
8. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
9. Any changes in the terms and conditions shall be intimated from time to time.
10. Digital Contract Notes will also be available at our Web-site: [www.hornic.com](http://www.hornic.com)
11. Any change in the E-mail ID shall be communicated by us / me through a physical letter.

**Other Communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.)**

You can send me various documents like Daily margin statement, Statement of funds & securities, Account confirmations, bills, notices etc. through an E-mail ID mentioned in this letter.

This instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above.

My/Our E-mail ID \_\_\_\_\_

My/Our Alternative E-mail ID \_\_\_\_\_

Yours faithfully,



(Client Signature)

Client Code : (customer ID)

**Policy Framework for Voluntary Freezing/Blocking Trading account**

**VOLUNTARY**

Risk Management Policy of Hornic Investment Pvt. Ltd.

Process for clients to freeze or block online access to their trading accounts as per SEBI Circular No. SEBI/HO/MIRSD/POD-1/P /CIR/2024/4 dated January 12, 2024

**How to Freeze or Block Trading Account:**

Whenever client of Hornic Investment Pvt. Ltd. notice any suspicious activities in their online trading account and/or suspect that login credential of their trading account are breached/hacked and there is an urgent need to address the situation and block/freeze the access and/or activities in their trading account, the client can choose any of the following mode of communication to intimate/send a request to Hornic Investment Pvt. Ltd. for Voluntary Freezing/Blocking of their online Trading Account.

**Option A:** Clients can call on **022-40616115** from their registered Mobile Number.

**Option B:** Clients can send an email to bo@hornic.com from their registered email ID.

**Processing of Requests:**

Upon receipt of the email/sms, the Hornic Investment Pvt. Ltd. team will carry out the validation process as under;

- 1. Verify the sender’s email Id/Mobile Number:

**Acknowledgement and Actions Steps:**

- 1. An acknowledgement of the freezing/blocking request will be sent to the client's registered email address.
- 2. Details of any open positions will be provided.
- 3. All pending orders will be cancelled.

**Account Reactivation Steps:**

Clients wishing to unfreeze/unblock their account must send an email to bo@hornic.com or message on **022-40616115** from their registered email ID/ Mobile No.

Upon receipt of the email/ Message the Hornic Investment Pvt. Ltd. team will contact the client to confirm the identity of client and genuineness of request, reset the login access credentials to the system default and communicate it to clients through its registered email Id / Mobile Number and unfreeze the trading account.

**This facility is live as of 1st July, 2024.**

This policy is in accordance with Exchange Circular NSE/INSP/61529 and 20240408-12 (BSE) and can be viewed as part of our Risk Management Policy.

If you have any specific questions about this process, feel free to ask at bo@hornic.com or call on **022-40616115**



Signature of the Client \_\_\_\_\_

First Holder's Signature

**Download Consent Form**

**VOLUNTARY**

Dear Sir/Madam,

I, \_\_\_\_\_ S/o/D/o/W/o \_\_\_\_\_,

give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records/Personal information such as my name, address, date of birth, PAN number etc.

Date:



Signature of the Client \_\_\_\_\_

First Holder's Signature

**AUTHORITY TO DEBIT THE DEMAT ACCOUNT OPERATING CHARGES**

**VOLUNTARY**

To,  
**HORNIC INVESTMENT PVT. LTD.**  
1303-1304, 13th Floor, Arcadia, Plot-195,  
NCPA, Nariman Point, Mumbai - 400021.

Dear Sirs,

This is to inform that

- a. I/We have a beneficiary account with you (DP) & with client id 12033000\_\_\_\_\_.
- b. Further I/We have a trading account with you (trading code as mentioned below) for investment and trading purpose.
- c. I/We find it extremely inconvenient to give cheques against your depository bills.

With respect to the above mentioned subject and consideration, I hereby authorize you to debit the trading account maintained with you for the debit charges payable to you.

As Depository Participant for providing depository services. Any such sum debited to my/our account shall be binding on me/us.

Yours faithfully,



Signature of Client \_\_\_\_\_

Name of the Client \_\_\_\_\_

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

**FORMAT**

**Declaration to be given by partnership on Letter head of the firm**

Date:

To,

**HORNIC INVESTMENT PVT. LTD.**  
1303-1304, 13th Floor, Arcadia, Plot-195,  
NCPA, Nariman Point, Mumbai - 400021.

Dear Sir,

We refer to the trading account being opened/opened with you in the name \_\_\_\_\_ and declare and authorize you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account No. \_\_\_\_\_ with depository \_\_\_\_\_ opened as a joint account in the names of the partner of the firm.

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

We hereby authorize \_\_\_\_\_, partner in the firm to execute / sign and submit such documents, agreements, deeds etc. as may be necessary to enter into the mandatory & voluntary client registration document and engage in business with **HORNIC INVESTMENT PVT. LTD.** and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership.

Name of Partners (In Block Letters)	Signatures

## HUF DECLARATION

FORMAT

Date:

To,

**HORNIC INVESTMENT PVT. LTD.**

1303-1304, 13th Floor, Arcadia, Plot-195,  
NCPA, Nariman Point, Mumbai - 400021.

Dear Sir,

I hereby request you to open our trading account with you, for our HUF.

Being Karta of my family, I, \_\_\_\_\_ hereby declare that following is the list of family members in our HUF, as on date of Application, i.e. \_\_\_\_\_.

### Name & signature of Adult co-parceners

SR. NO.	NAME OF FAMILY MEMBERS	SEX	RELATIONS	DATE OF BIRTH	SIGNATURE

### Name & dates of birth of minor co-parceners

SR. NO.	NAME OF FAMILY MEMBERS	SEX	RELATIONS	DATE OF BIRTH

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open new Demat Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,

Yours truly,



Karta  
(Affix stamp of HUF)

**THIS PAGE IS INTENTIONALLY  
KEPT BLANK**

**FORMAT OF RESOLUTION****FORMAT****ON LETTERHEAD OF COMPANY**

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF \_\_\_\_\_ AT THEIR MEETING HELD ON \_\_\_\_\_.

RESOLVED THAT the Company do place orders with/give instructions to \_\_\_\_\_ for buying and selling index/stocks based futures and options of National Stock Exchange of India Limited (NSE), Bombay Stock Exchange Limited (BSE) and MSEI, currency derivative segment of MSEI. Cash segment of BSE/NSE/MSEI & MCX in commodity segment.

RESOLVED FURTHER THAT any one of the following Directors/Executives/Officers of the Company, whose specimen signatures are appended here under.

No.	Name of Authorised person	Specimen Signature

Be and are hereby authorized jointly or severally to

1. Sign, execute and deliver orders, instructions letters, notes, contracts, share transfer forms and such other documents as may considered necessary form time to time for the aforesaid purpose, and
2. Take all such actions and do all such things, as may be deemed prudent, necessary and expedient for giving effect to the above resolution from time to time.

RESOLVED FURTHER THAT the above resolution shall remain effective and in force till such time as a fresh resolution canceling or amending the same is passed by the Board of Directors of the Company is furnished to \_\_\_\_\_.

RESOLVED FURTHER THAT a copy of the above resolution duly certified as true by any one of the Directors of the Company be furnished to \_\_\_\_\_ and such other parties as may be required from time to time.

CERTIFIED TRUE COPY

\_\_\_\_\_  
Director

**ON THE LETTER HEAD OF COMPANY:**  
(For Corporates)

**FORMAT**

Certificate dated \_\_\_\_\_

submitted by \_\_\_\_\_ to

SHARE HOLDING PATTERN of \_\_\_\_\_ as on \_\_\_\_\_

EQUITY / PREFERENCE (Please indicate and use separate sheets for equity / preference shares)

Sr. No.	Name \$	Number of shares held	Face value per share	Amt Paid up (Rs. in lakh)	% of total
1					
2					
Others					
TOTAL					100 %

\$ All initials to be expanded

Date:

Place:

Company Secretary/Whole Time Director/Managing Director

To  
Client Name:

Address

---

---

---

---

Date:

Dear Sir / Madam,

**Re: Account Opening**

We welcome you to \_\_\_\_\_ and thank you for opening / maintaining your account with us for the purpose of dealing in securities.

Please quote the following Trading code while placing orders & any other future correspondence with us.

Your Trading Code is:

Please acknowledge the enclosed copy of the documents executed by us, as confirmation of the same.

Assuring you of our best attention and services at all times,

Thanking you,

Yours Truly,

**For HORNIC INVESTMENT PVT. LTD.**

Director/ Authorised Signatory

**FATCA/CRS Declaration For Individuals**

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

DP ID	1	2	0	3	3	0	0	0	Client ID	0	0	0				
-------	---	---	---	---	---	---	---	---	-----------	---	---	---	--	--	--	--

Sr. No.	Details	1st Holder	2nd Holder	3rd Holder
1	Are You US Person	Yes / No		
2	India			
	Country of Birth	US		
	Other			
3	Place of Birth	City/Town (If other than India)		
4	Source of Wealth	Salary		
		Business		
		Gift		
		Ancestral Property		
		Rental Income		
		Prize Money		
		Royalty		
5	If your country of Tax Residency Other than India	Yes/No		

If 'Yes' please specify the details of all countries where you hold tax residency and its Tax identification Number & Type.

Sr. No.	Details	1st Holder	2nd Holder	3rd Holder
1	Country of Residence For Tax Purpose (Other than India)#			
2	Tax Identification No.(US TIN) or Equivalent(Other)			
3	Identification Type			




# To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/ Tax Resident in those respective countries especially of USA.

**Declaration:**

- I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief correct and complete. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. In case of any change in the above given status on a future date, I undertake to inform IIFL the same within 30 Days.
- I agree that if I/am a U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.) requiring reporting under FATCA/CRS or any other Law, my account details, as required under inter governmental agreement (IGA)/ Multilateral competent authority agreement (MCAA) Signed by Indian government, Would be reported by IIFL to the relevant Tax Authority.
- If My Country of Birth is US, I/am providing a certificate of relinquishment of Citizenship (loss of Nationality) or a self certification for stating reason for not having such a certificate despite relinquishing US citizenship OR not obtaining US citizenship at birth.

I hereby authorize you to disclose, share, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries to facilitate single submission / updation & for other relevant purposes. I also undertake to

keep you informed in writing about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

	Sole/First Holder	Second Holder	Third Holder
Signature			

**Notes:**

**1. Who is US person?**

in case of individuals, U.S. person means a citizen or Resident of the United States. Persons who would qualify as US person could be born in the United States, Born outside the united states of a US parents, Naturalized Citizens, Green Card Holders, Tax residents.

**2. Who is a reportable person (non US) under common reporting standards (CRS)?**

Under common reporting standards (CRS), Reportable person means tax resident of a reportable foreign jurisdiction other than US

**3. Document to be collected if Customer's Country of birth is US but Declares that he/she is not a US person**

- Certificate of relinquishment of citizenship (loss of nationality certificate); or
- Self certification for stating reason for not having such a certificate despite relinquishing US citizenship; Or
- Self certification for stating reasons for not obtaining US citizenship at birth.

**4. MF transactions will be permitted to clients/ joint holders in new folios after reviewing this declaration and existing KYC data and only if permitted byAMCs.**

**5. Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).**

If any controlling person of the entity is a citizen or resident or green card holder of outside India, please include all such foreign country information field along with the relevant Tax Identification Number.

Also note that you may receive more than one request to provide this information, if you have multiple relationships with us or our group entities. Therefore it is important that you respond to our request, even if you believe that you have already provided this information earlier

Please note that above information is provided only for quick reference to customers. You are requested to refer Rule 114F, 114G and 114H of Income-tax Rules, 1962 consult a legal/tax advisor for any clarification.

**Supplementary KYC Information & FATCA-CRS Declaration - Entities & HUF**

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

**\*Name of the entity**

**Type of address given at KYC KRA** Residential & Business  Residential  Business  Regd. Off.

**PAN**  **Date of Incorporation** DD / MM / YYYY

**City of incorporation**

**Country of incorporation**

**Net Worth in INR in ₹ Lakhs**  **Net Worth as on**  DD/MM/YYYY

Is the entity involved in / providing any of these services:	Foreign Exchange / Money Changer Services	YES	Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)	YES	Money Laundering / Pawning	YES	Any other information
		NO		NO		NO	

**Entity Constitution Type** Please tick as appropriate

Partnership Firm  HUF  Private Limited Company  Public Limited Company  
 Society  Aop/BoiSociety  Trust  Liquidator  Limited Liability Partnership  
 Artificial Judicial Person  Others specify \_\_\_\_\_

**Please tick the applicable tax resident declaration**

1. Is Entity\* a tax resident of any country other 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 Number#	Identification Type (TIN or Other, please specify)

# In case Tax identification Number is not available, kindly provide its functional equivalent or Company Identification number or Global Entity Identification Number.

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

**FATCA Declaration**

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

**PART A (to be filled by Financial Institutions or Direct Reporting NFEs)**

1. We are a,  Financial institution or  Direct reporting NFE (please tick as appropriate)

**GIIN**

**Note:** If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

**Name of sponsoring entity**

**GIIN not available (Please tick as applicabe)**

Not required to apply for-please specify 2 digits sub-category

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 <input type="checkbox"/> No <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please specify name of the listed company any one stock exchange on which the stock is regularly Name of listed company _____ Name of relation: <input type="checkbox"/> Subsidiary of the listed Company or <input type="checkbox"/> Controlled by a listed Company Name of stock exchange _____
3.	Is the Entity an active NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please fill UBO declaration in the next section) Nature of Business _____ Please specify the sub-category of Active NFE <input type="checkbox"/> <input type="checkbox"/>
4.	Is the Entity an passive NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please fill UBO declaration in the next section) Nature of Business _____

**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  
 Others (please specify) \_\_\_\_\_

Please list below the details of controlling person(s), confirming ALL countries of tax residency/permanent residency/citizenship and ALL Tax identification Numbers for EACH controlling person(s).  
 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 - of countrolling person"	Tax ID Type - TIN or other, please specify Beneficial Interest - in percentage Type Code - of countrolling person"
1. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	Address _____ ZIP [ ][ ][ ][ ][ ][ ] State: _____ Country: _____
2. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	Address _____ ZIP [ ][ ][ ][ ][ ][ ] State: _____ Country: _____
3. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	Address _____ ZIP [ ][ ][ ][ ][ ][ ] State: _____ Country: _____

# If passive NFE, please provide below additional details.

PAN/Any other Identification Number <small>(PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence NREGA Job Card, Others)</small>		Occupation Type - <i>Service, Business, Others</i> <b>Nationality</b>		DOB - <i>Date of Birth</i> <b>Gender</b> - <i>Male, Female, Others</i>	
City of Birth - Country of Birth		Father's Name - <i>Mandatory if PAN is not available</i>			
1. PAN		Occupation Type		DOB	D D / MM / Y Y Y Y
City of Birth		Nationality		Gender	Male <input checked="" type="checkbox"/> Female <input checked="" type="checkbox"/>
Country of Birth		Father's Name			Others <input checked="" type="checkbox"/>
2. PAN		Occupation Type		DOB	D D / MM / Y Y Y Y
City of Birth		Nationality		Gender	Male <input checked="" type="checkbox"/> Female <input checked="" type="checkbox"/>
Country of Birth		Father's Name			Others <input checked="" type="checkbox"/>
3. PAN		Occupation Type		DOB	D D / MM / Y Y Y Y
City of Birth		Nationality		Gender	Male <input checked="" type="checkbox"/> Female <input checked="" type="checkbox"/>
Country of Birth		Father's Name			Others <input checked="" type="checkbox"/>

# 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.

### FATCA & CRS Terms and Conditions

Towards Compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you. Please ensure you advise us promptly, i.e. within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).


If any controlling person of the entity is a US citizen or resident or greencard holder, please include United States in the foreign country information field along with the US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are Contained in the US Hire Act 2010. Please note that you may receive more than one request for information if you have multiple relationships with ABC. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information

#### Certification

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

**Name**

**Designation**



Authorised Signatory

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

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

**CONSENT LETTER FOR SAME EMAIL ID & MOBILE NUMBER**

**VOLUNTARY**

To,

**HORNIC INVESTMENT PVT. LTD.**

1303-1304, 13th Floor, Arcadia, Plot-195,  
NCPA, Nariman Point, Mumbai - 400021.

DP ID	1	2	0	3	3	0	0	0	Client ID	0	0	0						
-------	---	---	---	---	---	---	---	---	-----------	---	---	---	--	--	--	--	--	--

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

Sole/First Holders Name
Second Holders Name
Third Holders Name

Email ID: \_\_\_\_\_




Client Email ID belonging to:  Self  Spouse  Dependent Children  Dependent Parents

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

Mobile Number on which messages are to be sent																		
--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

The Mobile number is registered in the Name of: \_\_\_\_\_

Client Mobile No. belonging to:  Self  Spouse  Dependent Children  Dependent Parents

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

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

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

Date:

**VOLUNTARY**

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

To,

**HORNIC INVESTMENT PVT. LTD.**

1303-1304, 13th Floor, Arcadia, Plot-195,  
NCPA, Nariman Point, Mumbai - 400021.

**Sub: Declaration of Fit & Proper Person as per Regulation 20 of SECC Regulations 2012**

Dear Sir,

I/We hereby declare that I am/we are Fit & Proper Person as per Regulation 20 of SECC Regulations 2012 for executing transactions in the securities of the listed Exchanges.

Regards,

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

Client Signature:  \_\_\_\_\_

REQUEST FOR UPDATION OF AADHAAR NUMBER IN TRADING/DEMAT/MF LINKED ACCOUNTS

**VOLUNTARY**

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

To,  
**HORNIC INVESTMENT PVT. LTD.**  
 1303-1304, 13th Floor, Arcadia, Plot-195,  
 NCPA, Nariman Point, Mumbai - 400021.

**Sub: Updation of Aadhaar Number in TRADING/DEMAT/MF linked accounts**

Dear Sir / Madam,

Please update my/ our below mentioned Aadhaar Number to my/ our below mentioned accounts.

Client Name (1st holder): \_\_\_\_\_

Aadhaar Number 1st holder

Client Name (joint holder 1): \_\_\_\_\_

Aadhaar Number joint holder 1

Client Name (joint holder 2): \_\_\_\_\_

Aadhaar Number joint holder 2

**Please update Aadhaar number to below accounts as required:**

DP ID:  Client ID:

UCC Code

I submit my above Aadhaar number and voluntarily give my consent to:

- Update my/our Aadhaar/UID number issued by UIDAI, Govt. of India in my/our name with my/our aforesaid accounts.
- Use my/our Aadhaar details to authenticate me/us from UIDAI
- Use my/our mobile number mentioned in my/our account for sending SMS alerts to me/us
- Consent for Authentication: I/We, the holder of the above stated Aadhaar number, hereby give my/our consent to Hornic Investment Pvt. Ltd., to obtain my/our Aadhaar number, Name and Fingerprint/Iris for authentication with UIDAI. Further, I/we am/are aware that my/our identity information would only be used for demographic authentication / validation / e-KYC purpose and also informed that my/our biometrics will not be stored / shared and will be submitted to CIDR only for the purpose of authentication.
- I/We hereby submit my/our Aadhaar number as issued by Government of India, to Hornic Investment Pvt. Ltd. and voluntarily give my/our consent to link them to all my/our accounts / relationships (existing and new) maintained with Hornic Investment Pvt. Ltd. in my/our individual capacity and / or as an authorized signatory in non- individual accounts. I/We, holder of the above stated Aadhaar number, hereby voluntarily give my/our consent to Hornic Investment Pvt. Ltd. to obtain and use my/our Aadhaar number, Name and Fingerprint/Iris and my/our Aadhaar details to authenticate me/us with UIDAI as per Aadhaar Act, 2016 and all other applicable laws. Hornic Investment Pvt. Ltd. has informed me/us that my/our Aadhaar details and identity information would only be used for demographic authentication, validation, e-KYC purpose, OTP authentication including; for availing trading/demat/mf services, operation of my/our accounts / relationships and for delivery of subsidies, benefits and services and / or any other facility relating to trading/demat/mf operations. Hornic Investment Pvt. Ltd. has informed that my/our biometrics will not be stored / shared and; will be submitted to Central Identities Data Repository (CIDR) only for the purpose of authentication. I/We have been given to understand that my/our information submitted to the Hornic Investment Pvt. Ltd. herewith shall not be used for any purpose other than mentioned above. I/We also authorize Hornic Investment Pvt. Ltd. to link and authenticate my/our Aadhaar number to all my/our accounts / relationships with the Hornic Investment Pvt. Ltd. as may be opened in future in addition to those mentioned below. I/We will not hold Hornic Investment Pvt. Ltd. or any of its officials responsible in case of any incorrect information provided by me/us.

I/We have been given to understand that my/our information submitted herewith shall not be used for any purpose other than mentioned above, or as per requirements of law.

**Signatures**



**First/Sole Applicant/Guardian**



**Second Applicant**



**Third Applicant**

## RIGHTS AND OBLIGATIONS DOCUMENT FOR SLBS

- i. The Securities and Exchange Board of India ("SEBI") has formulated and issued the Securities Lending Scheme, 1997 ("SEBI Scheme") and SEBI Circular No MRD/DoP/SE/Dep/Cir-14/2007 dated 20th December 2007 for facilitating lending and borrowing of securities through an "Approved Intermediary" registered with SEBI.
- ii. NSE Clearing Ltd. is an Approved Intermediary ("AI") registered under the SEBI Scheme and is, therefore, authorised to facilitate lending and borrowing of securities in accordance with the SEBI Scheme and Circulars of SEBI issued from time to time. Accordingly, the AI has framed the Securities Lending and Borrowing Scheme (hereinafter referred to as "SLBS") for facilitating lending and borrowing of securities through persons registered as "Participants".
- iii. SEBI, thereafter, vide its Circular No. CIR/NRD/DP/19/2014 dated June 3, 2014 ("SEBI Circular") has modified the framework of Securities Lending and Borrowing. Under the said SEBI Circular, AI shall enter into an agreement with its Clearing Member/Participant ("Agreement") for the purpose of facilitating Securities Lending and Borrowing and which shall specify the rights, responsibilities and obligations of the AI and the Clearing Member/Participant ("Participant"). The said Agreement shall also define the exact role of AI/Participant vis-à-vis the Client of Participant. As per the said SEBI Circular, AI is also required to frame rights and obligations document laying down the rights and obligations of the Participant and its Client for the purpose of Securities Lending and Borrowing. The said rights and obligations document shall be mandatory and binding on the Participant. Accordingly, the AI has framed this rights and obligations document laying down the rights and obligations of Participant as well as of its Client ("Rights & Obligations Document").
- iv. Securities Lending and Borrowing can be undertaken by the Participant either on their own account or on account of its Client registered with them. Any person(s) who meets the eligibility criteria as may be specified by the AI for the Clients under the SLBS, shall be eligible to participate in the SLBS by submitting duly signed relevant documentation/s to the Participant that it is desirous of participating in the SLBS. The Participant on the receipt of said relevant documentation/s from its Client, shall provide this Rights & Obligations Document to its Client which will be duly acknowledged by the Client of having read, understood and to agreeing to abide by the same prior to the execution of trade in the SLBS. The terms and conditions of this Rights & Obligations Document shall be binding on the Participant as well as on its Client.
- v. All the transactions under the SLBS by the Client shall be strictly in accordance with SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and the terms and conditions of the said Agreement. In the event of any conflict or contradiction between the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and the terms and conditions of the said Agreement and this Rights & Obligations Document, the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder, the Rules, Byelaws and Regulations of the AI as a Clearing Corporation and the terms and conditions of the said Agreement shall prevail over this Rights & Obligations Document. The provisions of this Rights & Obligations Document are in addition thereto and not in derogation thereof.
- vi. The Participant has made the Client aware of and the Client has understood the precise nature of the Participant's liability towards the Client under SLBS including any limitations on the liability and the capacity in which the Participant acts.
- vii. Subject to the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder, and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and as in force from time to time, the rights and obligations of the Participant as well as its Client shall be hereto as under.
- viii. Unless the context otherwise requires, the words and expressions used herein shall have the same meaning as defined in Securities Contracts (Regulation) Act, 1956 or Securities and Exchange Board of India Act, 1992 or Securities Lending Scheme, 1997 or Depositories Act, 1996 or the rules and regulations made thereunder respectively or Circulars of SEBI or SLBS and the Circulars issued thereunder and the Rules, Byelaws and Regulations of the AI as a Clearing Corporation.

### RIGHTS OF THE PARTICIPANT

- ix. In consideration of the Participant providing full-fledged securities lending and borrowing under the SLBS, the Participant shall be entitled for charges, fees, other levies and /or any such other charges, subject to such limits as may be permitted by the AI in its Circulars from time to time.

- x. Margins  
The Participant is empowered to call upon its Client to pay such margins as may be specified by the AI from time to time.
- xi. Recovery  
The Participant shall be entitled to recover from the Client the loss or charges, fees, other levies and /or any such other charges that has been paid by the Participant to the AI or imposed by the AI on account of its Client arising out of default or transactions under the SLBS whether current or past that are effected by the Client in meeting its obligations by adjusting margins and other deposits, if any, available with the Participant against the Client's liabilities/obligations.

#### **OBLIGATIONS OF THE PARTICIPANT**

- xii. The Participant has satisfied itself about the genuineness and financial soundness of the Client and the objectives relevant to the services to be provided and is therefore, agreeable to facilitating such participation subject to the terms and conditions contained herein.
- xiii. Issue of Confirmation Memo  
The Participant shall, upon execution of the Client's transaction on the order matching platform of the AI, issue the confirmation memo in the specified format or such other documents to the Client within such time as may be prescribed by the AI from time to time.
- xiv. Money / Securities to be kept in separate account  
The Participant agrees that the money / securities deposited by the Client shall be kept in a separate bank account / settlement demat account, distinct from its own account or accounts of any other Clients, and shall not be used by the Participant for itself or for any other Clients or for any purpose other than the purposes mentioned in the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder and/or the Rules, Bye-laws, Regulations of the AI as a Clearing Corporation and as in force from time to time.
- xv. Update on Settlement Process  
The Participant agrees to inform and keep the Client apprised about securities lending and borrowing settlement cycles, delivery/payment schedules and any changes therein from time to time.
- xvi. Compliance with Know Your Client Norms  
The Participant undertakes to maintain the "Know Your Client" details of the Client as mentioned in the Client Registration Form or any other information pertaining to the Client in confidence and that it shall not disclose the same to any person / authority except to the AI or as required under any law / regulatory requirements or in compliance with any decree, order or direction of any Court, Tribunal, SEBI or other authority duly empowered in law; Provided however that the Participant may so disclose information about its Client to any person or authority with the express permission of the Client.
- xvii. Reconciliation of Account  
The Participant and the Client shall agree to reconcile their accounts regularly with reference to the transactions under the SLBS.
- xviii. Return of Securities and Lending Fees  
Where the Client is a lender unless otherwise agreed upon between the Participant and the Client -
  - a) The Participant shall ensure the return of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.
  - b) The Participant shall ensure the return of the lending fees to the Client within such time as may be prescribed by the AI.
- xix. Delivery of Securities  
Where Client is a borrower unless otherwise agreed upon between the Participant and the Client -  
The Participant shall ensure the delivery of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.

#### **RIGHTS OF THE CLIENT**

- xx. Where the Client is the lender unless otherwise agreed upon between the Participant and the Client -
  - a) The Client shall be entitled to receive the securities lent or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.
  - b) The Client shall be entitled to receive lender's fee for the securities lent.

- xxi. Where the Client is the borrower unless otherwise agreed upon between the Participant and the Client -
  - a) The Client shall be entitled to receive securities borrowed or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.
  - b) The Client shall be entitled to receive from the Participant, the collateral in case the Client has deposited securities approved by the AI as collateral.
- xxii. Notwithstanding any other provisions of the said Agreement and this Rights & Obligations Document, the Client shall be entitled to have all the rights that are conferred on it from time to time under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder.

**OBLIGATION OF THE CLIENT**

- xxiii. Abide by Law & Acquaintance to Law  
The Participant declares that it has brought the contents of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time, and the terms and conditions of the said Agreement to the notice of the Client and the Client agrees to comply with and adhere to the same.
- xxiv. Update & Comply with the Settlement Process  
Notwithstanding anything contained in Clause 15 hereto, the Client shall at all times make its own inquiries and keep itself updated on all settlement cycles, delivery/payment schedules and changes therein, and it shall be the responsibility of the Client to comply with such schedules/procedures of the AI.
- xxv. Processing Charges  
The Client agrees to pay the Participant, processing charges and statutory levies prevailing from time to time or any other charges for the services provided by the Participant. The Participant agrees that it shall not charge processing charges / fees beyond the maximum limit permissible under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time.
- xxvi. Change in Client Registration Form  
The Client agrees to immediately notify the Participant in writing whenever there is any change of information in the details provided by the Client to the Participant at the time of its registration with the Participant and also as provided in the said relevant documentation/s required for participating in SLBS.
- xxvii. Authorised Representative  
The Client agrees to be bound by the instructions issued by its authorised representative, if any, in accordance with the letter authorising the said representative to deal on its behalf.
- xxviii. Return of Securities  
The Client shall return the equivalent number of securities of the same type and class borrowed by it within the time specified by the AI in the Circulars issued from time to time.
- xxix. Payment of Margins  
The Client agrees to pay such margins as may be specified by the Participant in accordance with the requirement of AI or SEBI from time to time.
- xxx. Exposure / Position Limits  
The Client agrees to abide by the exposure / position limits, if any, set by the Participant or the AI or SEBI from time to time.
- xxxi. Securities lent to be Unencumbered  
The Client agrees and warrants that the securities lent are free from lien, charge, pledge or any encumbrance(s) of whatsoever nature.
- xxxii. Collateral  
At the discretion of the Participant, where the Client deposits the required collateral with the Participant, the same shall be free from any encumbrance(s) of whatsoever nature or defect in the title. If any encumbrance(s) or defect in the title is found subsequently, such collateral shall be immediately replaced by the Client.
- xxxiii. Insolvency  
The Client agrees to immediately furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against it or if any litigation which may have material adverse bearing on its net worth has been filed against it.
- xxxiv. Cancellation of Transactions  
Notwithstanding anything contained in the said Agreement, the AI shall be entitled to cancel transactions under the SLBS, either on an application by a Participant or suo moto or under regulatory directions, and in such

event, the transactions done on behalf of the Client shall ipso facto stand cancelled, and neither the AI nor the Participant shall be liable to compensate the Client for any loss whatsoever (including opportunity loss) arising out of such cancellation.

xxxv. Discontinuation of SLBS and Participation in SLBS

The AI shall be entitled to discontinue the SLBS or the participation of the Participant in the SLBS at any time at its discretion. Such discontinuation may be subject to such terms and conditions as may be specified by the AI from time to time.

**ARBITRATION**


xxxvi. The Participant and the Client shall co-operate with each other and / or the AI in redressing their grievances in respect of transactions under the SLBS.

xxxvii. All disputes and differences or questions arising out of or in relation to this agreement including obligations, failure or breach thereof by any of the parties and/or of any matter whatsoever arising out of this agreement shall in the first instance be resolved mutually by the parties. If the parties fail to resolve the same mutually, then the same shall be referred to and decided by arbitration in accordance with the procedures as prescribed by the AI under the SLBS and the Circulars issued thereunder.

**GOVERNING LAW AND JURISDICTION**

xxxviii. In relation to any legal action or proceedings to which the AI is a party, the Participant as well as the Client irrevocably submit to the exclusive jurisdiction of the courts of Mumbai, India and waive any objection to such proceedings on grounds of venue or on the grounds that the proceedings have been brought in an inconvenient forum.

xxxix. In relation to any legal action or proceedings to which AI is not a party, the parties irrevocably submit to the jurisdiction of any competent court of law where the Client ordinarily resides at the time of execution of the transactions under the SLBS.

Signature of Client:  \_\_\_\_\_

**Risk Assessment of Client in terms of PMLA 2002**

Type of Client	High Risk	Low Risk	Medium Risk	CSC (Client Special Category)	PEP (Politically Exposed Person)
----------------	-----------	----------	-------------	-------------------------------------	--

at the time of account opening

Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with Hornic Investment Pvt. Ltd.

**For Hornic Investment Pvt. Ltd.**

Director/Authorised Signatory

---


**Confirmation of Receipt of executed documents**

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

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

Dear Sir,

I/We hereby acknowledge the receipt of duly executed copy of Mandatory & Voluntary Client Registration Document, Account Opening Form, Rights and Obligations, RDD, Policies and Procedures, Rights and Obligations (between Dp & Bo), copy of POA (if any) and all other documents as executed by me/us.

Signature of Client:  \_\_\_\_\_



## HORNIC INVESTMENT PVT. LTD.

Particular	Date	Name	Signature
Despatch Record			
Received Record			
Checked Record			
Account Opening Record			
Auditor Record			

Remark :

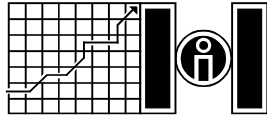
---

---

---

---

CLIENT CODE



# **HORNIC INVESTMENT PVT. LTD.**

**MEMBER:**

- BOMBAY STOCK EXCHANGE LIMITED (CASH & F&O)*
- NATIONAL STOCK EXCHANGE OF INDIA LTD. (CASH, F&O & CURRENCY)*
- METROPOLITAN STOCK EXCHANGE OF INDIA LTD. (CASH, F&O & CURRENCY)*
- MULTI COMMODITY EXCHANGE OF INDIA LIMITED (COMMODITY)*
- DEPOSITORY PARTICIPANT OF CDSL*

**REGISTERED OFFICE:**

1303-1304, 13th Floor, Arcadia, Plot-195,  
NCPA, Nariman Point, Mumbai - 400021.  
Tel No. 022-4061 6263, 4061 6213/14/15/16  
E-mail ID for customer grievances: [contact@hornic.com](mailto:contact@hornic.com)  
Website: [www.hornic.com](http://www.hornic.com)

## **CLIENT REGISTRATION FORM**

**NAME** : \_\_\_\_\_

**MAPIN UID** : \_\_\_\_\_

**REF./INTRODUCED BY** : \_\_\_\_\_

**We promise to serve you best .....**  
**in all ways, always.**