

INDIVIDUAL ONLY DEMAT FROM INDEX

Sr. No. _____

VFC Securities Private Limited Regd. Off: 1st floor, Nusser House, Opp. Roxy Theatre, Opera House, Mumbai – 400004. Corr. Off: 203, Shreeji Chambers, 2 nd Floor, Tata Road No.2, Opera House, Mumbai - 400 004. Tel. No → 91-22-40043395, Tel / Fax No → 91-22-35114958 Email → vfc@vfc.co.in, Website → https://www.vfc.co.in, Investor Grievance → complaints@vfc.co.in CEO & Compliance Officer → Mr. Nimish Rajnikant Shah. Contact No. → 022- 40043395, Email ID → nimish@vfc.co.in							Clearing Member For Derivatives & Currency Segments of all the Exchanges: Globe capital Market Limited 609, Ansal Bhavan, 16 K. G. marg, New Delhi – 110 001 Tel No : 91-11-43666400 Fax No : 91-11-23720883 Email: compliance@globecapital.com SEBI REGN. NOS. INZ 000177137		
MEMBERS OF NSE CASH – NSE DERIVATIVES – NSE CURRENCY – BSE CASH NSDL - DP				SEBI REGISTRATION NO. INZ 000250133		DATE. 29/03/2021			
(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.)				IN-DP-605-2021		18/08/2021			
For any grievance/ dispute please contact VFC Securities Private Limited at the above Address, Email ID - 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.:									
NSE	ignse@nse.co.in (022) 2659 8190	BSE	is@bseindia.com (022) 2272 8097	MCX-SX	investorcomplaints@mcx-sx.com (022) 6731 8933 / 9000				
INDEX									
MANDATORY DOCUMENTS FOR DEMAT ACCOUNT OPENING									
Sr.	Name of the Document	Brief Significance	Page	Client	Broker	Sub-broker	Introducer	2nd Holder	3rd Holder
1.	KYC account opening form	PART-I -KYC form - Document captures the basic information about the constituent and an instruction/ check list.	2-3	1-4					
2	KYC form for Second Holder	PART-I for SECOND HOLDER – KYC form - Document captures the basic information about the constituent and an instruction/ check list.	4-5					1-4	
2	Details of Joint Holder	PART –II ACCOUNT OPENING FORM -Details of 2 nd & 3 rd Holder, NRI Clients and Guardian for Minor, Bank Details	6	5				5	1
3	Photos, signature & Nomination	PART II AOF Cont. Standing Instructions, SMS alerts, mode of receiving statement, Nomination Details and Nominees Photograph- also Signature for non-Nomination clause if any.	7-8	6				6	2
4	Bank, Demat & Other Details	Photograph of all holders, SEBI Action and Declaration	9	7-8				7-8	3-4
5	Rights and Obligation	Rights and Obligation of Beneficial Owner and DP as prescribed	10-11	9-10				9-10	5-6
6	Schedule –A	Schedule of DP Charges as applicable to Beneficial Owner	12	11				11	7

VOLUNTARY DOCUMENTS FOR DEMAT ACCOUNT OPENING ONLY									
7	BSDA Account	Option for BSDA Account	13	12				12	8
8	Power of Attorney	POA for Security Pay In and Margin	14	13-14	1			13-14	9-10
9	Consent for Electronic Statements	Consent Agreement For Providing The Transaction Statement Through Internet	15	15-16	2			15-16	11-12

PART-I KNOW YOUR CLIENT (KYC) & CKYC & FATCA-CRS Declaration FORM – INDIVIDUAL <input type="checkbox"/> NEW <input type="checkbox"/> CHANGE REQUEST (Please Tick appropriate)											
KYC No : _____					A/C Type <input type="checkbox"/> Normal <input type="checkbox"/> Simplified (for low risk customers) <input type="checkbox"/> Small						
Please fill this form in ENGLISH and in BLOCK LETTERS								Ack No. <div style="border: 1px solid black; padding: 2px; display: inline-block;">1FH</div> <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-left: 10px;">16FH</div>			
A. IDENTITY DETAILS											
1a. Name of the Applicant								PHOTOGRAPH <div style="border: 1px solid black; padding: 2px; display: inline-block;">1FH</div> <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-left: 10px;">16FH</div>			
1b. Maiden name (if any)											
2a Father/Husband Name											
2b Mothers Name											
3a. Gender		Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender <input type="checkbox"/>		3b. Marital Status		<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others		Date of Birth Place & country of Birth ISO 3166 Country code.		Please affix your Recent Passport size Photograph and sign across it. <div style="border: 1px solid black; padding: 2px; display: inline-block;">2FH</div> <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-left: 10px;">16FH</div>	
4a. Nationality		<input type="checkbox"/> Indian <input type="checkbox"/> Others (Please Specify ISO 3166 Country code) _____									
4b. Status		<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian origin									
5. Specify the proof of Identity submitted		<input type="checkbox"/> PAN CARD _____ <input type="checkbox"/> UID (Aadhaar) XXXX XXXX _ _ _ _ <input type="checkbox"/> Passport Number _____ Expiry date : _____ <input type="checkbox"/> Voter ID Card _____ <input type="checkbox"/> Driving License _____ Expiry date : _____ <input type="checkbox"/> NREGA Job Card _____ <input type="checkbox"/> Others (any document notified by the central government) _____ <input type="checkbox"/> Simplified Measures Account - Document Type code _____									
B. ADDRESS DETAILS		Current / Permanent / Oversees Address details (All communication will be sent on provided mobile no / email no)									
B1. Residence/Corr. Add (Please specify whether: Residential- Buss / Residential / Business / Regd. Office / Unspecified) :											
City/ Town/Village		Pin Code		State		Country & ISO 3166 Country code					
B1.1. Specify The Proof Address submitted for Correspondence Address:											
Contact details:		Tel (Office)			Tel (Residence)						
Fax No:		Mobile No:			Email Id:						
B2. Permanent Address: (If Different from above or Mandatory for Non-Resident Applicant to specify overseas Address)											
City/ Town/Village		Pin Code		State		Country & ISO 3166 Country code					
B3. Address in the jurisdiction details where applicant is resident outside india for tax purposes											
City/ Town/Village		Pin Code		State		Country & ISO 3166 Country code					
B3.1. Specify the proof of Add. Submitted for Permanent Address:											

PART-I KNOW YOUR CLIENT (KYC) & CKYC & FATCA-CRS Declaration FORM – INDIVIDUAL <input type="checkbox"/> NEW <input type="checkbox"/> CHANGE REQUEST (Please Tick appropriate) FOR SECOND HOLDER ONLY										
KYC No : _____					A/C Type <input type="checkbox"/> Normal <input type="checkbox"/> Simplified (for low risk customers) <input type="checkbox"/> Small					
Please fill this form in ENGLISH and in BLOCK LETTERS								Ack No.		
B. <u>IDENTITY DETAILS</u>										
1a. Name of the Applicant								PHOTOGRAPH <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">1SH</div> <div style="border: 1px solid black; padding: 2px;">16SH</div> </div> Please affix your Recent Passport size Photograph and sign across it. <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">2SH</div> <div style="border: 1px solid black; padding: 2px;">16SH</div> </div>		
1b. Maiden name (if any)										
2a Father/Husband Name										
2b Mothers Name										
3a. Gender	Male	<input type="checkbox"/>	3b. Marital Status	<input type="checkbox"/> Single	Date of Birth			Place & country of Birth		
	Female	<input type="checkbox"/>		<input type="checkbox"/> Married						
	Transgender	<input type="checkbox"/>		<input type="checkbox"/> Others						
4a. Nationality		<input type="checkbox"/> Indian <input type="checkbox"/> Others (Please Specify ISO 3166 Country code) _____								
4b. Status		<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian origin								
5. Specify the proof of Identity submitted		<input type="checkbox"/> PAN CARD _____ <input type="checkbox"/> UID (Aadhaar) XXXX XXXX _ _ _ _ <input type="checkbox"/> Passport Number _____ Expiry date : _____ <input type="checkbox"/> Voter ID Card _____ <input type="checkbox"/> Driving License _____ Expiry date : _____ <input type="checkbox"/> NREGA Job Card _____ <input type="checkbox"/> Others (any document notified by the central government) _____ <input type="checkbox"/> Simplified Measures Account - Document Type code _____								
B. <u>ADDRESS DETAILS</u>		Current / Permanent / Overseas Address details (All communication will be sent on provided mobile no / email no)								
B1. Residence/Corr. Add (Please specify whether: Residential- Buss / Residential / Business / Regd. Office / Unspecified) :										
City/ Town/Village		Pin Code		State		Country & ISO 3166 Country code				
B1.1. Specify The Proof Address submitted for Correspondence Address:										
Contact details:		Tel (Office)						Tel(Residence)		
Fax No:				Mobile No:				Email Id:		
B2. Permanent Address: (If Different from above or Mandatory for Non-Resident Applicant to specify overseas Address)										
City/ Town/Village		Pin Code		State		Country & ISO 3166 Country code				
B3. Address in the jurisdiction details where applicant is resident outside india for tax purposes										
City/ Town/Village		Pin Code		State		Country & ISO 3166 Country code				
B3.1. Specify the proof of Add. Submitted for Permanent Address:										

PART-II ACCOUNT OPENING FORM FOR INDIVIDUAL DEMAT ACCOUNT-Page 1

Participants Name: VFC SECURITIES PRIVATE LIMITED. 1ST Floor Nusser House, Opera House, Mumbai-4

DPID: I N 3 0 3 3 7 4 Client ID

I/We request you to open a Depository account in my/our Name as per the following Details (Please fill all the details in CAPITAL LETTERS ONLY) Date:

DETAILS OF ACCOUNT HOLDER

1.Name of Sole/ First Holder													
Name of Father / Husband													
Address(With CITY/Town/Village, State, Country, Pin Code)													
City		Pin, State, Country		Aadhaar				XXXX XXXX _ _ _					
PAN								E-Mail		Dob		Mob	
2.Name of Second Holder													
Name of Father / Husband													
Address(With CITY/Town/Village, State, Country, Pin Code)													
City		Pin, State, Country		Aadhaar				XXXX XXXX _ _ _					
PAN								E-mail		DOB		Mob	
Name of Third Holder													
Name of Father / Husband													
Address(With CITY/Town/Village, State, Country, Pin Code)													
City		Pin, State, Country		Aadhaar				XXXX XXXX _ _ _					
PAN								E-mail		DOB		Mob	

Guardian Details (In case the Sole Holder is a minor, Two KYC must be filled. One for Guardian and Minor to be signed by Guardian)

Name of Guardian													
Address(With CITY/Town/Village, State, Country, Pin Code & Contact Details such as office Tel, Res. Tel, Mobile No etc)													
DOB (of Minor)		Relationship (if any):		PAN									

IF SECOND OR THIRD HOLDER IS NOT REGISTERED WITH KRA, KINDLY FILL UP THE ADDITIONAL KYC FORM FOR THE RESPECTIVE HOLDER.

Type of account	<input type="checkbox"/> Ordinary Resident <input type="checkbox"/> Qualified Foreign Investor <input type="checkbox"/> Margin <input type="checkbox"/> NRI-Repatriable <input type="checkbox"/> NRI-Non Repatriable <input type="checkbox"/> Foreign National <input type="checkbox"/> Promoter <input type="checkbox"/> Others(please Specify)
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In case of NRI/Foreign Nationals	RBI Reference No.	RBI Approval Date:
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BANK ACCOUNT DETAILS [Tick Only One As Main Bank (Otherwise First Bank will be considered as Default)]

Bank Name	Br. Address	A/c No.	A/c type -Savings, current/others	MICR Code	IFSC Code

5FH | 16FH

(Sole/First Holder)

5SH | 16SH

(Second Holder)

1TH | 12TH

(Third Holder)

PART-II ACCOUNT OPENING FORM FOR INDIVIDUAL DEMAT ACCOUNT-Page 2					
Standing Instructions		I/We authorise you to receive credits automatically into my/our Account <input type="checkbox"/> Yes <input type="checkbox"/> No			
POA for Pay-in & Margin		Account to be operated through Power of Attorney (PoA) <input type="checkbox"/> Yes <input type="checkbox"/> No			
SMS ALERT FACILITY: (Mandatory if you are giving power of attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form)		Sole Holder		<input type="checkbox"/> Yes	<input type="checkbox"/> No
		Second Holder		<input type="checkbox"/> Yes	<input type="checkbox"/> No
		Third Holder		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Receive Annual reports, AGM notices & other Communications from issuers & RTA's in Physical Form		Sole Holder		<input type="checkbox"/> Yes	<input type="checkbox"/> No
		Second Holder		<input type="checkbox"/> Yes	<input type="checkbox"/> No
		Third Holder		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Mode of Receiving Statement (Tick one)		<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form (Read note 4 and ensure that email ID is provided in KYC Application Form)			
Mobile		Belongs to <input type="checkbox"/> Me <input type="checkbox"/> My Family		E-Mail	
Mode of Receiving Rights & Obligation between DP & B/O				<input type="checkbox"/> Physical Form	<input type="checkbox"/> Electronic Form
NOMINATION FORM FOR INDIVIDUAL CLIENTS ONLY					
<input type="checkbox"/> I/We wish to make a nomination. <i>[As per details given below]</i> <input type="checkbox"/> I/We do not wish to make a nomination.					
<input type="checkbox"/> I/We wish to cancel the nomination made by me/ us earlier and consequently all rights and liabilities in respect of beneficiary ownership in the securities held by me / us in the said account shall vest in me/ us. <i>[Strike off the nomination details below]</i>					
I/we hereby confirm that I/We do not wish to appoint any nominee(s) in my/our trading/demat account and understand the issue involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my/our legal heirs would need to submit all the requisite documents/information for claiming of assets held in my/our trading/demat account, which may also include documents issued by court or other such competent authority, based on the value of assets held in the trading / demat account.					
Nomination Details					
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me /us in the said beneficiary owner account in the event of my /our death.					
Nomination can be made up to three nominees in the account.		Details of 1 st Nominee	Details of 2 nd Nominee	Details of 3 rd Nominee	
1	Name of the nominee(s) (Mr./Ms.)				
2	Share of each Nominee Equally <input type="checkbox"/> <i>[If not equally, please specify %]</i>	%	%	%	
		<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>			
3	Relationship With the Applicant (If Any)				
4	Address of Nominee(s)				
	PIN Code				
5	Mob/Tel No. of nominee(s)				
6	Email ID of nominee(s)				
7	Nominee Identification details <i>[Please tick any one of following and provide details]</i> <input type="checkbox"/> Photograph and signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account No. <input type="checkbox"/> Proof of identity <input type="checkbox"/> Demat Account ID				

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:									
8	Date of Birth {in case of minor nominee(s)}								
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}								
10	Address of Guardian(s)								
	PIN Code								
11	Mobile/Telephone no. of Guardian								
12	Email ID of Guardian								
13	Relation Guardian-nominee								
14	Guardian Identification details [Please tick any one of following and provide details] <input type="checkbox"/> Photograph and signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhar <input type="checkbox"/> <input type="checkbox"/> Bank account <input type="checkbox"/> Proof of identity, Demat A/c								
Names of Holder (Signed after reading Non Nomination Clause above)								Signature	
First Holder(Mr./Ms.)						X			
						6FH		16FH	
Second Holder (Mr./Ms.)						X			
						6SH		16SH	
Third Holder (Mr./Ms.)						X			
						2TH		12TH	
Signature of Witness for Nomination									
Name of the Witness		Address			Signature of witness				
					Date D D M Y Y Y Y				
NOTES									
<input type="checkbox"/> All communication shall be sent at the address of the Sole/First holder only. <input type="checkbox"/> Thumb impression and signature other than Eng. Or Hindi or any of the other language not contained in the 8 th schedule of the constitution of India must be attested by a magistrate or a Notary Public or a SEM. <input type="checkbox"/> Instruction Related to nomination are as below: i) The Nomination can be made by individual holding beneficiary owner account on their own behalf singly or jointly. Non-Individual accounts (including society, trust, body corporate and partnership firm, karta of HUF, holder of POA) of any type can not nominate. Holder of Power of Attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form. ii) A minor can be nominated. In that event, the name and address of the guardian of the minor nominee shall be provided by beneficial owner. iii) The Nominee(s) shall not be Trust, society, body corporate, partnership firm, Karta of HUF, or a power of Attorney holder. A Non-Resident Indian can be a Nominee, subject to exchange control in force from time to time. iv) Nomination in respect of the beneficiary owner account shall stand rescinded upon closure of the beneficiary owner account. Similarly the Nomination in respect of securities shall stand terminated upon transfer of securities. v) Transfer of securities in favour of Nominee shall be valid discharge by the depository and the participant against the legal heir. vi) The cancellation of nomination can be made by individuals only holding beneficiary owner account on their behalf singly or jointly by the same person who made the original nomination. Non-Individuals (including society, trust, body corporate and partnership firm, karta of HUF, holder of POA) or holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form. vii) On cancellation of the Nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of Nominee. viii) Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of									

allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees. ix) On request of substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the form at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees. x) Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents. xi) Savings bank account details shall only be considered if the account is maintained with the same participant. xii) DPID and client ID shall be provided where demat details is required to be provided.				
<input type="checkbox"/> For receiving statement of account in electronic form i) client must ensure the confidentiality of the password of the email account. ii) Client must promptly inform the Participant if the email address has changed. iii) Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days notice.				
<input type="checkbox"/> Non-receipt of bounced mail notification by the trading member shall amount to delivery of contract note & Other Documents at the e-mail ID of the client.				
PAST ACTION	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:			(if YES kindly provide details)
Declaration: The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes herein, 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. In case Non-Resident account, I/We also declare that I/We have complied and will continue to comply with FEMA Regulations. I/We acknowledge the receipt of copy of the document, "Rights and Obligations of the beneficial owner and the depository Participant".				
	Sole/First Holder	Second Holder	Third Holder	Guardian (for minor)
	Affix your photo & sign across Photograph	Affix your photo & sign across Photograph	Affix your photo & sign across Photograph	Affix your photo & sign across Photograph
NAM E				
SIGN				
	7FH	16FH	7SH	16SH
			3SH	12TH
				1GU
FOR OFFICE USE ONLY				
UCC Code allotted to the Client: _____ DP ID – IN 303374 Demat Client Code: _____				
	Documents verified with Originals	Client Interviewed By	In-Person Verification done by	
Name of the Employee				
Code, Designation & Dt.				
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.				
8FH	16FH	8SH	16SH	4TH
				12TH
Date : / / 202 Seal/Stamp of the Stock Broker Signature of the Authorised Signatory				

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, 1996, 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.

Statement of account

13. 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.
14. 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.
15. 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.
16. 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.

9FH	16FH	9SH	16SH	5TH	12TH
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Manner of Closure of Demat account

17. 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 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.
18. 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

19. 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.
20. 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

21. 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

22. 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.
23. 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.

Redressal of Investor grievance

24. 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

25. 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

26. 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.
27. 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.
28. 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.
29. 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
30. 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.
31. 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.

10 FH**16FH****10SH****16SH****6 TH****12TH**

VFC SECURITIES PRIVATE LIMITED

Member : National Securities Depository Ltd. (NSDL)

Regd: 1st floor, Nusser House, 20 Mama Parmanand Marg, Opera House, Mumbai – 400004.
 Corr. Off: 203, Shreeji Chambers, 2nd Floor, Tata Road No. 2, Opera House, Mumbai – 400 004.
 Tel. No. 022- 40043395/ 022-35114958.

SEBI Regn. No. IN-DP-605-2021 / DP ID NO. – IN 303374**SCHEDULE – A****CHARGES FOR BENEFICIARY OWNER ACCOUNT w.e.f. 01/01/2021**

Note: this schedule is a part of the agreement and is to be signed and submitted

TYPE OF SERVICE	CHARGES
Account Opening & Closing	NIL
Account Maintenance	For Non- Corporate Account Rs. 600/- & Corporate Account Rs. 1000/- (per annum)
BSDA Account (For Individual Accounts Only)	If Holding Amt is < 50,000 No Charges, If Holding Amt is Between 50,000 – 2,00,000 Rs. 100 Pa. If Holding Amt is > 2,00,000 Not Eligible as BSDA.
Custody Charges	NIL
Demat & Remat Charges	Rs. 50/- per certificate
Minimum Charges	Rs. 50/-
Postage Courier	At Actual or Minimum Rs.50/- Per Demat request (which ever is Higher)
Transaction (Including Inter-Depository)	
Purchase	NIL
Sale	0.05% of sale value or minimum Rs. 25/- Per Script
DIS bearing same day execution (Upfront)	150% of regular transaction charges; Minimum Rs. 50/-
Pledge Creation/Confirmation/closure	Rs. 100/-
Pledge Assure Confirmation	Rs. 100/-
Pledge Invocation	Rs. 100/-
Failed Transaction	Rs. 100/-
Other Charges	A) Additional statement Rs. 25/- per page B) Cheque bouncing charges and ECS return charges “for want of funds” – Rs. 750/- OR AT ACTUAL CHARGED BY THE BANK C) Any other service not listed above will be charged on “actual” basis (upfront) D) Franking Charges at Rs. 110 or at actual if POA is given by BO E) Rs. 150 per Booklet for Misplaced / Lost DIS
Securities borrowing / lending charges (Presently this facility is not available)	Rs. 100/- per transaction
Interest on delayed payment of bills	Interest @ 13% p.a. for delayed payment of bills
GST	At applicable rate will be levied for all the above services

Expenditure incurred for services other than the ones listed above, will be charged on “actual” basis

*Where pledger & pledgee both have Demat account with our DP, confirmation charges waived.

Note:

- The charges mentioned above will be recovered as and when due / regular intervals.
- VFC reserves its right to change the rate structure at its discretion, by giving required notice however if charges are reduced, notice to the client may not be necessary.
- Advance remittances towards future bills also will be accepted.

Option for opening Basic Services Demat Account (BSDA)

CLIENT ID _____

To,

VFC Securities Private Limited
DP ID – IN 303374
1st Floor, Nusser House,
Opp. Roxy Theatre,
Opera House,
Mumbai - 400 004.

Date:

D	D	M	M	Y	Y	Y	Y
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With reference to my / our application for opening a depository account, I/ We request you to open my / our depository account as a BSDA as per the following details:

	Name	PAN									
Sole/First Holder											
Second Holder											
Third Holder											

BSDA Account Required	<input type="checkbox"/> Yes <input type="checkbox"/> No
------------------------------	--

I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA. I/We hereby declare that I/we am/are eligible to open a depository account as a BSDA holder and undertake to comply with the requirements specified by Securities and Exchange Board of India (SEBI) or any such authority for such facility from time to time. I/We also understand that in case I/We at any point of time do not meet the eligibility as a BSDA holder, my / our aforesaid account is liable to be converted to regular account.

12FH 16FH (Sole/First Holder) **12SH 16SH** (Second Holder)
Signature(s) of Account Holder(s)

8TH 12TH (Third Holder)

POA FOR MARGIN AND PAY IN OF SECURITIES FOR THE PURPOSE OF SETTLEMENT

TO ALL TO WHOM THESE PRESENTS SHALL COME I/WE 1) _____
 2) _____ 3) _____, all resident
 Indian, staying in India and **Whereas** I hold a Beneficiary Account A/c No _____ with National
 Securities Depository Limited through **VFC Securities Private Limited** bearing **DP-ID IN 303374**.

13FH 16 FH**13SH 16SH****9TH 12TH**

AND Whereas I am an investor engaged in buying & selling of securities through **VFC Securities Private Ltd** a Member of The National Stock Exchange of India, Member of Bombay Stock Exchange Limited, Member of MCX Stock Exchange Limited (**MCX-SX**) bearing COMMON SEBI Registration No. **INZ000250133**.

Pool and Margin account details of VFC Securities Private Limited are as follows—

SEGMENT	POOL ACCOUNT	CM-BP-ID-NSDL	CLIENT MARGIN DP ID	TM/CM CLIENT SECURITIES MARGIN PLEDGE ACCOUNT
NSE & BSE	NSDL	IN 564203	IN 303374	10008662
	CDSL	1601010000228250		
CUSA	NSDL	IN 524352	IN 303374	10008076

Pursuant to recent regulatory changes, SEBI - Exchanges - Clearing Corporation and Depositories have put in place a mechanism for Pledge / Re-pledge whereby the securities would not be transferred from our Demat account for meeting our margin obligations, but would be pledged in your favour and further re-pledged to clearing member / Clearing Corporation. It is also noted that securities would continue to be transferred from our Demat account for settlement obligations arising out of our Trades.

AND Whereas due to exigency and paucity of time, I am desirous of appointing an agent / attorney to operate the aforesaid beneficiary account on my behalf for a limited purpose in the manner hereinafter appearing:

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I THE ABOVENAMED DO HEREBY NOMINATE, CONSTITUTE AND APPOINT **VFC Securities Private Limited** as my true and lawful attorney (hereinafter referred to as the attorney) for me and on my behalf and in my name to do instruct the aforesaid Depository Participant to debit securities and / or to transfer securities from the aforesaid Demat account for the purpose of delivering the same to the clearing house of the recognized stock exchange in respect of securities sold by me through them in any segment of any of the Recognized Stock Exchanges in India.

Further, VFC Securities Private Limited, the attorney, can also initiate the instructions to pledge our securities in favor of M/S VFC Securities Private Limited, for the limited purpose of meeting my/our margin requirements in connection with the trades executed / to be executed, by me / us on any of the recognized Stock Exchange in India, through M/S VFC Securities Private Limited. Further, M/S VFC Securities Private Limited may re-pledge such securities to the clearing member / clearing corporation as the case may be for the purpose of my / our margin requirements in connection with the trades executed / to be executed by me / us on any recognized Stock Exchange through M/S VFC Securities Private Limited.

This authority is restricted to the Margin Pledge / Re-pledge and pay-in obligations arising out of the transactions effected by me /us through / by **VFC Securities Private Limited** at NSE, BSE and MCX-SX and I ratify the instructions given by the aforesaid clearing member to the Depository Participant named hereinabove in the manner specified herein.

In case the Broker mentioned above changes their CM-BP-ID / Client ID, which is not mentioned in the above authority the said authority shall be still valid for new CM-BP-ID / Client ID of the M/S VFC Securities Private Limited.

I further agree and confirm that the power of authority conferred by this Power of Attorney shall continue to be in force until I have given to the Depository Participant / Broker, notice in writing to the contrary.

Signed and delivered on this _____ day of _____, 20_____ at Mumbai by

14FH 16FH (Sole/First Holder)
 (For and on behalf of the client)

14SH 16SH (Second Holder)

10TH 12TH (Third Holder)

Witness (name and signature)

Signed and delivered by
For VFC Securities Private Limited

B1

Director

IN THE PRESENCE OF

Witness name and signature

AGREEMENT BETWEEN THE PARTICIPANT AND THE CLIENT FOR PROVIDING THE TRANSACTION STATEMENT THROUGH INTERNET

This agreement made and entered into this _____ day of _____ 202_____ between

1) _____ 2) _____ 3) _____

situated at _____ (hereinafter called "the Client") and VFC SECURITIES Private Limited situated at 1st floor, Nusser House, Opp. Roxy Theatre, Opera House, Mumbai - 400004.

15FH **16FH**

15SH **16SH**

11TH **12TH**

Witnesseth

WHEREAS the Client has permitted the Participant to provide the transaction statement through internet (web-based and / or email).

NOW THEREFORE in consideration of the Participant having agreed to provide the transaction statement through internet (web-based and / or email), both the parties to the agreement hereby covenant and agree as follows:

- I. The Participant shall install adequate system to restrict the access of the transaction statement only to the Client.
- II. The Client shall take all the necessary steps to ensure confidentiality and secrecy of the login name and password.
- III. The Client is aware that the transaction statement may be accessed by other entities in case the confidentiality / secrecy of the login name and password is compromised.
- IV. In case the Client opts for transaction statement through Email, it shall immediately inform the participant about change Email address, if any. The Participant shall verify and confirm with the client about the change. Further, the participant shall confirm with the client about validity of the Email address at least once in year.
- V. The Client agrees not to receive transaction statement in paper form from the participant. Provided however that, in Case the participant is not able to provide transaction statement to its Client through internet (Web-based / E-mail) due to any unforeseen problems, the participant should ensure that the transaction statement reaches to tile Client in physical form as per the time schedule stipulated in the bye laws & business rules of NSDL.
- VI. The Participant and the Client shall have the right to terminate this agreement after giving a notice of at least 10 days to the party.
- VII. The above terms and conditions are in addition to and not in contravention of the terms and conditions forming a part of the "AGREEMENT BETWEEN THE PARTICIPANT AND THE PERSON SEEKING TO OPEN AN ACCOUNT WITH THE PARTICIPANT" signed by the Client at the time of opening the account with the Depository.

IN WITNESS WHEREOF the participant and the client have caused these presents to be executed as of the day and year first above written.

Signed and delivered by

16FH (Sole/First Holder)

16SH (Second Holder)

12TH (Third Holder)

(For and on behalf of the client)

Witness name and signature

Signed and delivered by

For VFC Securities Private Limited

IN THE PRESENCE OF

B2

Director

Witness name and signature

Acknowledgement

Dear Sir,

I / we confirm that I / we have opened **DEMAT ACCOUNT in NSDL** with M/s VFC Securities Private Limited and for which I / we have received following documents.

- A) KYC Form for all the holders
- B) Client Master List.
- C) Rights and Obligation of BO & DP as prescribed by SEBI & Depositories.
- D) POA for pay-in securities & margin purpose.
- E) Agreement For Providing The Transaction Statement Through Internet
- F) Copy of Demat Charges
- G) My/ our Delivery Instruction Slip bearing distinctive No. _____ To _____.

Signature of the Client

Client ID for DP: _____

Date:

Place:

Acknowledgement

VFC Securities Private Limited

1st Floor, Nusser House, Opp. Roxy Theatre, Opera House, Mumbai-400004.

DP ID- IN 303374

Received The application From Mr. /Ms _____ as the sole/First Holder along with _____ and _____ as the second and Third Holder respectively for opening of a Depository account. Please quote the DPID and CLIENT ID allotted to you in all your future correspondence.

For VFC Securities Private Limited

Date:

Authorised Signatory.