

## Non Individual - Only Demat - Index

Sr. No. \_\_\_\_\_

<b>VFC Securities Private Limited</b> Regd. Office: 1st floor, Nusser House, Opp. Roxy Theatre, Opera House, Mumbai – 400004. Correspondence office: 203, Shreeji Chambers, 2 <sup>nd</sup> Floor, Above PNB Bank, Tata Road No.2, Opera House Mumbai 400004. 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 Seg. 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 <b>SEBI REGN. NO.</b> <b>INZ 000177137</b>		
<b>MEMBERS OF</b> <b>NSE CASH – NSE DERIVATIVES – NSE CURRENCY – BSE CASH</b> <b>NSDL - D P</b> (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.      Date</b> <b>INZ 000250133      23/03/2019</b> <b>IN-DP-605-2021      18/08/2021</b>					
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.:									
<b>NSE</b>	ignse@nse.co.in (022) 2659 8190	<b>BSE</b>	is@bseindia.com (022) 2272 8097	<b>MCX-SX</b>	investorcomplaints@mcx-sx.com (022) 6731 8933 / 9000				
<b>INDEX FOR NON INDIVIDUAL DEMAT ACCOUNT</b>									
<b>MANDATORY DOCUMENTS FOR DEMAT ACCOUNT OPENING</b>									
Sr.	Name of the Document	Brief Significance	Page	Clie	Broker	Sub-bro	Introducer	2nd Autho	3rd Autho
1.	KYC account opening form	KYC form (PART-I)- Document captures the basic information about the Client and Directors/Partners/Karta/Authorised signatory etc	3-5	4		1		4	4
2	Bank, Demat & Other Details	ACCOUNT OPENING FORM (PART-II) Details of Bank Account, Demat Account, SEBI Action and certain other additional Details of the applicant, RBI Details for FII's & OCB, Introducers Details and Mode of Operation and Signature	6-7	3				3	3
3	Rights and Obligation	Rights and Obligation of Beneficial Owner and DP as prescribed	8-9	2				2	2
4	Schedule –A	Schedule of DP Charges as applicable to Beneficial Owner	10	1				1	1
<b>VOLUNTARY DOCUMENTS FOR DEMAT ACCOUNT OPENING ONLY</b>									
5	Power of Attorney	POA for Security Pay In and Margin	11	2	1			2	2
6	Consent for Electronic Statements	Consent Agreement For Providing The Transaction Statement Through Internet	12	2	1			2	2

KNOW YOUR CLIENT (KYC) APPLICATION FORM – For NON-INDIVIDUAL									
<input type="checkbox"/> <b>NEW</b> <input type="checkbox"/> <b>CHANGE REQUEST (Please Tick appropriate)</b>									
Please fill this form in <b>ENGLISH</b> and in <b>BLOCK LETTERS</b>									
A. <u>IDENTITY DETAILS</u>									
<b>1.NAME OF THE APPLICANT</b> _____									
<b>2. INCORPORATION:</b>		<b>(a) Date:</b> _____		<b>(b) Place:</b> _____		<b>3. Commencement Dt.</b> _____			
<b>3a. PAN NO.</b>		_____	_____	_____	_____	_____	_____	_____	_____
<b>3b. Registration No.(e.g. CIN)</b>		_____							
<b>4. STATUS (Please tick ✓ the appropriate:</b> <input type="checkbox"/> Private Ltd Co. <input type="checkbox"/> Public Ltd Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> Bank <input type="checkbox"/> Govt. Body <input type="checkbox"/> Non Govt. Organisation <input type="checkbox"/> Defense Establishment <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Partnership <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> BOI <input type="checkbox"/> Others(Please Specify) _____									
B. <u>ADDRESS DETAILS</u>									
<b>1.Correspondence Address:</b>		_____							
<b>City/Town/Village</b>		_____		<b>Pin</b>	_____	<b>State</b>	_____	<b>Country</b>	_____
<b>2. Specify The Proof Address submitted for Correspondence Address:</b>						_____			
<b>3.Contact Details:</b>		Tel:Off/Fax _____		Resi. _____		Cell _____			
		Email ID _____							
<b>4. Registered Address: (If Different from above )</b>									
<b>City/Town/Village</b>		_____		<b>Pin</b>	_____	<b>State</b>	_____	<b>Country</b>	_____
<b>5. Specify the proof of Add. Submitted for Permanent/Registered Address:</b>						_____			
C. <u>OTHER DETAILS</u>									
<b>1.Gross Annual Income</b>		<input type="checkbox"/> < 1 Lac <input type="checkbox"/> < 5 Lacs <input type="checkbox"/> < 10 Lacs <input type="checkbox"/> < 25 Lacs <input type="checkbox"/> < Rs. 1 crore <input type="checkbox"/> >1 Crore							
<b>2.Networth(Net worth should not be older than 1 year):</b>				_____		<b>As on Date</b>		____ / ____ / 202__	
<b>3.Please Give Details such as:</b>									
<b>Name, PAN No., DIN/UID No. and Residential Address of Promoters / Partners / Karta/Trustees / Whole Time Director / persons authorized to deal in securities on behalf of the company / firm/others.</b>									
1. Name: _____ Designation: _____ PAN No: _____ Address: _____ _____ DIN/UID No: _____									
2. Name: _____ Designation: _____ PAN No: _____ Address: _____ _____ DIN/UID No: _____									
3. Name: _____ Designation: _____ PAN No: _____ Address: _____									
<b>1 of 1AS</b>		<b>14</b>		<b>2 of 2AS</b>		<b>14</b>		<b>1 of 3AS</b>	
<b>14</b>		<b>14</b>		<b>14</b>		<b>14</b>		<b>14</b>	

<b>Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / whole time directors:</b>	<div style="display: flex; justify-content: space-between;"> <span>Politically Exposed Person (PEP)</span> <span><input type="checkbox"/> Yes <input type="checkbox"/> No.</span> </div> <div style="display: flex; justify-content: space-between;"> <span>Related to a Politically Exposed Person (RPEP)</span> <span><input type="checkbox"/> Yes <input type="checkbox"/> No.</span> </div>	
<b>6. Any other information</b>		
<div style="text-align: center;">Affix your photo &amp; sign across the Photograph</div> <div style="text-align: center; margin-top: 100px;"> <div style="background-color: black; color: white; padding: 2px 5px; display: inline-block;">2 of 1AS</div> <div style="background-color: black; color: white; padding: 2px 5px; display: inline-block;">14</div> </div>	<div style="text-align: center;">Affix your photo &amp; sign across the Photograph</div> <div style="text-align: center; margin-top: 100px;"> <div style="background-color: black; color: white; padding: 2px 5px; display: inline-block;">2 of 2AS</div> <div style="background-color: black; color: white; padding: 2px 5px; display: inline-block;">14</div> </div>	<div style="text-align: center;">Affix your photo &amp; sign across the Photograph</div> <div style="text-align: center; margin-top: 100px;"> <div style="background-color: black; color: white; padding: 2px 5px; display: inline-block;">2 of 3AS</div> <div style="background-color: black; color: white; padding: 2px 5px; display: inline-block;">14</div> </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.		
<div style="display: flex; justify-content: space-between;"> <div style="background-color: black; color: white; padding: 2px 5px; display: inline-block;">3 of 1AS</div> <div style="background-color: black; color: white; padding: 2px 5px; display: inline-block;">14</div> </div>	<div style="display: flex; justify-content: space-between;"> <div style="background-color: black; color: white; padding: 2px 5px; display: inline-block;">3 of 2AS</div> <div style="background-color: black; color: white; padding: 2px 5px; display: inline-block;">14</div> </div>	<div style="display: flex; justify-content: space-between;"> <div style="background-color: black; color: white; padding: 2px 5px; display: inline-block;">3 of 3AS</div> <div style="background-color: black; color: white; padding: 2px 5px; display: inline-block;">14</div> </div>
<div style="background-color: #cccccc; padding: 2px;">Name of Authorised signatory-1</div>	<div style="background-color: #cccccc; padding: 2px;">Name of Authorised signatory-2</div>	<div style="background-color: #cccccc; padding: 2px;">Name of Authorised signatory-3</div>
<div style="background-color: #cccccc; padding: 2px; display: inline-block;"><b>Date:</b></div>		
<b>FOR OFFICE USE ONLY: In Person Verification (IPV) Details:</b>		
<div style="display: flex;"> <div style="flex: 1; padding-right: 10px;"> Name of the Person who has done IPV: _____   Designation: _____ Employee ID: _____   Name of the Organisation: _____  Date of IPV:    /    /                      ( CKYC Code of Organisation : IN 1258 )   <div style="text-align: right;">(Signature of the Person Who has done IPV)</div> </div> <div style="flex: 1; border-left: 1px solid black; padding-left: 10px; vertical-align: bottom;"> <div style="background-color: #cccccc; padding: 5px; text-align: center;">Seal/Stamp of the Intermediary</div> </div> </div>		
<input type="checkbox"/> (Originals verified) True copies of documents received	<input type="checkbox"/> (Self-Attested) Self Certified Document copies received	
Date:    /    /		<div style="background-color: black; color: white; padding: 2px; display: inline-block;"><b>Signature of the Authorised Signatory</b></div>

Details of Promoters/Partners/Karta/Trustees/Whole Time Directors forming a part of KYC															
application Form for Non-Individuals															
NAME 1												Photograph			
DESIGNATION/RELATIONSHIP WITH APPLICANT (i.e. Promoters, whole time Directors etc.)															
PAN										Email					
RESIDENTIAL / REGISTERED ADDRESS															
DIN								UID - AADHAR		XXXX XXXX _ _ _ _					
PEP /RELATED TO PEP															
TEL / MOBILE NO.															
NAME 2												Photograph			
DESIGNATION/RELATIONSHIP WITH APPLICANT (i.e. Promoters, whole time Directors etc.)															
PAN										Email					
RESIDENTIAL / REGISTERED ADDRESS															
DIN								UID - AADHAR		XXXX XXXX _ _ _ _					
PEP /RELATED TO PEP															
TEL / MOBILE NO.															
NAME 3												Photograph			
DESIGNATION/RELATIONSHIP WITH APPLICANT (i.e. Promoters, whole time Directors etc.)															
PAN										Email					
RESIDENTIAL / REGISTERED ADDRESS															
DIN								UID - AADHAR		XXXX XXXX _ _ _ _					
PEP /RELATED TO PEP															
TEL / MOBILE NO.															
NAME 4												Photograph			
DESIGNATION/RELATIONSHIP WITH APPLICANT (i.e. Promoters, whole time Directors etc.)															
PAN										Email					
RESIDENTIAL / REGISTERED ADDRESS															
DIN								UID - AADHAR		XXXX XXXX _ _ _ _					
PEP /RELATED TO PEP															
TEL / MOBILE NO.															
4 of 1AS   14						4 of 2AS   14						4 of 3AS   14			

## PART-II ACCOUNT OPENING FORM FOR NON- INDIVIDUAL DEMAT ACCOUNT-page 1

**Participants Name:** VFC SECURITIES PRIVATE LIMITED. 1<sup>ST</sup> Floor Nusser House, Opera House, Mumbai –400004  
**Corr. Add:** 203, Shreeji Chambers, 2<sup>nd</sup> Floor, Behind Prasad Chambers, Opera House, Mumbai – 400 004.

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

We Request you to open a depository account in our name as per the following Date  
 Details:(Please fill all the details in CAPITAL LETTERS Only)

## A.DETAILS OF ACCOUNT HOLDER(S)

<b>1.Name of Sole/First Holder</b>		<b>PAN</b>															
<b>2.Name of Second Holder</b>		<b>PAN</b>															
<b>3.Name of Third Holder</b>		<b>PAN</b>															

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

**B. Type of account** ☐ Body Corporate ☐ LLP ☐ Partnership ☐ FI ☐ FII ☐ Qualified Foreign Investor ☐ Mutual Fund  
☐ Trust ☐ Bank ☐ HUF ☐ CM ☐ Margin ☐ Others(please Specify)\_\_\_\_\_

For HUF, Partnership firm, unregistered trust, Association of persons(AOP) etc, although the account is open in the name of The Karta, partner(s), Trustee(es) etc, the Name and PAN of the HUF, Partnership firm, unregistered Trust, association of persons etc, should be mention below:

Name: PAN No.

**D. In case of FII/Others( as may be applicable)** RBI Reference No. Approval Date:

**SEBI Regn No. (for FIIs)**

**E. BANK ACCOUNT DETAILS** [Tick Only One As Main Bank ( Otherwise First Bank will be considered as Default)]

	BANK No.—1	BANK No.--2
<b>Bank Name</b>		
<b>Address</b>		
<b>A/c No.</b>		
<b>A/c type (Savings, Current, Others specify)</b>		
<b>MICR Code</b>		
<b>IFSC Code</b>		

## F. CLEARING MEMBER DETAILS(to be filled by clearing members only)

<b>1</b>	Name of the Stock Exchange	
<b>2</b>	Name of Clearing Corporation/ Clearing House	
<b>3</b>	Clearing member ID	<b>4.</b> SEBI Regn No:
<b>5</b>	Trade Name	<b>6.</b> CM-BP-ID (to be filled by participant)

PART-II ACCOUNT OPENING FORM FOR NON-INDIVIDUAL DEMAT ACCOUNT-Page 2			
<b>Standing Instructions</b>	We authorise you to receive credits automatically into our Account		<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>POA for Pay-in &amp; Margin</b>	Account to be operated through Power of Attorney (PoA)		<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>SMS ALERT FACILITY:</b> (Mandatory if you are giving power of attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form)	<b>Sole/first Holder</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No
	<b>Second Holder</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No
	<b>Third Holder</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Receive Annual reports, AGM notices &amp; other Communications from issuers &amp; RTA's in Physical Form</b>	<b>Sole/first Holder</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No
	<b>Second Holder</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No
	<b>Third Holder</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Mode of Receiving Statement (Tick one)</b>	<input type="checkbox"/> <b>Physical Form</b>	<input type="checkbox"/> <b>Electronic Form</b> (Read note 3 and ensure that email ID is provided in KYC Application Form)	
<b>Mobile No.</b>		<b>Belongs to</b> <input type="checkbox"/> Me <input type="checkbox"/> My Family	
<b>Email ID:</b>		<b>Belongs to</b> <input type="checkbox"/> Me <input type="checkbox"/> My Family	
<b>Mode of Receiving Rights &amp; Obligation between DP &amp; B/O</b>		<input type="checkbox"/> <b>Physical Form</b>	<input type="checkbox"/> <b>Electronic Form</b>
<b>Declaration</b>			
<p>The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it. I/We acknowledge the receipt of copy of the document, "Rights and Obligation of the beneficial Owner and depository participant".</p>			
<p><b>Authorised Signatories</b> (Enclose a Board Resolution for Authorised Signatories. In case of HUF Details of Karta to be Given)</p>			
	<b>Name of the Signatory</b>	<b>Signature</b>	
<b>First Signatory</b>		<b>6 of 1AS 14</b>	
<b>Second Signatory</b>		<b>6 of 2AS 14</b>	
<b>Third Signatory</b>		<b>6 of 3AS 14</b>	
<b>Other Holders</b>			
<b>Second Holder</b>			
<b>Third Holder</b>			
<b>MODE OF OPERATION FOR SOLE/FIRST HOLDER (in case of joint holding all the holders must sign)</b>			
<input type="checkbox"/> Any one Singly		<input type="checkbox"/> Jointly by	
<input type="checkbox"/> As per Resolution		<input type="checkbox"/> Others (please Specify)	
<b>NOTES</b>			
<p><input type="checkbox"/> In case of additional signatures, separate annexure should be attached to the application form.</p> <p><input type="checkbox"/> Thumb impression and signature other than Eng. Or Hindi or any of the other language not contained in the 8<sup>th</sup> schedule of the constitution of India must be attested by a magistrate or a Notary Public or a SEM.</p> <p><input type="checkbox"/> For receiving statement of account in electronic form:</p> <p>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 ten days prior notice. Similarly, Participant may also terminate this facility by giving ten days prior Notice.</p> <p>ii) Non-receipt of bounced mail notification by the trading member shall amount to delivery of contract note &amp; Other Documents at the e-mail ID of the client.</p> <p><input type="checkbox"/> STRIKE OFF WHICHEVER IS NOT APPLICABLE</p>			
<b>7 of 1AS 14</b> (Sole/First Holder)		<b>7 of 2AS 14</b> (Second Holder)	
		<b>7 of 3AS 14</b> (Third Holder).	

## **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.

**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.



**VFC SECURITIES PRIVATE LIMITED**

Member : National Securities Depository Ltd. (NSDL)

**Regd. Add: 1<sup>st</sup> floor, Nusser House, 20 Mama Parmanand Marg, Opera House, Mumbai – 400004.**  
**Corr. Add: 203 Shreeji Chambers, 2<sup>nd</sup> Floor, behind Prasad Chambers, opera House, Mumbai – 400 004.**  
 Tel. No. 022-40043395 / 02-35114958.

**SEBI Regn. No. IN-DP-605-2021**

DP ID NO. – IN 303374

**SCHEDULE – A****CHARGES FOR BENEFICIARY OWNER ACCOUNT w.e.f. 01/01/2022**

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

<b>TYPE OF SERVICE</b>	<b>CHARGES</b>
Account Opening & Closing	NIL
Account Maintenance	For Non- Corporate Account Rs. 600/- & Corporate Account Rs. 1000/- (per annum)
BSDA Accounts (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 “actuals” basis (upfront) D) Franking Charges at Rs. 110 or at actual if POA is given by BO E) Rs. 150 per Booklet for Misplaces / 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 Pledge &amp; Pledgee both have Demat account with our DP, confirmation charges waived.

**Note:**

1. The charges mentioned above will be recovered as and when due / regular intervals.
2. 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.
3. Advance remittances towards future bills also will be accepted.

**POA FOR MARGIN AND PAY IN OF SECURITIES FOR THE PURPOSE OF SETTLEMENT (VOLUNTARY)**

TO ALL TO WHOM THESE PRESENTS SHALL COME I/WE 1) \_\_\_\_\_  
 2) \_\_\_\_\_ 3) \_\_\_\_\_, India and  
 resident Indian 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**.

**11 of 1AS 14****11 of 2AS 14****11 of 3AS 14**

**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. **INZ 000250133**.

**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	IN303374	10008662
	CDSL	1601010000228250		
CUSA	NSDL	IN 524352	IN303374	10008076

**I / we**, further agree that this POA shall also be valid in future for the cash segment of MCX Stock Exchange Limited (MCX-SX) as and when the Exchange starts the segment & VFC Securities Pvt. Ltd obtains the SEBI Registration for the said segment bearing SEBI Registration No. as given by SEBI to them. It Shall also be Valid for all the Pool Accounts and CUSA accounts or any other account required for statutory Compliance and opened by VFC Securities Private Limited henceforth.

**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 Pvt. Ltd** 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 account for the purpose of delivering the same to the clearing house of the recognized stock exchange toward any segment in respect of securities sold by me through them.

Further, VFC Securities Pvt. Ltd, the attorney can do and instruct the Depository Participant to debit securities and / or to transfer securities from the aforesaid account for the purpose of delivering / pledging the same to the Clearing Corporation, Exchange authorised professional clearing member and VFC Securities Pvt. Ltd, Member of NSE, BSE and MCX-SX.

This authority is restricted to the margin 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 any of the Broker mentioned above changes their CM-BP-ID, which is not mentioned in the above authority the said authority shall be still valid for new CM-BP-ID of the above mentioned three Brokers.

I further agree and confirm that the powers an authorities conferred by this Power of Attorney shall continue until I have given to the Depository Participant, notice in writing to the contrary.

**Signed and delivered on this \_\_\_\_\_ day of \_\_\_\_\_, 202\_\_ at Mumbai by**

**12 of 1AS 14** (Sole/First Holder)  
 (For and on behalf of the client)

**12 of 2AS 14** (Second Holder)

**12 of 3AS 14** (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 (VOLUNTARY)**

This agreement made and entered into this \_\_\_\_\_ day of \_\_\_\_\_ 202\_\_\_\_ between

1) \_\_\_\_\_ 2) \_\_\_\_\_ 3) \_\_\_\_\_

Situated at \_\_\_\_\_ (hereinafter called "the Client") and VFC SECURITIES PVT LTD situated at 1st floor, Nusser House, Opp. Roxy Theatre, Opera House, Mumbai - 400004.

**13 of 1AS** | **14**

**13 of 2AS** | **14**

**13 of 3AS** | **14**

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**

**14 of 1AS** | \_\_\_\_\_ (Sole/First Holder)

**14 of 2AS** | \_\_\_\_\_ (Second Holder)

**14 of 3AS** | \_\_\_\_\_ (Third Holder)

(For and on behalf of the client)

\_\_\_\_\_  
**Witness name and signature**

Signed and delivered by

**For VFC Securities Private Limited**

**B2**

\_\_\_\_\_  
**Director**

**IN THE PRESENCE OF**

\_\_\_\_\_  
**Witness name and signature**

## HUF DECLARATION

Date:     /     / 202

To

**VFC Securities Private Limited**

Regd. Off: 1<sup>ST</sup> Floor, Nusser House, Opp. Roxy Theatre, Opera House, Mumbai 400 004.

Corr. Off: 203, Shreeji Chambers, 2<sup>nd</sup> floor, behind Prasad Chambers, Opera House, Mumbai 400 004.

Dear Sir / Madam,

I hereby request you to open our Trading & Demat 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. \_\_\_\_\_

SR. NO.	NAME OF FAMILY MEMBERS	RELATION	DATE OF BIRTH	AGE	COPARCNER / MEMBER	SIGNATURE
1.						
2.						
3.						
4.						
5.						
6.						
7.						

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 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 faithfully,

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

**(Affix stamp of HUF)**

### **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) Annexure 'B' (DP Agreement)
- D) POA for pay-in securities & margin purpose.
- E) Agreement For Providing The Transaction Statement Through Internet
- F) Copy of Demat Charges
- G) Investor Charter
- H) My/ our Delivery Instruction Slip bearing distinctive No. \_\_\_\_\_ To \_\_\_\_\_.

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

Client ID for DP: \_\_\_\_\_

Date:

Place:

=====

### **Acknowledgement**

#### **VFC Securities Private Limited**

**Regd. Off: 1<sup>st</sup> Floor, Nusser House, Opp. Roxy Theatre, Opera House, Mumbai- 400004.**

**Corr. Off: 203, Shreeji Chambers, 2<sup>nd</sup> Floor, Behind Prasad Chambers, Opera House, Mumbai – 400004.**

**DP ID- IN 303374**

Received the application From M/S \_\_\_\_\_ 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 (CM\_BP\_ID in case of clearing Member) in all your future correspondence.

**For VFC Securities Private Limited**

**Date:**

Authorised Signatory.