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|--|---|---|
| <b>NON INDIVIDUAL – INDEX – FULL FORM</b>  |   | Serial No. _____  |
| <b>VFC Securities Private Limited</b><br>Regd. Office: 1st floor, Nusser House, Opp. Roxy Theatre, Opera House, Mumbai – 400004.<br>Correspondence office: 203, Shreeji Chambers, 2 <sup>nd</sup> Floor, Above PNB Bank, Tata Road No.2, Opera House Mumbai 400004.<br>Tel. No → 91-22-40043395, Tel/Fax No → 91-22-35114958<br>Email → <a href="mailto:vfc@vfc.co.in">vfc@vfc.co.in</a> , Website → <a href="https://www.vfc.co.in">https://www.vfc.co.in</a> , Investor Grievance → <a href="mailto:complaints@vfc.co.in">complaints@vfc.co.in</a><br>CEO & Compliance Officer → Mr. Nimish Rajnikant Shah. Contact No. → 022- 40043395, Email ID → <a href="mailto:nimish@vfc.co.in">nimish@vfc.co.in</a> |   | Clearing Member For<br>Derivatives & Currency Seg.<br>of all the Exchanges:<br>Globe capital Market<br>Limited<br>609, Ansal Bhavan,<br>16 K. G. Marg,<br>New Delhi – 110 001<br>Tel No : 91-11-43666400<br>Fax No : 91-11-23720883<br>Email Id:<br><a href="mailto:compliance@globecapital.com">compliance@globecapital.com</a><br><b>SEBI REGN. NO.</b><br><b>INZ 000177137</b> |
| <b>MEMBERS OF</b><br><b>NSE CASH – NSE DERIVATIVES – NSE CURRENCY – BSE CASH</b><br><b>NSDL - D P</b><br>(This information is the sole property of the member/ brokerage house and would not be disclosed to any one unless required by law or in case of express permission of clients.)  | <b>SEBI REGISTRATION No.</b><br><b>INZ 000250133</b><br><b>IN-DP-605-2021</b> | <b>Date</b><br><b>23/03/2019</b><br><b>18/08/2021</b>   |

For any grievance/ dispute please contact VFC Securities Private Limited at the above Address, Email ID - [complaints@vfc.co.in](mailto:complaints@vfc.co.in) and Tel No. - 91-22-40043395.  
 In case not satisfied with the response, please refer the below exchange(s), Investor Grievance Email – ID and Phone No.:

|            |  |            |  |               |   |
|------------|--|------------|--|---------------|---|
| <b>NSE</b> | <a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a> (022) 2659 8190 | <b>BSE</b> | <a href="mailto:is@bseindia.com">is@bseindia.com</a> (022) 2272 8097 | <b>MCX-SX</b> | <a href="mailto:investorcomplaints@mcx-sx.com">investorcomplaints@mcx-sx.com</a> (022) 6731 8933 / 9000 |
|------------|--|------------|--|---------------|---|

## INDEX

### MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

|     |   |  |       |        | Signature required by different Entities |            |            |            |            |
|-----|---|--|-------|--------|--|------------|------------|------------|------------|
| Sr. | Name of the Document                      | Brief Significance   | Page  | Client | Broker                                   | Sub-Broker | Introducer | 2nd Holder | 3rd Holder |
| 1   | Instructions/Check List                   | Instructions / Check List For Filling KYC Form   | 3-4   | -      | -  | -          | -          | -          | -          |
|     | Account Opening Form (for Non-Individual) | A KYC form - Document captures the basic information about the constituent and Directors/Partners/Karta/Authorised Signatory Etc | 5-7   | 3      |  |            |            | 3          | 3          |
|     | Bank, Demat & Other Details               | Account opening form for Non- Individual Demat account   | 8-9   | 4-6    |  |            |            | 4-6        | 4-6        |
|     | Trading account related details           | Document captures the additional information about the constituent relevant to trading account and an instruction checklist      | 10-11 | 7-8    |  | S1         | 11         | 7-8        | 7-8        |

|  |                                      |   |       |       |    |  |  |       |       |
|--|--------------------------------------|---|-------|-------|----|--|--|-------|-------|
|  | Tariff sheet                         | Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)   | 11    | 9     |    |  |  | 9     | 9     |
|  | Rights and Obligation                | Rights and Obligation of Beneficial Owner and DP as prescribed  | 12-13 | 10-11 |    |  |  | 10-11 | 10-11 |
|  | Schedule –A                          | Schedule of DP Charges as applicable to Beneficial Owner  | 14    | 12    |    |  |  | 12    | 12    |
| <b>VOLUNTARY DOCUMENTS REQUIRED FOR OPENING DEMAT ACCOUNT</b>                                |                                      |   |       |       |    |  |  |       |       |
|  | Power of Attorney                    | POA for Security Pay In and Margin  | 15    | 13-14 | B1 |  |  | 13-14 | 13-14 |
|  | Consent for Electronic Statements    | Consent Agreement For Providing The Transaction Statement Through Internet  | 16    | 15-16 | B2 |  |  | 15-16 | 15-16 |
| <b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES FOR OPENING TRADING ACCOUNT</b> |                                      |   |       |       |    |  |  |       |       |
|  | Rights and Obligations               | Document stating the Rights & Obligations of stock-broker/ trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading). | 17-20 | 17-18 |    |  |  |       |       |
|  | Risk Disclosure Document (RDD)       | Document detailing risks associated with dealing in the securities market.  | 21-23 | 19    |    |  |  |       |       |
|  | Guidance Note                        | Document detailing do's and don'ts for trading on exchange, for the education of the investors.   | 24-25 | 20    |    |  |  |       |       |
|  | Disclosure for pro-trading           | Disclosure Regarding Proprietary Trading - As required under Circular No. SEBI / MRD/ SE /Cir-42/2003 dated 19.11.2003  | 25    | 21    | B3 |  |  |       |       |
|  | Policies and procedures              | Document describing significant policies and procedures of the stock broker <i>(to be added by the stock broker)</i> .  | 26-27 | 22    |    |  |  |       |       |
| <b>VOLUNTARY DOCUMENTS REQUIRED FOR OPENING TRADING ACCOUNT</b>                              |                                      |   |       |       |    |  |  |       |       |
|  | Additional Clauses                   | Additional Clauses for Smooth Functioning   | 28-31 | 23    |    |  |  |       |       |
|  | Order Authorization                  | Client Authorisation Letter   | 31    | 24    |    |  |  |       |       |
|  | Running Account                      | Authority By the Client who Wants to Maintain Running Account & Adjustment for Inter Segment / Exchange   | 32    | 25-26 |    |  |  |       |       |
|  | Consent for Electronic Communication | Consent for Digital Confirmation of Contract/Bill/Ledger/Stock/Hold Stock/Margin & any other Regulatory Confirmation Required   | 33-34 | 27-28 |    |  |  |       |       |
|  | Anti Money Laundering                | Literature for AML Information  | 35-36 | 29    |    |  |  |       |       |



|   |   |   |                                |
|---|---|---|--------------------------------|
| <b>Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / whole time directors:</b>   |   | <input type="checkbox"/> Politically Exposed Person (PEP)<br><input type="checkbox"/> Related to a Politically Exposed Person(RPEP)                                     |                                |
| <b>6a. Nature of Business</b>   |   | <b>Registration No. (e.g. CIN)</b>  |                                |
| <b>6b. Any other information</b>  |   |   |                                |
| Affix your photo<br>& sign across<br>the Photograph<br><br><div style="background-color: black; color: white; padding: 2px; display: inline-block;">2 of 1AS   30</div>   | Affix your photo<br>& sign across<br>the Photograph<br><br><div style="background-color: black; color: white; padding: 2px; display: inline-block;">2 of 2AS   30</div> | Affix your photo<br>& sign across<br>the Photograph<br><br><div style="background-color: black; color: white; padding: 2px; display: inline-block;">2 of 3AS   30</div> |                                |
| <b>D. DECLARATION:</b> 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 aware that I/We may be held liable for it.  |   |   |                                |
| <b>3 of 1AS   30</b>  |   | <b>3 of 2AS   30</b>  |                                |
| <b>Name of Authorised signatory-1</b>   |   | <b>Name of Authorised signatory-2</b>   |                                |
| <b>Date:</b>  |   |   |                                |
| <b>FOR OFFICE USE ONLY: In Person Verification (IPV) Details ( FOR DP and Trading):</b>   |   |   |                                |
| UCC Code allotted to the Client: _____ <b>DP ID – IN 303374</b> Demat Client Code: _____  |   |   |                                |
|   | Documents verified with Originals   | Client Interviewed By   | In-Person Verification done by |
| Name of the Employee  |   |   |                                |
| Code & Designation  |   |   |                                |
| Date  |   |   |                                |
| Signature   |   |   |                                |
| 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. |   |   |                                |
| 4 of 1AS   30   | 4 of 2AS   30   | 4 of 3AS   30   |                                |
| <b>Date</b>   | <b>Seal/Stamp of the Stock Broker</b>   | <b>Signature of the Authorised Signatory</b>  |                                |