

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

| S.No | Name of the Document | Brief Significance of the Document | Pg. No. |
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| 1. | Account Opening Form | A. KYC form - Document captures the basic information about the constituent and an instruction/checklist. | 3-5 |
| | | B. Document captures the additional information about the constituent relevant to trading account and an instruction/checklist. | 6-8 |
| 2. | Policies and Procedures | Document describing significant policies and procedures of the stock broker. | 9-11 |
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| MANDATORY DOCUMENTS (Separate Booklet) | | | |
| 4. | 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). | As per Annexure |
| 5. | Risk Disclosure Document (RDD) | Document detailing risks associated with dealing in the securities market. | As per Annexure |
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| 7. | Running Account Authorization | To maintain fund, securities on running account basis | 13 |
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Total number of signature required is 11

| | |
|---|--|
| Name of stock broker/ trading member/clearing member | MATA SECURITIES INDIA PVT. LTD. |
| SEBI Registration No. and date | For NSE Cash INZ000264636 & Dated: 12.06.2019 For NSE F&O INZ000264636 & Dated: 12.06.2019 For NSE WDM INZ000264636 & Dated: 12.06.2019 For BSE Cash INZ000264636 & Dated: 12.06.2019 For BSE F&O INZ000264636 & Dated: 12.06.2019 For BSE WDM INZ000264636 & Dated: 12.06.2019 NSE Member Code No.: 06071 BSE Member Code No.: 954 CIN: U67120MH1993PTC071842 |
| Registered office: | B-402 Business Square, Andheri Kurla Road Chakala, Andheri (East), Mumbai - 400 093. Tel.: 022-6831 0400 • Fax: 022-6831 0444 E-mail: investor@matasec.com , website: www.matasec.com |
| Compliance officer name: phone no. & email id: | Amol Agrawal, CFO & Compliance Officer 022- 6831 0470 Extn: 470 amol@matasec.com |
| For any grievance/dispute please contact MATA SECURITIES INDIA PVT. LTD. at the above address or email id: investor@matasec.com and Phone no. 022- 6831 0400. In case not satisfied with the response, please contact the concerned exchange(s) at: National Stock Exchange of India Limited Investor Grievance Cell/Arbitration Exchange Plaza, 5th Floor, Plot No. C/1, G Block, Bandra Kurla Complex, Bandra (E), Mumbai 400051. Toll Free No.: 18002660058 Fax: (022) 2659 8191 E-mail Id:- ignse@nse.co.in | |

| | | | | | | | | | |
|--|---|---|---|---|---|---|---|---|---|
| CKYC/KRA Registration details (For office purpose only) KRA/CKYC Registry | | | | | | | | | |
| If client is already registered with KRA please fill in below details: | | | | | | | | | |
| <input type="checkbox"/> NDML <input type="checkbox"/> CVL <input type="checkbox"/> CKYC <input type="checkbox"/> Others _____ (Please tick (✓) any one) | | | | | | | | | |
| Date of fetching KRA: <table border="1" style="display: inline-table; vertical-align: middle;"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table> | | D | D | M | M | Y | Y | Y | Y |
| D | D | M | M | Y | Y | Y | Y | | |
| Cersai Registration No.: _____ | | | | | | | | | |

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

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

ANNEXURE - 2
KNOW YOUR CLIENT (KYC) APPLICATION FORM

MANDATORY

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

For Individuals

| IDENTITY DETAILS | | | |
|---|--|--------------------------------|---|
| Name of the Applicant | | | |
| Father's/ Spouse Name | | | |
| Mother's Name | | | |
| Gender | <input type="checkbox"/> Male <input type="checkbox"/> Female | Marital status | <input type="checkbox"/> Married <input type="checkbox"/> Unmarried |
| Date of birth | | Citizenship | |
| Status | <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National | | |
| PAN | | Unique ID No./Aadhaar, if any: | |
| Specify the proof of Identity submitted | | | |

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it.

1

| ADDRESS DETAILS | | | | | | | |
|--|--|--------------|--|--|--|--------------|--|
| Corps. Add. <input type="checkbox"/> Residence <input type="checkbox"/> Office | | | | Permn. Add. (If different from Corps. Add. or overseas add. mandatory for Non-Resi. Applicant) | | | |
| | | | | | | | |
| City | | Pin | | City | | Pin | |
| State | | Country | | State | | Country | |
| Resi No. (s) | | Off. No. (s) | | Resi No. (s) | | Off. No. (s) | |
| Fax No. (s) | | | | Fax No. (s) | | | |
| Mobile No. | | | | Mobile No. | | | |
| Email | | | | Email | | | |
| Specify the proof of add. submitted for Corps. Add. | | | | Specify the proof of add. submitted for Permanent Add. | | | |
| | | | | | | | |

| OTHER DETAILS | |
|---|--|
| Gross Annual Income details (please specify) : Income Range per annum | |
| <input type="checkbox"/> Upto Rs. 1,00,000/- <input type="checkbox"/> Rs. 1,00,001/- to Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,001/- to Rs. 10,00,000/- | |
| <input type="checkbox"/> Rs. 10,00,001/- to Rs. 25,00,000/- <input type="checkbox"/> Above Rs. 25,00,001/- | |
| Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year) | |
| 2. Occupation (please tick any one and give brief details) | <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others |
| 3. Please tick, if applicable | <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) |
| 4. Any other information | |

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

| | | | |
|-------|------|-----------|----------|
| Name | | Signature | 2 |
| Place | Date | | |

| FOR OFFICE USE ONLY | | |
|--|---------------------------------------|--------------------------------|
| <input type="checkbox"/> (Originals verified) True copies of documents received | Signature of the Authorised Signatory | Seal/Stamp of the intermediary |
| | Name | |
| | Signature | |
| <input type="checkbox"/> (Self-Attested) Self Certified Document copies received | Designation | |
| | Date | |
| | | |

MANDATORY
KNOW YOUR CLIENT (KYC) APPLICATION FORM

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**. *For Non-Individuals*

| | | | | | | | |
|---|---------------------------------------|--------------|--|--|------------------------|---------------------------------|--|
| Name of the Applicant | | | | | | | |
| Date of incorporation | | (dd/mm/yyyy) | | | Place of incorporation | | |
| Date of commencement of business | | | | | | | |
| PAN | | | | Registration No. (e.g. CIN) | | | |
| Status (please tick any one): <input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> Charities | | | | | | | |
| <input type="checkbox"/> NGO's <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organization <input type="checkbox"/> BOI <input type="checkbox"/> Society | | | | | | | |
| <input type="checkbox"/> Defense Establishment <input type="checkbox"/> LLP <input type="checkbox"/> Others (please specify) | | | | | | | |
| | | | | | | | |
| Corps. Add. <input type="checkbox"/> Residence <input type="checkbox"/> Office | | | | Regd. Add. | | (If different from Corps. Add.) | |
| | | | | | | | |
| | | | | | | | |
| City | | Pin | | City | | Pin | |
| State | | Country | | State | | Country | |
| Resi No. (s) | | Off. No. (s) | | Resi No. (s) | | Off. No. (s) | |
| Fax No. (s) | | | | Fax No. (s) | | | |
| Mobile No. | | | | Mobile No. | | | |
| Email | | | | Email | | | |
| Specify the proof of add. submitted for Corps. Add. | | | | Specify the proof of add. submitted for Regd. Add. | | | |
| | | | | | | | |
| OTHER DETAILS | | | | | | | |
| Gross Annual Income details (please specify) : Income Range per annum | | | | | | | |
| <input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> Rs. 1,00,001/- to Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,001/- to Rs. 10,00,000/- | | | | | | | |
| <input type="checkbox"/> Rs. 10,00,001/- to Rs. 25,00,000/- <input type="checkbox"/> Rs. 25,00,001/- to 1 crore <input type="checkbox"/> > 1 crore | | | | | | | |
| Net worth as on Date : _ Rs._ (Net worth should not be older than 1 year) | | | | | | | |
| Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: Please provide details on Annexure-A attached. | | | | | | | |
| DIN/UID of Promoters/Partners/Karta and whole time directors: Details on Annexure-A attached | | | | | | | |
| Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors: Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP) | | | | | | | |
| Any other information | | | | | | | |
| DECLARATION | | | | | | | |
| I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any 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. | | | | | | | |
| Name of the Applicant / Authorised Signatory | | | | Signature | | 1a | |
| Date: | | | | | | | |
| FOR OFFICE USE ONLY | | | | | | | |
| <input type="checkbox"/> (Originals verified) True copies of documents received | Signature of the Authorised Signatory | | | Seal/Stamp of the intermediary | | | |
| | Name | | | | | | |
| | Signature | | | | | | |
| <input type="checkbox"/> (Self-Attested) Self Certified Document copies received | Designation | | | | | | |
| | Date | | | | | | |
| | | | | | | | |

Annexure - A

MANDATORY

Photographs of Promoters/Partners/Karta/Trustees and Whole time directors and of persons authorized to deal in securities.

| | | | | |
|--|--|--------|--|----|
| Name | | | | 2a |
| Residential Address | | | | |
| Telephone No. | | Mobile | | |
| Income Tax PAN No. | | | | |
| UID | | DIN | | |
| Promoter/Partner/Karta/Trustees/Whole Time Directors/Authorised Person | | | | |

Sign across the
Photograph
excluding face

| | | | | |
|--|--|--------|--|----|
| Name | | | | 2b |
| Residential Address | | | | |
| Telephone No. | | Mobile | | |
| Income Tax PAN No. | | | | |
| UID | | DIN | | |
| Promoter/Partner/Karta/Trustees/Whole Time Directors/Authorised Person | | | | |

Sign across the
Photograph
excluding face

| | | | | |
|--|--|--------|--|----|
| Name | | | | 2c |
| Residential Address | | | | |
| Telephone No. | | Mobile | | |
| Income Tax PAN No. | | | | |
| UID | | DIN | | |
| Promoter/Partner/Karta/Trustees/Whole Time Directors/Authorised Person | | | | |

Sign across the
Photograph
excluding face

| | | | | |
|--|--|--------|--|----|
| Name | | | | 2d |
| Residential Address | | | | |
| Telephone No. | | Mobile | | |
| Income Tax PAN No. | | | | |
| UID | | DIN | | |
| Promoter/Partner/Karta/Trustees/Whole Time Directors/Authorised Person | | | | |

Sign across the
Photograph
excluding face

| | | | | |
|--|--|--------|--|----|
| Name | | | | 2e |
| Residential Address | | | | |
| Telephone No. | | Mobile | | |
| Income Tax PAN No. | | | | |
| UID | | DIN | | |
| Promoter/Partner/Karta/Trustees/Whole Time Directors/Authorised Person | | | | |

Sign across the
Photograph
excluding face

BANK ACCOUNT(S) DETAILS (through which banking transactions will generally be routed)

| |
|--------------------------|
| Bank Name |
| Branch |
| Address |
| |
| |
| Account No. |
| Account Type |
| 9 Digit Code (MICR code) |
| IFSC Code (for RTGS) |

| |
|--------------------------|
| Bank Name |
| Branch |
| Address |
| |
| |
| Account No. |
| Account Type |
| 9 Digit Code (MICR code) |
| IFSC Code (for RTGS) |

(Copy of cancelled cheque leaf & pass book/bank statement containing name of the constituent should be submitted for all the banks declared).

DEPOSITORY ACCOUNT(S) DETAILS (through which share transactions will generally be routed)

| | |
|----------------------------------|-----------|
| Depository | NSDL/CDSL |
| Depository ID | |
| Client ID | |
| DP Name | |
| Beneficiary Name | |
| Depository Participant's Address | |
| | |
| | |

| | |
|----------------------------------|-----------|
| Depository | NSDL/CDSL |
| Depository ID | |
| Client ID | |
| DP Name | |
| Beneficiary Name | |
| Depository Participant's Address | |
| | |
| | |

(Copy of a demat client master/demat statement containing name of the constituent & type should be submitted for all demat account declared).

| TRADING PREFERENCES | | | |
|--|--------------------------|--------------------------|--------------------------|
| *Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client. | | | |
| NSE | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| BSE | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

If, in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker.

| PAST ACTIONS |
|--|
| Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: |
| |
| |
| |

| | | | | | | | | | | | |
|--|--|----------|--|----------------------------|---|---------------------------|--|-------------|--|----------|--|
| OTHER DETAILS | | | | | | | | | | | |
| 1. Gross Annual Income Details (please specify): Income Range per annum: <input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lacs-1 Cr. <input type="checkbox"/> > 1 Cr Net-worth as on (date) _____ (Net worth should not be older than 1 year) | | | | | | | | | | | |
| 2. Occupation (please tick any one and give brief details): <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others _____ | | | | | | | | | | | |
| 3. Is the entity involved/providing any of the following services <input type="checkbox"/> YES <input type="checkbox"/> NO (For Non-Individuals only) - For Foreign Exchange / Money Changer Services <input type="checkbox"/> YES <input type="checkbox"/> NO – Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) <input type="checkbox"/> YES <input type="checkbox"/> NO - Money Lending / Pawning <input type="checkbox"/> YES <input type="checkbox"/> NO | | | | | | | | | | | |
| 4. Please tick, if applicable: Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP) <input type="checkbox"/> YES <input type="checkbox"/> NO | | | | | | | | | | | |
| 5. Any other information: _____ | | | | | | | | | | | |
| DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS (If dealing through Sub-brokers provide details) | | | | | | | | | | | |
| Sub-Broker Name | | | | NSE SEBI Reg. No. | | | | | | | |
| Regd. Off. | | | | | | Remisier/AP (NSE) No. | | | | | |
| Address | | | | | | | | | | | |
| Signature of Sub-Broker X | | Tel. No. | | | | | | | | | |
| | | Fax No. | | | | | | | | | |
| | | Website | | | | | | | | | |
| Whether dealing with any other stock broker/sub-broker (if in case dealing with multiple stock brokers/sub-brokers, provide details of all) | | | | | | | | | | | |
| Name of Stock Broker | | | | Name of Sub-Broker, if any | | | | Client Code | | Exchange | |
| Details of disputes/dues pending from/to such stock broker/sub-broker: | | | | | | | | | | | |
| ADDITIONAL DETAILS | | | | | | | | | | | |
| Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): <input type="checkbox"/> YES <input type="checkbox"/> NO | | | | | | | | | | | |
| Specify your Email id, if applicable: _____ | | | | | | | | | | | |
| Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): <input type="checkbox"/> YES <input type="checkbox"/> NO | | | | | | | | | | | |
| Number of years of Investment/Trading Experience: _____ | | | | | | | | | | | |
| In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: Details as per Annexure - A | | | | | | | | | | | |
| Any other information _____ | | | | | | | | | | | |
| INTRODUCER DETAILS (Optional) | | | | | | | | | | | |
| Name of the Introducer | | | | | | Signature of Introducer X | | | | | |
| Add. / Tel. | | | | | | | | | | | |
| | | | | | | | | | | | |
| Status of the Introducer: Sub Broker / Remisier / Authorized Person / Existing Client / Others, please specify _____ | | | | | | | | | | | |
| NOMINATION DETAILS (FOR INDIVIDUAL ONLY) | | | | | | | | | | | |
| <input type="checkbox"/> I / We wish to nominate | | | | | <input type="checkbox"/> I / We do not wish to nominate | | | | | | |
| Name of Nominee | | | | Relation with Nominee | | | | | | | |
| Address | | | | PAN No. | | | | | | | |
| | | | | Tel. No. | | | | | | | |
| If Nominee is a minor, details of Guardian | | | | Date of Birth | | | | | | | |
| Name of Guardian | | | | | | | | | | | |
| Address & Tel No. | | | | Signature of Guardian | | | | | | | |
| Witnesses (Only applicable in case the account holder has made nomination) | | | | | | | | | | | |
| Name | | | | | Name | | | | | | |
| Address | | | | | Address | | | | | | |
| | | | | | | | | | | | |
| Signature | | | | | Signature | | | | | | |

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

| | | | |
|-------|------|------------------------|---|
| Name | | Signature of all | 5 |
| Place | Date | Authorised Signatories | |

FOR OFFICE USE ONLY

UCC Code allotted to the Client:

| | Documents verified with Originals | Client Interviewed / Approved by | In person Verification done by |
|-----------------------------|-----------------------------------|----------------------------------|--------------------------------|
| Name of the employee | | | |
| Signature | | | |
| Designation of the employee | | | |
| Employee Code | | | |
| Date | | | |

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

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

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

INSTRUCTIONS/ CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

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

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

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

POLICIES AND PROCEDURES (MANDATORY) OF MATA SECURITIES INDIA PVT. LTD.

a. Refusal of orders for penny stocks:

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

- Has small market capitalization;
- Trades at a price less than its face value;
- Has unsound fundamentals;
- Is illiquid (A list of illiquid securities is jointly released by NSE from time to time.)
- Mata Securities India Pvt. Ltd. recognizes that it is client's privilege to choose shares in which he/she would like to trade. However, Mata Securities India Pvt. Ltd. like to have special attention to dealing in "Penny stocks".
- Mata Securities India Pvt. Ltd. may refuse to execute any client's orders in penny stocks without assigning any reason for the same.
- Any large order for purchase or sale of a "Penny stocks" should be referred to Head - Dealing, such orders can be put in the market for execution.
- Clients must ensure that trading in "Penny stock" doesn't result in creation of artificial volume or false or misleading appearance of trading. Further, clients should ensure that trading in "Penny stock" doesn't operate as a device to inflate or depress or cause fluctuations in the price of such stock.
- Clients are expected not to place orders in penny stocks at prices which are substantially different from the prevailing market prices. Any such order is liable to be rejected at the sole discretion of Mata Securities India Pvt. Ltd.
- In case of sale of penny stocks, client should ensure delivery of shares to Mata Securities India Pvt. Ltd. before the pay-in date.

b. Setting up client's exposure limit:

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

c. Applicable brokerage rate:

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

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

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

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

- Mata Securities India Pvt. Ltd. has the right to close out/ liquidate or square off any open position of the client (limited to the extent of settlement /margin obligation) without giving any prior notice, all or any of the client's positions as well as securities / collaterals placed as margins for non-payments of margin or other amounts due from such client in respect of settlement or any other trade related dues that are recoverable from the client by Mata Securities India Pvt. Ltd. The proceeds of the same shall be adjusted against the client's liabilities / obligations. Any loss or financial charges on account of such closeout /liquidation shall be debited to the client's account.
- f. Shortages in obligations arising out of internal netting of trades:
- To determine the net obligation of a broker / trading cum clearing member (for securities and funds) in a settlement, clearing house does the netting of trades at the broker level. It is possible that a broker's net obligation towards clearing house may be nil but due to default by one or more clients in satisfying their obligations towards the broker, the broker internally might have shortages to fulfill its obligation towards the other client(s). In such situation, Mata Securities India Pvt. Ltd. shall endeavor to collect the securities from the selling client and deliver it to the purchasing client within 48 hours of the settlement date. In case the selling client is unable to deliver the securities within 48 hours, then Mata Securities India Pvt. Ltd. shall attempt to purchase the security from the market and deliver it to the purchasing client. If Mata Securities India Pvt. Ltd. is unable to obtain the securities from the market, then the transaction will be closed out as per the auction rate prescribed by the Exchange for that scrip and the closing amount will be credited to the purchasing client and same will be debited to the selling client.
- g. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of the client
- Mata Securities India Pvt. Ltd. shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following mentioned conditions:
- Extreme volatility in the market or in particular scrip or in the F&O segment.
 - If there is shortfall in the margin deposited by client with Mata Securities India Pvt. Ltd.
 - If there is insider trading restrictions on the client.
 - If there are any unforeseen adverse market conditions or any natural calamities affecting the operation of market.
 - If there are any restrictions imposed by Exchange or Regulator on the volume of trading outstanding positions of contracts.
 - If the client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
 - If Mata Securities India Pvt. Ltd. has reached its limit in that scrip.
 - If the clients has breached the client-wise limit.
 - If the client has taken or intends to take new position in a security which is in the ban period.
 - If due to abnormal shortfall in the market, if market are closed.
- h. Temporarily suspending or closing a client's account based at the Client's request:
- Any client desirous of temporarily suspending his or her trading account has to give such request in writing to the management. After management's approval, any further dealing in such client's account will be blocked. Whenever, any suspended account wants to resume trading, request in writing should be made to management and management may ask for updated financial information & other details for reactivating such account. After receiving necessary documents, details etc. and approval from the management, client is reactivated & is allowed to carry out transaction.
 - Similarly, any client desirous of closing his/her account permanently is required to inform in writing and the decision in this regard is taken by management. After necessary approval from the management, the client code is deactivated. Only after scrutinizing the compliance requirements and "no pending queries" confirmation is taken, securities and funds accounts are settled.
- i. Deregistering a Client
- Mata Securities India Pvt. Ltd.. may, in its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which Mata Securities India Pvt. Ltd. may deregister a client are given below:
- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
 - Such client has been indicated by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.

- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibiting entities or SEBI debarred list.
- Such client's account has been lying dormant for a long time or client is not traceable.
- Such client has declared insolvent or any legal proceedings to declare him/her as such have been intended.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.
- Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of Mata Securities India Pvt. Ltd. or may act as detriment to Mata Securities India Pvt. Ltd.'s prospects.

J. Inactive Client Account

Client account will be considered as inactive if the client does not execute a single trade during the period of 12 months from the last trade. In such cases, the client has to make a written request for reactivation of his trading account, with recent proofs and any upgradation in the KYC form.

Return of client assets:

- When a client is declared as inactive all the securities of the client are transferred to the demat account of the client. The funds belonging to the client shall be returned to the client. If for any reason the funds and securities of the client cannot be transferred to the client's bank account or demat account then the same shall be transferred into a separate account of the organization. The funds and securities shall be held in the separate account until the time the organization hears from the client or their representatives.

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

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

6

(Signature of the constituent)

MANDATORY

BROKERAGE SLABS:

| CASH | | | | DERIVATIVES | | |
|-----------------|---------|------|------------|-------------|------|------------|
| C.M. | Minimum | Rate | Percentage | Min. (Amt.) | Rate | Percentage |
| Trading | | | | | | |
| Same Day | | | | | | |
| Delivery/Option | | | | | | |

1. The above rates are exclusive of transaction charge, Stamp Duty, Securities Transaction Tax and Service Tax which will be charged extra at the rate prevailing from time to time.
2. The General rates as mentioned here shall be applied unless the special rates as may be agreed by the sub-broker/Authorised Person/Introducer and client and the same are mentioned here.

Client's Signature 7 _____

Signature of Sub-broker/
Authorised Person/Introducer _____

Signature of Broker _____

RUNNING ACCOUNT AUTHORISATION FOR ALL EXCHANGES

VOLUNTARY

From: _____

Date: _____

To,
Mata Securities India Pvt. Ltd.
B-402 Business Square, Andheri Kurla Road
Chakala, Andheri (East), Mumbai - 400 093.

Dear Sirs,

I am / we are regularly Trading with you for Cash and Derivative Market in NSE and BSE. I/We hereby authorized you to do following on my /our behalf:

- I/We hereby give my/our consent to maintain my/our account for fund and securities as RUNNING ACCOUNT
- The Securities lying in my/our withhold A/c and credit balance lying in my/our account should be considered as margin deposits
- I/We request you to keep my/our Securities, Margin and funds with you to meet my/our pay in obligation in the Succeeding settlements in the same segment as well as other segments of NSE and BSENSE
- The actual settlement of funds & Securities shall be done by you every

☐ Monthly

☐ Quarterly

- You shall transfer the Funds/securities lying in my/our credit within one working day of the request if the same are lying with you & within 3 working days from the request, if the same are lying with the clearing member/clearing corporation
- In case of outstanding obligations in the F&O segment on the settlement date, Mata Securities India Pvt. Ltd. shall retain requisite funds / securities towards such outstanding obligation and may also retain the funds expected to be required to meet margin obligation for next five trading days or as notified by regulatory authority SEBI/Stock Exchange from time to time.
- I/We authorize Mata Securities India Pvt. Ltd. to retain an amount of up to Rs 10,000/- (net amount across segment and across stock exchanges), while settlement of funds. The above threshold limit on retention of amount shall not be applicable if I have not traded even once during the last one month/quarter, as the case may be; i.e settlement shall be done as per the aforesaid SEBI circular, in that cases.
- I/We agree to bring to the notice of Mata Securities India Pvt. Ltd. in writing any dispute arising from the statement of account or securities as prescribed by SEBI under circular no. MIRSD/SE/Cir-19/2009 dated December 03, 2009.
- I/We have noted the following :-
 1. This running account authorization will continue until it is revoked by me.
 2. The authorization shall be signed by me /us only and not by any power of attorney holder or by any authorized person.
 3. I/We may revoke the authorization at any time by giving written notice.

Yours faithfully,

Signature of Client 8 _____

Name of the Client _____

Client Code: _____

ECN AUTHORISATION

VOLUNTARY

From: _____

Date: _____

To,
MATA SECURITIES INDIA PVT. LTD.
B-402, Business Square, Andheri Kurla Road,
Chakala, Andheri (East), Mumbai – 400 093

Dear Sirs,

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

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

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

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

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

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

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

My/Our E-mail ID _____

My/Our Alternative E-mail ID _____

Yours faithfully,

9

(Client Signature)

Client Code : (customer ID)

FATCA/CRS DETAILS

| | | |
|-------------|--|-------------|
| Client Code | | Date: _____ |
|-------------|--|-------------|

The below information is required for all applicant(s) / guardian / PoA holder.

| Sr. No. | Details | |
|---------|---|--|
| 1 | Are You a Tax Resident of Country other than India? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 2 | Is your Country of Birth/Citizenship other than India? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 3 | Is your Residence address/Mailing address other than in India? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 4 | Is the POA holder/person to whom signatory authority is given, covered under any of the categories 1, 2 or 3 above? | <input type="checkbox"/> Yes <input type="checkbox"/> No |

If you have answered YES to any of above, please provide the below details

| Sr. No. | Details | |
|---------|---|--|
| 1 | Country of Residence | |
| 2 | Nationality | |
| 3 | Tax Identification No. or Reason for not providing TIN | |
| 4 | Identification Type (TIN or Other, please specify) | |
| 5 | Residence address for tax purposes (include City, State, Country & Pin code) | |
| 6 | Address Type <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Regd. Office | |
| 7 | City of birth | |
| 8 | Country of birth | |

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

I/We agree to indemnify Mata Securities India Pvt. Ltd. in respect of any false, misleading, inaccurate and incomplete information regarding my/our "U.S. person" status for U.S. federal income tax purposes or in respect of any other information as may be required under applicable tax laws.

| | Applicant / Guardian Applicant |
|-----------|---|
| Name | |
| Signature | <div style="border: 1px solid black; padding: 2px; display: inline-block;">10</div> |
| PAN | |

FATCA-CRS Instruction

Details under FATCA/CRS/Foreign Tax Laws: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income Tax Rules 1962, which Rules require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In certain circumstances (including if we do not receive a valid self -certification from you) we may be obliged to share information on your account with relevant tax authorities/appointed agencies. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

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

Date:

To,

MATA SECURITIES INDIA PVT. LTD.

B-402, Business Square, Andheri Kurla Road,

Chakala, Andheri (East), Mumbai – 400 093

Dear Sir,

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

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

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

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

| Name of Partners (In Block Letters) | Signatures |
|-------------------------------------|------------|
| | |
| | |

HUF DECLARATION

FORMAT

Date:

To,

MATA SECURITIES INDIA PVT. LTD.

B-402, Business Square, Andheri Kurla Road,

Chakala, Andheri (East), Mumbai – 400 093

Dear Sir,

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

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

Name & signature of Adult co-parceners

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

Name & dates of birth of minor co-parceners

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

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

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

Thanking you,

Yours truly,

Karta

(Affix stamp of HUF)

FORMAT OF RESOLUTION
ON LETTERHEAD OF COMPANY

FORMAT

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

RESOLVED THAT the Company do place orders with/give instructions to _____
_____ for buying and selling index/stocks based futures and options of National Stock Exchange
of India Limited (NSE) and cash segment of NSE.

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

| No. | Name of Authorised person | Specimen Signature |
|-----|---------------------------|--------------------|
| | | |
| | | |
| | | |

Be and are hereby authorized severally to

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

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

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

CERTIFIED TRUE COPY

Director _____

ON THE LETTER HEAD OF COMPANY:
(For Corporates)

FORMAT

Certificate dated _____

submitted by _____ to

SHARE HOLDING PATTERN of _____ as on _____

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

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

\$ All initials to be expanded

Date:

Place:

Company Secretary/Whole Time Director/Managing Director

Risk Assessment of Client in terms of PMLA 2002

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

at the time of account opening

Categorization of client would be changed only if there is change based on risk assessment of the client during his dealings with Mata Securities India Pvt. Ltd.

For Mata Securities India Pvt. Ltd.

Director/Authorised Signatory

ACKNOWLEDGMENT

To,
MATA SECURITIES INDIA PVT. LTD.
B-402, Business Square, Andheri Kurla Road,
Chakala, Andheri (East), Mumbai – 400 093
Dear Sir,

I/We, hereby, acknowledge of having read, understood and in receipt of the following documents which is in accordance with SEBI circular no. CIR/MIRSD/16/2011 dated August 22, 2011:

1. Photocopy of duly executed KYC form including Mandatory and Voluntary documents.
2. Rights and Obligations of Stock Brokers, Sub-brokers and Clients.
3. Risk Disclosure Document for Capital Market and Derivatives Segment.
4. Guidance Notes - Do's and Don'ts for Trading on the Exchange(s) for Investors and
5. All other documents / proof's executed / submitted by me.

I/We understand that the Voluntary documents executed by me/us are out my/our free will. I/We am in knowledge that the above documents (2), (3) & (4) are also available on Mata Securities India Pvt. Ltd.'s website www.matasec.com

I/We, further, acknowledge that the other details related to my/our account are as under:

Trading Code: _____

Client Signature: 11 _____

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
 2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
 3. If any proof of identity or address is in a foreign language, then translation into English is required.
 4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
 5. If correspondence & permanent address are different, then proofs for both have to be submitted.
 6. Sole proprietor must make the application in his individual name & capacity.
 7. For nonresidents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIDCard/OICard and overseas address proof is mandatory.
 8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
 9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
 10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
 11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.
- B. Proof of Identity (POI):** - List of documents admissible as Proof of Identity:
1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
 2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
 3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.
- C. Proof of Address (POA):** - List of documents admissible as Proof of Address:
(*Documents having an expiry date should be valid on the date of submission.)
1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of
- D. Exemptions/clarifications to PAN**
(*Sufficient documentary evidence in support of such claims to be collected.)
1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
 2. Investors residing in the state of Sikkim.
 3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
 4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
 5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.
- E. List of people authorized to attest the documents:**
1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Cooperative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
 2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

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

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



MATA SECURITIES INDIA PVT.LTD.

MEMBER: NATIONAL STOCK EXCHANGE OF INDIA LIMITED

SEBI REGISTRATION NO.: INZ000264636 •

NSE CODE NO.: 06071, BSE CODE: 954

CLIENT REGISTRATION FORM

NAME : _____

CLIENT CODE : _____

Regd. Office : MATA SECURITIES INDIA PVT. LTD.
B-402, Business Square, Andheri
Kurla Road, Chakala, Andheri
(East), Mumbai – 400 093

Tel.: 022- 6831 0400 • Fax: 022 - 6831 0444

E-mail: investor@matasec.com •

Website: www.matasec.com