

## Open doors to **limitless opportunities**

**Trading & Demat Account Opening Form**  
- For Non-Individuals



Sr. No.: 00000000

Client Code
-------------

Corresponding Ex.ID
---------------------

**Segments:**  
Equity | Derivatives

**BOOKLET 1 (SECURITIES)**

S. No.	Name of the Document	Brief Significance of the Document	Page No.
<b>MANDATORY FORM AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituents and an instruction/checklist. (To be filled by customer)	4-5
		B. Document captures the additional information for Trading & Demat Account	6-8
		C. Declaration for FATCA / CRS	12-15
2	Tariff sheet	Document detailing the demat fee schedule & rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	16
3	Formats	HUF, Share Holding Pattern and Partnership Firm	24-26
4	Office Use	Acknowledgement and office use copy	30-32

**BOOKLET 2 (SECURITIES)**

S. No.	Name of the Document	Brief Significance of the Document	Page No.
<b>MANDATORY FORM AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1	Rights and Obligations (Trading)	Document stating the Rights & Obligations of stock broker/trading member, authorized person and client for trading on exchanges (including additional rights & obligations in case of internet wireless technology based trading).	1-6
2	Rights and Obligations (DP)	Documents detailing Rights & Obligations of beneficial owner and depository participant	6-8
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the Securities	9-12
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the Investors.	12-13
5	Policies and Procedures	Document describing significant policies and procedures of the stock broker	14-18
6	Rights and Obligations (SLBS)	Documents detailing Rights & Obligations of Clearing Member/Participant and its Client	18-21
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
7	General Terms and Condition	General terms and conditions governing Securities trading and broking services of TFMPL	22-33
8	T&C for BSDA	Terms & Conditions for Basic Services Demat Account	27-29
9	DDPI	Demat Debit and Pledge Instruction	17-18
10	Authorisation for Running Account	Authorisation letter to Torus Financial Markets Pvt. Ltd. facilitates maintaining of fund with the member for every pay-in of funds obligation / margin obligation	19
11	Mutual Fund Service Request	Mutual Fund Service System (MFSS) facility of NSE/BSE StAR	20
12	Confirmation for SB/AP	Confirmation of the arrangement with Sub-broker/Authorized Person Bank Mandate	22

Note: **Booklet 1** to be filled by client and returned to TFMPL. **Booklet 2** to be read, understood by the client for future reference

<b>Torus Financial Markets Private Limited</b>	
SEBI Registration No: Stock Broker: BSE, NSE, INZ000299936 dated: 30-06-2021   Research Analyst: INH000008695. Mutual Funds Distribution: AMFI ARN No.241161 CDSL SEBI Reg. No. IN-DP-664-2022  Member ID: NSE 90245, BSE 6761,. Clearing Member for NSE FO: Globe Capital Market Limited Clg. Member Code: 06637 BSEFO: Globe Capital Market Limited Clg. Member Code: M50302   Clearing corporation: NSE Clearing Ltd (NCL)	
Mutual Funds Distribution: AMFI ARN No.241161	CDSL SEBI Reg. No. IN-DP-664-2022

**Registered and Correspondence Address:** C- Wing, 1802, Lotus Corporate Park, Off Western Express Highway, Jai Coach, Goregaon, East Mumbai- 400063.

**Tel.:** (91) (22) 69243000 **Fax:** (91) (22) 69243000 **Website:** <https://www.torusfinancialmarkets.com/> **CIN:** U65990MH2021PTC356714

**Compliance Officer Name:** Ms Bansi Sanghvi **Phone No.** (91) (22) 69243000 **email id:** [tfm.compliance@torusgroup.in](mailto:tfm.compliance@torusgroup.in)

**For any grievance/dispute:** Please contact Torus Financial Markets Private Limited at the above address or email id - [customer@torusgroup.in](mailto:customer@torusgroup.in) / [grievance@torusgroup.in](mailto:grievance@torusgroup.in) / [dpgrievance@torusgroup.in](mailto:dpgrievance@torusgroup.in) and Phone no. 022 -6924 3000.

**In case not satisfied** with the response, please contact the concerned exchange(s) at: NSE: [ignse@nse.co.in](mailto:ignse@nse.co.in)

BSE: [is@bseindia.com](mailto:is@bseindia.com) Phone no. NSE: 022-26598190 / 1800 22 0051 BSE: 022-22721233/34

## Important Instructions

1	All details to be filled in Capital letters in Black/Blue Ink Only.
2	Holder's Names in all the required fields should be filled as per the supporting documents submitted.
3	Email ID & Mobile number are very important as account related passwords and transaction details will be communicated on that.
4	Provide correct Bank IFSC & MICR code for hassle free transactions in future.
5	Ensure Signatures are done on all MANDATORY forms & VOLUNTARY documents (Opted by Client)
6	All KYC documents must be self attested and corrections should be counter signed on left hand side of the page.
7	Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
8	In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
9	All correspondence / queries shall be addressed to the first / sole applicant.
10	Strike off option whichever is not applicable in the AOF
11	Fields marked with "*" are mandatory fields.
12	Please fill the form in English and in BLOCK letters.
13	Please fill the date in DD-MM-YYYY format.
14	Please read section wise detailed guidelines/instruction at the end
15	List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
16	List of two character ISO 3166 country codes is available on the website.
17	KYC number of applicant is mandatory for update application.
18	For particular section update, please tick (✓) in the box available before the section and strike off the sections not required to be updated..
19	Annexure A1 for related person, refer website.

**CHECK LIST FOR FILLING KYC FORM (Documents to be submitted by Non-individual Applicant)**

Types of Entity	Documentary requirements	Please Tick
Corporate	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, Proof of Identification, Proof of Address, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 25% of shares/capital/profits	
	Copies of the Memorandum and Articles of Association and certificate of incorporation.	
	Copy of the Board Resolution or Declaration (on the Letterhead) naming the persons authorised to deal in securities on behalf of company/firm/others and their specimen signatures for investment in securities market.	
	Authorised signatories list with specimen signatures alongwith photo.	
Partnership Firm	Copy of the balance sheets for the last 2 financial years (to be submitted every year)	
	Certificate of Registration (for registered partnership firms only).	
	Certified copy of partnership deed	
	Authorised signatories list with specimen signatures alongwith photo.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 15% of capital/profits	
Trust	Copy of the balance sheets for the last 2 financial years (to be submitted every year).	
	Certificate of registration (for registered trust only).	
	Certified copy of Trust deed.	
	List of trustees certified by managing trustees/CA.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 15% of property/capital/profits	
HUF	PAN of HUF.	
	Deed of declaration of HUF/ List of coparceners.	
	Bank pass-book/bank statement in the name of HUF.	
	Photograph, Proof of Identification, Proof of Address, PAN of Karta.	
Unincorporated association or a body of individuals	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 alongwith photo.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 15% of property/capital/profits	
Banks/Institutional Investors	Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.	
	Authorized signatories list with specimen signatures alongwith photo.	
Foreign Institutional Investors (FII)	Copy of SEBI registration certificate.	
	Authorized signatories list with specimen signatures alongwith photo.	
Army/Government Bodies	Self-certification on letterhead.	
	Authorized signatories list with specimen signatures alongwith photo.	
Registered Society	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.	

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

### A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

2. Date of Incorporation    /    /

Place of Incorporation

3. Registration No. (e.g. CIN)

Date of commencement of business    /    /

4. Status Please tick (✓)  Private Ltd. Co.  Public Ltd. Co.  Body Corporate  Partnership  Trust / Charities / NGOs  
 FI  FII  HUF  AOP  Bank  Government Body  Non-Government Organisation  
 Defence Establishment  Body of Individuals  Society  LLP  Others (Please specify) \_\_\_\_\_

5. Permanent Account Number (PAN) (MANDATORY)                 Please enclose a duly attested copy of your PAN Card

PHOTOGRAPH

Please affix  
the recent passport  
size photograph of  
Authorised Signatory  
and sign across it

### B. Proof of Identity (POL)\*

Officially valid document(s) in respect of person authorised to transact  
 Certificate of incorporation / Formation  Registration Certificate \_\_\_\_\_  
 Memorandum and Articles of Association  Partnership Deed  Trust Deed  
 Resolution of Board/ Managing Committee  Power of attorney granted to its manager, officers or employees to transact on its behalf  
 Activity Proof - 1 (For Sole Proprietorship Only)  Activity Proof - 2 (For Sole Proprietorship Only)

### C. Address Details (Please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village  
State

Country

Postal Code

Certificate of Incorporation/ Formation  Registration Certificate  Other Document

2. Registered Address (If different from above)

City / Town / Village  
State

Country

Postal Code

Certificate of Incorporation/ Formation  Registration Certificate  Other Document

3. Contact Details

Tel. (Off.) (ISD) (STD)

Mobile (ISD) (STD)

E-Mail Id.

Tel. (Res.) (ISD) (STD)

Fax (ISD) (STD)

4. NUMBER OF RELATED PERSONS

### 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 are aware that I/we may be held liable for it.

NAME & SIGNATURE(S)  
OF AUTHORISED  
PERSON(S)

F1

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

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

IMPORTANT: Password for your account will be sent on your registered email ID only, login ID and alerts on mobile no. as mentioned above.

### FOR OFFICE USE ONLY

IPV Done  on    /    /

AMC/Intermediary name OR code

Torus Financial Markets Pvt. Ltd. - POS: \_\_\_\_\_ - CKYC: \_\_\_\_\_

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary

Employee Name \_\_\_\_\_

Designation \_\_\_\_\_

Intermediary \_\_\_\_\_

Code \_\_\_\_\_

Signature

# Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

Sr. No.	PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	



For office use only Application Type\*  New  Update  Delete KYC Number:

**1. DETAILS OF RELATED PERSON\* (Please refer instruction E at the end)**

Addition of Related Person  Deletion of Related Person  Update Related Person Details

KYC Number of Related Person (if available\*)  If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

**Related Person Type\***  Director  Promoter  Karta  Trustee  Partner  Court Appointment Official  Proprietor  
 Beneficiary  Authorised Signatory  Beneficial Owner  Power of Attorney Holder  Other (Please specify)

DIN (Director Identification Number)  (Mandatory if Related Person Type is Director)

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

Name\* (Same as ID proof) Prefix  First Name  Middle Name  Last Name

Father / Spouse Name\*


PAN\*  Date of Birth\*   -   -

Gender\*  M- Male  F- Female  T-Transgender

Marital Status\*  Married  Unmarried  Others

Citizenship\*  IN- Indian  Others (ISO 3166 Country Code  )

Residential Status\*  Resident Individual  Non Resident Indian  Foreign National  Person of Indian Origin



**F3** Signature / Thumb Impression

**3. PROOF OF IDENTITY AND ADDRESS\***

3.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS

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

A - Passport Number  C-Driving Licence  E-National Population Register Letter  Proof Number

B- Voter ID Card  D-NAREGA Job Card  F-Proof of Possession of Aadhaar

II. E-KYC Authentication  III. Offline verification of Aadhaar

**Address**

Line 1\*

Line 2

Line 3  City / Town / Village\*

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

3.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS\*

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

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

A - Passport Number  C-Driving Licence  E-National Population Register Letter  Proof Number

B- Voter ID Card  D-NAREGA Job Card  F-Proof of Possession of Aadhaar

II. E-KYC Authentication  III. Offline verification of Aadhaar   IV. Deemed proof of address :

**Address**

Line 1\*

Line 2

Line 3  City / Town / Village\*

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

**4. CONTACT DETAILS (All communication will be sent on provided Mobile No./E-Mail Id)**

Tel. (Off)  -  Mobile  -

Tel. (Res)  -  Email ID

5. REMARKS (If any) :

**6. APPLICANT DECLARATION** : I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. 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. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number / address.

**F4**

Date :   -    -       Place :

Signature / Thumb Impression of Applicant  
Signature as per our record

**Office use only**

Torus Financial Markets Pvt. Ltd. - POS:  - CKYC:

**Documents Received**

Certified Copies  Digital KYC Process

E-KYC data received from UDAI  Equivalent e-document

Data received from Offline Verification  Video Based KYC

IPV Done  on    /    /

Employee Name

Designation

Code

Branch

Signature



For office use only Application Type\*  New  Update  Delete KYC Number:

**1. DETAILS OF RELATED PERSON\* (Please refer instruction E at the end)**

Addition of Related Person  Deletion of Related Person  Update Related Person Details

KYC Number of Related Person (if available\*)  If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

**Related Person Type\***  Director  Promoter  Karta  Trustee  Partner  Court Appointment Official  Proprietor  
 Beneficiary  Authorised Signatory  Beneficial Owner  Power of Attorney Holder  Other (Please specify)

DIN (Director Identification Number)  (Mandatory if Related Person Type is Director)

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

Name\* (Same as ID proof) Prefix  First Name  Middle Name  Last Name

Father / Spouse Name\*


PAN\*  Date of Birth\*   -   -

Gender\*  M- Male  F- Female  T-Transgender

Marital Status\*  Married  Unmarried  Others

Citizenship\*  IN- Indian  Others (ISO 3166 Country Code  )

Residential Status\*  Resident Individual  Non Resident Indian  Foreign National  Person of Indian Origin



**F5** Signature / Thumb Impression

**3. PROOF OF IDENTITY AND ADDRESS\***

3.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS

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

A - Passport Number  C-Driving Licence  E-National Population Register Letter  Proof Number

B- Voter ID Card  D-NAREGA Job Card  F-Proof of Possession of Aadhaar

II. E-KYC Authentication  III. Offline verification of Aadhaar

**Address**

Line 1\*

Line 2

Line 3  City / Town / Village\*

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

3.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS\*

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

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

A - Passport Number  C-Driving Licence  E-National Population Register Letter  Proof Number

B- Voter ID Card  D-NAREGA Job Card  F-Proof of Possession of Aadhaar

II. E-KYC Authentication  III. Offline verification of Aadhaar   IV. Deemed proof of address :

**Address**

Line 1\*

Line 2

Line 3  City / Town / Village\*

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

**4. CONTACT DETAILS (All communication will be sent on provided Mobile No./E-Mail Id)**

Tel. (Off)  -  Mobile  -

Tel. (Res)  -  Email ID

5. REMARKS (If any) :

**6. APPLICANT DECLARATION** : I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. 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. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number / address.

**F6**

Date :   -    -       Place :

Signature / Thumb Impression of Applicant  
Signature as per our record

**Office use only**

Torus Financial Markets Pvt. Ltd. - POS:  - CKYC:

**Documents Received**

Certified Copies  Digital KYC Process

E-KYC data received from UDAI  Equivalent e-document

Data received from Offline Verification  Video Based KYC

IPV Done  on   /   /

Employee Name

Designation

Code

Branch

Signature



## ADDITIONAL KYC FORM FOR TRADING & DEMAT ACCOUNT

### Torus Financial Markets Private Limited

Registered and Correspondence Address: C- Wing, 1802, Lotus Corporate Park, Off Western Express Highway, Jai Coach, Goregaon (East) Mumbai- 400063.

Tel.: (91) (22) 69243000, Email Id - customer.support@torusgroup.in / grievance@torusgroup.in

### DEPOSITORY ACCOUNT(S) DETAILS

#### Important Instructions

- Leave this Client ID blank if you are opening DP Account along with Trading Account.
- The First Holder in the DP Account must be the Trading Account Holder.

Depository Participant Name: Torus Financial Markets Private Limited **Beneficiary Name:** \_\_\_\_\_

Depository Name **CDSL** **DPID** **Client ID**

Type of Account (Please tick whichever is applicable) \_\_\_\_\_

Status						Sub - Status
<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Banks	<input type="checkbox"/> Trust Mutual	<input type="checkbox"/> Fund	<input type="checkbox"/> FI	<input type="checkbox"/> CM	To be filled by the DP
<input type="checkbox"/> FII	<input type="checkbox"/> OCB	<input type="checkbox"/> Clearing House	<input type="checkbox"/> Other (Specify) _____			
SEBI Registration No. (If Applicable) _____			SEBI Registration Date			<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
RBI Registration No. (If Applicable) _____			RBI Approval Date			<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Nationality <input type="checkbox"/> Indian		<input type="checkbox"/> Others (specify) _____				

(To be filled by the applicant in **BLOCK LETTERS** in English with a black ballpoint pen). I / We request you to open a Demat Account in my / our name as per the following details:

#### Holders Details

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

UID \_\_\_\_\_ PAN \_\_\_\_\_

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

UID \_\_\_\_\_ PAN \_\_\_\_\_

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

UID \_\_\_\_\_ PAN \_\_\_\_\_

Name \* \_\_\_\_\_

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

### OTHER DETAILS

Gross Annual Income Details	Income Range per annum:
	<input type="checkbox"/> Up to Rs 1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs.5,00,000 <input type="checkbox"/> Rs.5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs.25,00,000 to Rs. 1,00,00,000 <input type="checkbox"/> More than Rs.1,00,00,000
	Net worth as on (Date) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Rs
	[Net worth should not be older than 1 year]
Please tick If any of the	<input type="checkbox"/> Authorized Signatories <input type="checkbox"/> Promoters <input type="checkbox"/> Partners <input type="checkbox"/> Karta <input type="checkbox"/> Trustees <input type="checkbox"/> Whole Time Directors is either <input type="checkbox"/> Politically Exposed Person (PEP) or <input type="checkbox"/> Related to Politically Exposed Person (RPEP). Please provide details as per Annexure.
Any other information:	

**TRADING PREFERENCES- Exchange (Segments)**

Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client

NSE,BSE	Segements	Client signature	All Exchanges	Segements	Client signature
	Cash/MF			All segments	
	F&O		MCX,NCDEX	Commodity Derivative	
	Currency				
	Debt				

**BANKACCOUNT(S)DETAILS**

Bank Name	Branch Name / Add/Code (city, state, country, Pin Code)	Bank A/c No.	A/c Type (S/C/O)+	MICR Code (9 digit)	IFSC Code (11 character)

+ S-Saving C-Current (will not be able to do online fund transfers) O- Others-In case of NRI/NRE/NRO \$ For Demat A/c & Default for Pay out (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) (ii) Photocopy of the Bank Statement having name and address of the BO (iii) Photocopy of the Passbook having name and address of the BO, (or) (iv) Letter from the Bank. In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

**DEPOSITORACCOUNT(S)DETAILS,IF AVAILABLE**

Depository Participant Name	Depository Name (NSDL/CDSL)	DP ID	Beneficiary ID (BO ID)

SMSAlert Facility Refer to Annexure for Terms & Conditions - cum - registration / modification form for receiving SMS Alerts from CDSL	MOBILE NO. (as specified in KYC form)	<input checked="" type="checkbox"/>
Easi	To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input checked="" type="checkbox"/>

**ADDITIONALDETAILS(if not marked, the default option would be)**

I/We wish to receive Contract Note and other related reports/statements/documents in electronic mode      YES      NO

E-mail/SMS alerts from exchanges/depositories will be sent on Mobile no & Email id mentioned in KYC form:

Mobile No. belongs to:    Self    Spouse    Dependent Children    Dependent Parents    Authorised Signatory PAN \_\_\_\_\_

Email. belongs to:    Self    Spouse    Dependent Children    Dependent Parents    Authorised Signatory PAN \_\_\_\_\_

I/We wish to update my GSTIN number    YES    NO

If yes, please provide your 15 digit GSTIN No. \_\_\_\_\_

I/We authorize and agree to receive call of SMS or email. Whats App from **Torus Financial Markets Pvt. Ltd.** & its associates with reference to products and offerings. This authorization shall over ride my/own registration for DND/DNC/NDNC, if any.

Yes  No

I/We authorize **Torus Financial Markets Pvt. Ltd.**, its agents/representatives and other business partners to collect and share the information by you/custmer with other business partners for the purposes as detailed under the Privacy Policy and the Terms of Use. I/We declare and acknowledge that I/We have read and understood the terms of the Privacy Policy and Term of Use update on website and shall be bound by the same.

Yes  No

**DEALINGS THROUGH SUB -BROKERS / AUTHORISED PERSON/ OTHER STOCK BROKERS**

If client is dealing through the sub-broker, provide the following details:

Sub-broker's Name

SEBI Registration number NSE INZ  BSE INZ

Registered Office  City/Town/Village

Address  State

Pin Code  Country  Tel No. Fax

Mobile No.  Email id  Website

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)	Name of stock broker <input type="text"/>
	Name of Sub-Broker / Authorised Person, if any <input type="text"/>
	Client Code <input type="text"/> Exchange <input type="text"/>
	Details of disputes/dues pending from/to such stock broker/sub- broker/authorised person: <input type="text"/>

**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	<input type="text"/>
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**SELF DECLARATION UNDER FATCA / CRS**

Your Country of birth / Citizenship / Nationality / Tax Residency is other than India? Yes No  YES  NO

(If you have any questions about your tax residency, please contact your tax advisor.)

If yes, please provide the following information (mandatory)

	First Holder	Second Holder	Third Holder
Country of Birth	<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of Citizenship / Nationality	<input type="text"/>	<input type="text"/>	<input type="text"/>
Country of Tax Residency	<input type="text"/>	<input type="text"/>	<input type="text"/>
Tax Payer Identification Number	<input type="text"/>	<input type="text"/>	<input type="text"/>

**INTRODUCER DETAILS (optional)**

Name of Introducer

Status of Introducer  Remiser  Authorised Person  Existing Client  Employee  Others (please specify)

Partner Code / Client Code / Employee Code (SAP ID)

Address

City/Town/Village  Pin Code

State

Tel No.

Signature of Introducer

**Any other information:**

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

Name of Stock Exchange	<input type="text"/>		
Name of CC / CH	<input type="text"/>		
Clearing Member Id Trading member	<input type="text"/>	Trading member ID	<input type="text"/>

## OPTION FORM FOR ISSUE OF DIS BOOKLET

To,  
**Torus Financial Markets Private Limited**  
 1C- Wing, 1802, Lotus Corporate Park, Off Western Express Highway,  
 Jai Coach, Goregaon East, Mumbai- 400063.  
 Email: customer.support@torusgroup.in/Grievance@torusgroup.in

Dear Sir / Madam,

I / We hereby state that: [Select one of the options given below]

**OPTION 1:**

I/We **REQUIRED YOU TO ISSUE** Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account though I/We have issued Power of Attorney (POA) in favour of Torus Financial Markets Private Limited for executing delivery instructions for setting stock exchange trades {Settlement related transactions} effected through you.

**OPTION 2:**

I/We **DO NOT REQUIRE** the Delivery Instruction Slip (DIS) for the time being, since I have issued Power of Attorney (POA) in favour of Torus Financial Markets Private Limited for executing delivery instructions for setting stock exchange trades {Settlement related transactions} effected through you. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

	First/ Sole Holder	Second Holder	Third Holder
Name			
Signature	F15	S1	T1

**IMPORTANT:** Welcome Kit and Password for your account will be sent on your registered email ID, login ID and alerts on mobile no. as mentioned in KYC form.

**Section 1: Identification Details**

Please tick / fill and complete as appropriate.

a) Name of the Entity: \_\_\_\_\_

b) Nature of Business (kindly fill in details from Annexure 5): \_\_\_\_\_

c) Identification Number: \_\_\_\_\_

d) Identification Type (tick as applicable)

Tax Identification Number       Company Identification Number

US GIIN       Global entity Identification

Other

e) Identification issuing Country: \_\_\_\_\_

**Section 2: Declaration of Tax Residency**

Please indicate the Entity's country of tax residence (if resident in more than one country please detail all countries and associated tax identification number and TIN issuing country).

Country/Countries of Tax Residency	Tax Identification Number (TIN)	TIN Issuing Country

(Kindly attach documentary evidence of country of tax residence and the tax identification number)

**If tax resident of Country outside India, kindly provide confirmation as under:**

1) If US tax resident, are you US Specified Person -  Yes  No

(If No, Kindly tick Exclusion from Annexure 1) - (i) / (ii) / (iii) / (iv) / (v) / (vi) / (vii) / (viii) / (ix) / (x) / (xi) / (xii) / (xiii) .

(2) If tax resident of country other than USA, kindly tick if any of the following is applicable:

- a corporation, the stock of which is regularly traded on one or more established securities markets;
- any corporation that is a related entity of a corporation mentioned in item
- a Governmental entity;
- an International organisation;
- a Central bank; or
- a financial institution

**Section 3: Entity Classification**

3.1 If you are a reporting Financial Institution, please tick atleast one of the below categories, and provide your FATCA Global Intermediary Identification Number (GIIN):

Depository Institution       Custodial Institution

Investment Entity       Specified Insurance Company

GIIN \_\_\_\_\_

3.2 If you are a Financial Institution but are non-reporting financial institution, please tick one of the below reasons:

The Entity is a Non-Reporting Financial Institution. Please tick exemption from Annexure 2: (a) / (b) / (c) / (d) / (e) / (f) / (g) / (h) / (i) / (j) / (k) / (l) / (m).

- The Entity is a Sponsored Financial Institution and has not yet obtained a GIIN but is sponsored by another entity that has registered as a Sponsoring Entity. Please provide the Sponsoring Entity's name and GIIN.

Sponsoring Entity's Name: \_\_\_\_\_

Sponsoring Entity's GIIN: \_\_\_\_\_

- The Entity is a Trustee Documented Trust and has not yet obtained a GIIN. Please provide the Trustee's name and the GIIN

Name of the Trustee of the Trust: \_\_\_\_\_

GIIN of the Trustee: \_\_\_\_\_

- 3.3  The Entity is an owner documented Financial Institution. Please provide the details of each of the substantial owners of the financial institution in the form for Controlling Persons attached.

- 3.4  The Entity is a Non-Participating Financial Institution

- 3.5 If the Entity is not a Financial Institution, please confirm the Entity's status below:

- The Entity is an Active Non-Financial Entity (Please tick as per Annexure 3) (i) / (ii) / (iii) / (iv) / (v) / (vi) / (vii) / (viii)

- The Entity is a Passive Non-Financial Entity (NFE)(Please tick as per Annexure 3A): (i) / (ii) / (iii).

**If Passive Entity is ticked** please fill the Form of all Controlling Persons<sup>1</sup>:

*Controlling Person Self-Certification AND tick the below:*

- Controlling Persons of the Entity are tax resident of India

- Controlling Persons of the Entity are tax resident of USA

- Controlling Persons of the Entity are tax resident of countries other than India and USA.

Kindly specify the countries of which the controlling persons are tax resident of \_\_\_\_\_ (if more than one, list of all countries should be specified.)

- The Entity is Direct reporting NFE.

If ticked, please provide the GIIN of the Direct Reporting NFE \_\_\_\_\_

**To be filled in by the Controlling Person**

1. Controlling Person Type:

- a) In case of legal Person:  Ownership  Other means  Senior Managing Official

- b) In case of legal Arrangement - Trust:  Settlor  Trustee  Protector  beneficiary  Others

- c) In case of legal Arrangement - others

- Settler equivalent  Trustee equivalent  Protector equivalent  beneficiary equivalent

- Others equivalent

- (d)  Unknown

2. Name of the Controlling Person: \_\_\_\_\_

3. Customer ID, if allotted: \_\_\_\_\_

4. Father's name: \_\_\_\_\_

5. Gender:  Male  Female  Others

6. PAN: \_\_\_\_\_

7. Aadhaar No: \_\_\_\_\_

8. Identification Type (tick and provide as proof of identity):

- A-Passport  B- Election ID Card  C- PAN Card  D- ID Card  E- Driving License

- F-UIDAI letter  G-NREGA Job Card  H- Others  X- Not categorized

<sup>1</sup>Controlling persons means natural persons who exercise control over an entity who includes a beneficial owner as defined in Explanation to sub-rule (3) of rule 9 Prevention of Money-laundering (Maintenance of Records) Rules, 2005. In determining the beneficial owner the procedure specified in the RBI/SEBI/IRDA circulars shall be applied. In the case of Trust, the controlling persons mean the settlor, the trustees, the protector, the beneficiaries or class of beneficiaries and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, the said expression means the person in equivalent position.

9. Identification Number (mentioned in identification document): \_\_\_\_\_

10. Occupation Type:  S-Service  B-Business  O-Others  X- Not categorised

11. Date of Birth (DD/MM/YYYY): \_\_\_\_\_

12. Nationality: \_\_\_\_\_

13. Place of Birth: \_\_\_\_\_

14. Country of Birth: \_\_\_\_\_

15. Address Type of Controlling Person:

1-Residential or Business  2-Residential  3-Business  4- Registered Office  5-Unspecified.

16. Address of Controlling Person: \_\_\_\_\_

17. Mobile/Telephone Number: \_\_\_\_\_

18. Please indicate the Country of tax residence (if resident in more than one country please detail all countries and associated tax identification number and TIN issuing country).

Country/countries of Tax Residency	Tax Identification Number (TIN)	TIN Issuing Country

(Kindly attach documentary evidence of country of tax residence and the tax identification number)

**Undertaking (to be signed by Individual & Non Individual)**

Undertaking (to be signed by Individual & Non Individual)

I / We certify that

- a) The information provided in the Form is in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962.
- b) The information provided by me/us in the Form, its supporting Annexure as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.
- c) I/We permit/authorise the Company to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside
- d) I/We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self-certification along with documentary evidence.
- e) I/We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GOI) /RBI for the purpose or take any other action as may be deemed appropriate by the Company if the deficiency is not remedied by us within the stipulated period.
- f) I/We hereby accept and acknowledge that the Company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the Company.
- g) It shall be my / our responsibilities to educate myself / our self and to comply at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder.
- h) I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein. India of any confidential information for compliance with any law or regulation whether domestic or foreign.
- l) I/We shall indemnify the Company for any loss that may arise to the Company on account of providing incorrect or incomplete information.
- j) I/We certify that I/we have the capacity to sign for the Entity as per CBDT rules/SEBI guidelines.

Authorised Signature: \_\_\_\_\_ **F16**

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

Position/Title: \_\_\_\_\_

Date: (dd/mm/yyyy) \_\_\_\_\_

Seal and Stamp of the Entity



## **Annexure 1: Specified US Persons:**

- 1 A **Specified US Person** is a US Person but not falling within the category mentioned
  - (i) a corporation the stock of which is regularly traded on one or more established securities markets;
  - (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
  - (iii) the United States or any wholly owned agency or instrumentality thereof
  - (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing
  - (v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
  - (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;
  - (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code
  - (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
  - (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
  - (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code
  - (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
  - (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code;
  - (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code

## **Annexure 2: “Non-reporting financial institution”**

- (a) a Governmental entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by a specified insurance company, custodial institution, or depository institution;
- (b) a Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental entity, International Organization or Central Bank;
- (c) a non-public fund of the armed forces, Employees’ State Insurance Fund, a gratuity fund or a provident fund;
- (d) an entity that is an Indian financial institution only because it is an investment entity, provided that each direct holder of an equity interest in the entity is a financial institution referred to in sub-clauses (a) to (c), and each direct holder of a debt interest in such entity is either a depository institution (with respect to a loan made to such entity) or a financial institution referred to in sub-clauses (a) to (c);
- (e) a qualified credit card issuer;
- (f) an investment entity established in India that is a financial institution only because it,-
  - (I) renders investment advice to, and acts on behalf of; or
  - (II) manages portfolios for, and acts on behalf of; or
  - (III) executes trades on behalf of, a customer for the purposes of investing, managing, or administering funds or securities deposited in the name of the customer with a financial institution other than a non-participating financial institution;
- (g) an exempt collective investment vehicle;
- (h) a trust established under any law for the time being in force to the extent that the trustee of the trust is a reporting financial institution and reports all information required to be reported under rule 114G with respect to all reportable accounts of the trust;
- (i) a financial institution with a local client base;
- (j) a local bank;
- (k) a financial institution with only low-value accounts;
- (l) sponsored investment entity and controlled foreign corporation, in case of any U.S. reportable account; or
- (m) sponsored closely held investment vehicle, in case of any U.S. reportable account.

**Annexure 3: Active Non-Financial Entity (NFE)**

Sr No.	Category of Active NFFE
i	Less than 50 per cent of the entity's gross income for the preceding financial year is passive income and less than 50 per cent of the assets held by the entity during the preceding financial year are assets that produce or are held for the production of passive income; or
ii	The stock of the entity is regularly traded on an established securities market <i>or</i> The non-financial entity is a related entity of an entity the stock of which is regularly traded on an established securities market; <i>or</i> Explanation.- For the purpose of this sub-clause, an established securities market means an exchange that is officially recognised and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange.
iii	The entity is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
iv	substantially all of the activities of the entity consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a financial institution, except that an entity does not qualify for this status if it functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
v	The entity is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a financial institution, provided that the entity does not qualify for this exception after the date that is 24 months after the date of the initial organization of the entity;
vi	The entity was not a financial institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a financial institution;
vii	The entity primarily engages in financing and hedging transactions with, or for, related entities that are not financial institutions, and does not provide financing or hedging services to any entity that is not a related entity, provided that the group of any such related entities is primarily engaged in a business other than that of a financial institution;
viii	The entity meets all of the following requirements, namely:- (a) It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labour organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; (b) It is exempt from income-tax in India; (c) It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; (d) The applicable laws of the entity's jurisdiction of residence or the entity's formation documents do not permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and (e) The applicable laws of the entity's jurisdiction of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other nonprofit organization, or escheat to the government of the entity's jurisdiction of residence or any political subdivision thereof. Explanation.- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:- (I) an Investor Protection Fund referred to in clause (23EA); (II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and (III) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act

**Annexure 3A - Passive Non-Financial Entity (NFE)**

Sr No.	Category of Passive NFFE
1	Any non-financial entity which is not an active non-financial entity
2	An investment entity described in sub-clause (B) of clause (c) of the Explanation to clause (3)*
3	A withholding foreign partnership or withholding foreign trust

\* Explanation to Rule 114F

(c) "Investment entity" means any entity,-

(A) That primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer, namely:-

- (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
- (ii) Individual and collective portfolio management; or
- (iii) Otherwise investing, administering, or managing financial assets or money on behalf of other persons; or

(B) The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity mentioned in sub-clause (A) of this clause.

**Annexure 5: Business codes as per income-tax return form ITR 6**

Sr No.	Sector	Sub-sector	Code
1	1 Manufacturing Industry	Agro-based industries	0101
		Automobile and Auto parts	0102
		Cement	0103
		Diamond cutting	0104
		Drugs and Pharmaceuticals	0105
		Electronics including Computer Hardware	0106
		Engineering goods	0107
		Fertilizers, Chemicals, Paints	0108
		Flour & Rice Mills	0109
		Food Processing units	0110
		Marble & Granite	0111
		Paper	0112
		Petroleum and Petrochemicals	0113
		Power and energy	0114
		Printing & Publishing	0115
		Rubber	0116
		Steel	0117
		Sugar	0118
		Tea, Coffee	0119
		Textiles, handloom, Power looms	0120
Tobacco	0121		
Tyre	0122		
Vanaspati & Edible Oils	0123		
Others	0124		
2	Trading	Chain Stores	0201
		Retailers	0202
		Wholesalers	0203
		Others	0204
3	Commission Agents	General Commission Agents	0301
1	Builders	Builders	0401
2	Contractors	Estate Agents	0402
		Property Developers	0403
		Others	0404
		Civil Contractors	0501
		Excise Contractors	0502
		Forest Contractors	0503
		Mining Contractors	0504
Others	0505		
3	Professionals	Chartered Accountants, Companies Secretaries, etc	0601
		Fashion designers	0602
		Legal professionals	0603
		Medical professionals	0604
		Nursing Homes	0605

		Specialty hospitals	0606
		Others	0607
	Service Sector	Advertisement agencies	0701
		Beauty Parlours	0702
		Consultancy services	0703
		Courier Agencies	0704
		Computer training/educational and coaching institutes	0705
		Forex Dealers	0706
		Hospitality services	0707
		Hotels	0708
		I.T. enabled services, BPO service providers	0709
		Security agencies	0710
		Software development agencies	0711
		Transporters	0712
		Travel agents, tour operators	0713
		Others	0714
	Financial Service Sector	Banking Companies	0801
		Chit Funds	0802
		Financial Institutions	0803
		Financial service providers	0804
		Leasing Companies	0805
		Money Lenders	0806
		Non-Banking Finance Companies	0807
		Share Brokers, Sub-brokers, etc.	0808
		Others	0809
	Entertainment Industry	Cable T.V. productions	0901
		Film distribution	0902
		Film laboratories	0903
		Motion Picture Producers	0904
		Television Channels	0905
		Others	0906

Fee Head		DP Charges	
1.	<b>Annual Maintenance Charges (AMC)</b> (levied on monthly basis) Basic Services Demat Account BSDA (Only for Individual having one demat account): A. If Holding value at any date is not greater than Rs. 50,000/- B. If Holding value at any date between Rs. 50,001/- to Rs. 200,000/- C. If Holding value in Debt segment at any date is not greater than Rs. 1,00,000/- D. If Holding value in Debt segment at any date between Rs. 1,00,001/- to Rs. 200,000/-	Category	Charges
		<input type="checkbox"/> BSDA	A. Nil B. ₹ 100/- p.a. C. Nil D. ₹ 100/- p.a.
		<input type="checkbox"/> Non BSDA	₹ 400/- p.a. ₹ 1000/- p.a.
		If not marked, the default option would be non BSDA Account (for individuals only)	
2.	<b>Transaction Charges: SELL</b> (Market & Off Market) For instructions given in physical form For instructions received through Internet/ online trading through Reliance Securities Ltd. Extra charges for processing of instructions submitted on the execution date (accepted at Client's risk, only for physical instructions)	<input type="checkbox"/> Life time AMC	Nil
		For Individual /HUFs / Trust (Refundable deposit of Rs. 2500/-)	
		0.04 % of transaction value or Minimum of ₹ 27/- per ISIN	
		0.04 % of transaction value or Minimum of ₹ 27/- per ISIN	
3.	<b>Dematerialisation:</b> For each request form: ₹ 30/-   Extra for each certificate: ₹ 5/-		
	<b>Rematerialisation:</b> A fee of ₹40/- for 100 securities or part thereof or a flat fee of ₹25/- per certificate whichever is higher in addition to Registered post charges, subject to minimum ₹25/-		
4.	Closure of Account, Failed instruction Charges, Custody Charges, Account Opening, Request for Modification of details like Bank Account/Client Address.	Nil	
5.	Pledge Set up/Removal/Confirmation/Innovation		0.05% of transaction value or min ₹ 30/-
	Margin Pledge/Unpledge: ₹ 5/- per ISIN Invocation of Margin Pledge/Repledge: ₹ 5/- per ISIN	Margin Repledge/Re-Unpledge: ₹ 1/- per ISIN Client securities under Margin Funding' a/c: ₹ 12/- per ISIN	
6.	<b>Additional Account Statements:</b> Non BSDA For Individuals/HUFs/Corporate For NRIs / Foreign Nationals (at Indian address) For NRIs / Foreign Nationals (at foreign address) Physical Statement (for BSDA client-Two statements will be provided free of cost in billing cycle)	₹ 40/- per statement ₹ 100/- per statement ₹ 1000/- per statement  ₹ 25/- per statement	
7.	Re-issue of DIS booklet	₹ 50/-	

- **Deposit amount will be refunded only on closer of Demat Account by credit to the ledger of client.**  
There will be a charge of ₹100/- for dishonour of any cheque or unsuccessful attempt to recover payment through direct debit or ECS. The depository services are liable to discontinuation if TFMP is unable to recover charges from the customer, for any reason whatsoever. There will be a charge of ₹250/- for resumption of services in such cases. TFMP will resume services after a minimum of 3 working days from the date of receipt. Any service, which is not mentioned above, will be charged separately as per the rates applicable from time to time.
- Torus Financial Markets Pvt. Ltd. reserves the right to revise the tariff structure from time to time with a notice of 30 days. This notice may be given by ordinary post or by an advertisement in a National Daily or by email to customers. We shall charge the Depository AMC only if there is any holding in the account on the last day of the month OR if there is any transaction in that particular month. The AMC will be charged at the beginning of every month for previous month. We understand that in case the demat account is requested to be closed during the month, any charges due till that date of request, the same will be charged to me/us. GST and other government / statutory levies will be charged extra.
- Holding statement, Transaction statement, changes request conformation and Bills may be sent to the email ID of the client, registered in our system (a) In case client(s) give(s) the written request for physical copy of the transaction statements, the same shall be provided at the address of the client(s) registered in our systems. (b) The Client(s) will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account. (c) The Client(s) is/are aware that the transaction statement may be accessed by other entities in case the confidentiality/secretcy of the login name and password is compromised. (d) In case transaction statements are sent by email, the Client(s) shall immediately inform the DP about change in email address, if any. (e) DPs and Client(s) shall have the right to terminate such service provided a written notice is given atleast 10 days in advance to the other party.
- For BSDA (Circular No. CIR/MRD/DP/22/2012 dated August 27, 2012): a) The individual shall have only one BSDA in his/her name across all depositories (CDSL). b) Value of securities held in BSDA shall not exceed ₹2,00,000/- (Rupees Two Lakhs) at any point of time. c) If the value of holding in such BSDA exceeds the prescribed criteria at any date, the DPs may levy charges as applicable to regular accounts (non BSDA) from that date onwards.  
d) All BOs opting for the facility of BSDA, shall register their mobile number for availing the SMS alert facility for debit transactions. e) In case the individual already has BSDA or open a new BSDA on a later date, then status of this demat account as BSDA will ceased to exist. f) Refer 'BSDA Terms and Conditions' for more details. g) Two statements will be provided free of cost in billing cycle. Additional Physical statement will be charged ₹25/- per statement, whereas electronic statement will be provided free of charge.

	First/Sole Holder or Guardian (In case of Minor)	Second Holder	Third Holder
Name			
Signatures F17	S2	T2	

1	<b>APPLICATION PROCESSING CHARGES: ₹ 950/-+ (Inclusive of GST)</b>		+ In case of NRI ₹ 3500/-										
<b>Brokerage Scheme Name (Opted):</b> _____													
<b>Capital Market Segment (NSE &amp; BSE)*</b>		<b>Brokerage % for Delivery Trades</b>	<b>Brokerage % for Intra day Trades</b>										
First Leg-->													
Second leg same day		Not Applicable											
Minimum (paisa per share)													
<b>Derivatives Segment (NSE &amp; BSE )*</b>		<b>Brokerage % for Trades in Future</b>	<b>Brokerage (₹ Per lot) for Trades in Option</b>										
First Leg-->													
Second leg same day													
Second leg other day													
<b>Currency Segment (NSE)</b>													
<input type="checkbox"/> CURR 3000    or <input type="checkbox"/> _____ Future _____ Option _____													
<b>In case Brokerage Scheme NOT opted, SAC R-Fixed 1 brokerage scheme will be assigned. (Del: 0.50%, Intraday / Futures: 0.05%, Options: Rs. 100 per lot).</b>													
*Minimum brokerage per share would be levied as applicable in respective schemes. Intraday brokerage will be levied on both sides for all segments depending upon the brokerage scheme. Levies such as GST, Stamp duty, Transaction Charges, Other charges will be charged as per norms defined from time to time. <b>CURR 3000:</b> Future: 0.03% & Options: Rs. 10 per lot.													
2	<b>DELAYED PAYMENT INTEREST (DPI) :</b> The Delayed Payment Interest will be levied at the rate of 21% p.a. (plus taxes, if any applicable) for all the debits, from payin /payout date, compounded monthly. Delayed Payment Interest will be charged on the debits in client ledger. For the purpose of debit, it will include:- <table border="0" style="width: 100%;"> <tr> <td>1. Debit against cash transaction with or without NRML</td> <td>2. Debit against Margin short-fall,</td> </tr> <tr> <td>3. Debit against MTM on F&amp;O transaction</td> <td>4. Debit on account of DP AMC Fees,</td> </tr> <tr> <td>5. Debit on account of Brokerage due (including statutory charges)</td> <td>6. Debit on account of "Delayed Payment Interest".</td> </tr> </table> Any Non- cash collateral balance in your account will not be adjusted against the cash margin requirement in F&O segment for the purpose of Debit Calculation. Marking of Pledge is purely for Exposure & Risk management Purpose only. <b>Guidelines for DPI:-</b> <ol style="list-style-type: none"> <li>The Delayed Payment Interest will be accrued (at applicable rates) everyday (including holiday) at EOD on the debit balance in client ledger.</li> <li>On first week of every month, a debit entry will be passed in client ledger for the total Delayed Payment Interest accrued for the previous month.</li> <li>Once the DPI is posted in client ledger &amp; because of that client ledger is in debit, DPI will be charged on that debit as well.</li> <li>Accrued Delayed Payment Interest during the month will be deducted (on daily basis) from Exposure Limits allotted to client for trading purpose &amp; from the funds available for withdrawals.</li> </ol>			1. Debit against cash transaction with or without NRML	2. Debit against Margin short-fall,	3. Debit against MTM on F&O transaction	4. Debit on account of DP AMC Fees,	5. Debit on account of Brokerage due (including statutory charges)	6. Debit on account of "Delayed Payment Interest".				
1. Debit against cash transaction with or without NRML	2. Debit against Margin short-fall,												
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5. Debit on account of Brokerage due (including statutory charges)	6. Debit on account of "Delayed Payment Interest".												
3	<b>OTHER CHARGES:</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">Particulars</th> <th>Charges (₹)</th> </tr> </thead> <tbody> <tr> <td>Order placed by client at the Call &amp; Trade desk (Call Centre)</td> <td>20 per call (First 20 calls per month will be free)</td> </tr> <tr> <td>Enquiry Charges (First five enquiries are free every month)</td> <td>5 per enquiry</td> </tr> <tr> <td>Physical copy of duplicate contract notes</td> <td>40 per contract note</td> </tr> <tr> <td>Physical copy of duplicate Ledger statement</td> <td>40 per statement</td> </tr> </tbody> </table>			Particulars	Charges (₹)	Order placed by client at the Call & Trade desk (Call Centre)	20 per call (First 20 calls per month will be free)	Enquiry Charges (First five enquiries are free every month)	5 per enquiry	Physical copy of duplicate contract notes	40 per contract note	Physical copy of duplicate Ledger statement	40 per statement
Particulars	Charges (₹)												
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Enquiry Charges (First five enquiries are free every month)	5 per enquiry												
Physical copy of duplicate contract notes	40 per contract note												
Physical copy of duplicate Ledger statement	40 per statement												
4	No transaction charges will be levied for the following mode of funds transfer till further notification: NEFT/RTGS/UPI												

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

Date 

D	D	M	M	Y	Y	Y	Y
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F18

\_\_\_\_\_  
Signature / Thumb Impression of Applicant













## Demat Debit and Pledge Instruction (DDPI)

THIS Demat Debit and Pledge Instruction (DDPI) is made on the date, and place as mentioned in the Schedule hereunder by the persons mentioned in the Schedule under title "Demat Account Holder/s" (herein- after referred to as "Demat Account Holder/s/Account Holder/s") IN FAVOUR OF Torus Financial Markets Pvt Ltd, a Company incorporated under the Companies Act, 1956 having its Registered Office at 1501 Lodha aria C.S no. 6/207 T J road sewree Mumbai Bandra suburban Mumbai 400015 and having corporate office at Torus Financial Markets Pvt Ltd, C-Wing 1802, Lotus Corporate Park, Jai Coach, Goregaon-East, Mumbai-400063, Maharashtra, India.(hereinafter referred to as "Torus Financial Markets Pvt Ltd."Limited" which expression shall unless repugnant to the context thereof shall mean and include its successor) acting through its directors, officers or such other persons as may be authorised from time to time in this regard.

**WHEREAS:** The persons mentioned in the Schedule under title "Client Details" (hereinafter referred to as "the Client") has opened/is desirous of opening a Trading and Demat Account with Torus Financial Markets Pvt Ltd. The Demat Account Holder/s hold demat account/s with Torus Financial Markets Pvt Ltd, a Depository Participant details where off are mentioned in the Schedule hereunder under title "Demat Account Details" (hereinafter referred to as "the Demat Account"), wherein the Clients are the Beneficial Owners ("BO"). The Client is also the first holder/sole holder of the Demat Account; (the Account Holders). This DDPI is limited to access the Beneficial Owner ( BO) account of the Client to meet settlement obligations of the trade executed by the Client. With respect to the aforesaid activity, the Client is now desirous of executing this DDPI in the favour of Torus Financial Markets Pvt Ltd.

### NOW IT IS WITHNESSTH AS FOLLOWS:

I/We, the Account Holder/s hereby explicitly agree to authorize Torus Financial markets Pvt Ltd to access my/our account/s for the limited purpose of meeting pay in obligations for settlement of trades executed and availed by me/us and to do the following:

Sr. No.	Purpose	Authorised Signatory
1	Transfer of securities held in my / our beneficial owner account towards Stock Exchange related to deliveries / settlement obligations arising out of trades executed by me / us on the Stock Exchange through Torus Financial Markets Pvt Ltd	 First Holder
		 Second Holder
		 Third Holder
2	Pledging / re-pledging of securities in favour of trading member (TM)/ clearing member (CM) for the purpose of meeting margin requirements in connection with the trades executed by me / us on the Stock Exchange.	 First Holder
		 Second Holder
		 Third Holder
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	 First Holder
		 Second Holder
		 Third Holder
4	Tendering shares in open offers through Stock Exchange platforms	 First Holder
		 Second Holder
		 Third Holder



### Demat Debit and Pledge Instruction (DDPI)

This DDPI shall be governed by the laws of India and shall be subject to the Jurisdiction of the Courts at Mumbai.

<b>Torus Financial Markets Pvt Ltd - Demat Account details</b> NSE - CDSL: 1209480000000069 NSDL: CMBP ID - IN545277, NSE – IN303132 20001907	
<b>Client Unpaid Securities Account:</b> CDSL: 1209480000000088	
<b>TM/CM Client Margin Pledge Account (CMPA):</b> CDSL 1209480000000113	<b>Client securities Margin Funding Account</b> CDSL 1209480000000191
<b>Torus Financial Markets Pvt Ltd - Bank Account details</b>	Name of the Bank & Branch - HDFC Bank Ltd, Fort, Mumbai. Bank Account Number – 57500000835623

IN WITNESS WHEREOF I/We have hereunto set and subscribed our respective hands on the day and date as first mentioned in the Schedule

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

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

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

**DP ID:** \_\_\_\_\_

## AUTHORISATION FOR MAINTAINING RUNNING ACCOUNT

I/We am/are registered client with you and dealing in Capital Market/ Derivative Market/ Currency Market. I/We am/are aware that payout / dividend received / credited from the exchange(s) against settlement of transaction as per settlement cycle is available within 1 working day of the payout from the Exchange. It is difficult for me/us to make available the required funds on every pay-in of funds obligation / margin obligation, hence we request you to maintain our account on a running basis and retain the payout received / credit balance in our account for my/our future obligation / margin obligation or other liabilities unless we instruct otherwise. I/We hereby further authorize you to debit / credit / transfer the amounts between the various segments either on the same Exchange and / or Exchanges to meet my/our obligation or various dues payable to you / Exchange(s). If payment of funds is required, I/We shall request you in writing or through the web option for funds withdrawal on the web login. Further it may be noted that if required I/We may revoke this authorization at any time after giving request in writing. This running account authorisation would continue until it is revoked by me/us. The actual settlement of funds shall be done at least once in the preference This running account authorisation would continue until it is revoked by me/us. The actual settlement of funds shall be done at least once in the preference period selected below:

Once in a calendar Quarter

OR

Once in a calendar month

While settling the account having outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. I/We shall bring any dispute arising from the statement of account or settlement so made to your notice within 7 working days from the date of receipt of funds or statement as the case may be. In case of non receipt of any such communication the statement / settlement of running account shall be considered as final as agreed and accepted by me/us.

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Signature / Thumb Impression of Applicant

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## LETTER FOR NSE MFSS / BSE STAR MF

From \_\_\_\_\_

To,

**Torus Financial Markets Private Limited**

C-Wing 1802, Lotus Corporate Park, Off Western Express Highway,  
Jai Coach, Goregaon East, Mumbai - 400063.

QRC No. \_\_\_\_\_

Date 

D	D	M	M	Y	Y	Y	Y
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### Sub: Mutual Fund Service System (MFSS) Facility of NSE/ BSE STAR MF

Dear Sir,

I / We am / are registered as your client with Client Code as mentioned below for the purpose of trading in the Capital Market Segment.

I / We am / are interested in availing the facility of the following Exchange for the purpose of dealing in the units of Mutual funds Scheme permitted to be dealt with.

NSE MFSS  BSE STAR MF

For the purpose of availing the facility, I / We state that Know Your Client details as submitted by me/us for the securities broking may be considered for this purpose and I / We further confirm that the details contained in same remain unchanged as on date.

I / We am / are willing to abide by the terms and conditions as mentioned in the Circular dated November 24, 2009 and as may be specified by the Exchange from time to time in this regard.

I / We shall also ensure compliance with the requirements as may be specified from time to time by the Securities and Exchange Board of India and/ or Association of Mutual Funds of India (AMFI).

I / We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I / we choose to subscribe / redeem. I / We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I / We therefore request you to register me/ us as your client for participating in the MFSS/ BSE STAR MF.

#### Terms and Conditions

- The client shall be bound by circulars issued by NSEIL/ BSE, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS/ BSE STAR MF or at any time thereafter.
- The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
- The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- On redeem of Demat units the corresponding funds will be credited only to your ledger account only.
- Torus Financial Markets Pvt. Ltd. reserve the right to discontinue any type of transaction with a notice of 15 days in advance.
- The client shall be wholly responsible for all his investment decisions and instruction.
- The client shall ensure continuous compliance with the requirements of the NSEIL, BSE, SEBI and AMFI.
- The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
- The client will furnish information to the Participant in writing , if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL/ BSE or NSCCL/ ICCL
- In case of any dispute between the Participants and the investors arising out of this facility, NSEIL/BSE and / or NSCCL/ ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

Thanking You.

Yours faithfully

**F23**

Client Signature

**IMPORTANT:** Password for your account will be sent on your registered email ID, login ID and alerts on mobile no. as mentioned in KYC form.

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

**Note:** Signature required in case opted for NSE MFSS or BSE StAR MF under Trading Preferences

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## Confirmation of the Arrangement with Authorised Person

VOLUNTARY

Date

To

**Torus Financial Markets Private Limited**

C-Wing 1802, Lotus Corporate Park, Off Western Express Highway,  
Jai Coach, Goregaon East, Mumbai - 400063.

I/we confirm that I/we have been introduced to Torus Financial Markets Pvt. Ltd. (TFMPL) by an Authorised Person (AP) (as mentioned below) appointed by TFMPL pursuant to relevant Exchange (s) norms.

In this connection I/we am/are aware of the following:

1. The AP shall not receive or pay any money or securities or commodities in his/her/its own name or account. All receipts and payments of securities, commodities and funds shall be made only in the name or account of the TFMPL;
2. The AP shall receive his/its remuneration-fees, charges, commission, salary etc for his/its services only from the TFMPL and he/she/it shall not charge any amount whatsoever from the clients;

In view of the foregoing, I/we acknowledge that the AP is not authorised by TFMPL to enter into any private arrangement with any clients of TFMPL including those introduced by him/her/it. I/we further agree and accept that I/we will not hold TFMPL responsible for any loss, damage, other liability or consequence, direct or indirect, arising out of any error of commission or omission by the AP with regard to any dealings and or transactions based on or resulting out of any private agreements (if any), between me/ us and the AP.

I/we agree that all debit instruction slips and other documents in respect of my/our depository Beneficiary Owner account with Torus Financial Markets Pvt. Ltd. shall not be left in the custody of the AP, either blank, partially filled up and/ or executed /signed. I/we further agree and accept that I/we will not hold TFMPL responsible for any loss, damage, other liability or consequence, direct or indirect, arising out of my/our action in leaving such blank, partially filled up and/ or executed /signed documents with the AP

Your faithfully

**Client Signature**

**F24**

**Trading Client Name**

I /We hereby agree for the arrangement with the client Accepted by <input type="checkbox"/> Authorised Person
<b>Signature</b>
<b>Authorised Person Name</b>
<b>Authorised Person Code</b>

**IMPORTANT:** Welcome Kit and Password for your account will be sent on your registered email ID, login ID and alerts on mobile no. as mentioned in KYC form.

----- CUT HERE -----

**NACH/ECS/AUTO DEBIT MANDATE INSTRUCTION FORM** UMRN  Date

Sponsor Bank Code  Utility Code

(tick ) I/We hereby authorize  to debit (tick )

CREATE  MODIFY  CANCEL

Bank a/c number

with Bank  IFSC  or MICR

an amount of Rupees

FREQUENCY  Mthly  Qtly  H-Yrly  As & when presented DEBIT TYPE  Fixed Amount  Maximum Amount

Reference 1 (Mandate Reference No.)  Phone No.

Reference 2 (Unique Client Code-UCC)  Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing debit my account as per latest schedule of charges of the bank.

**PERIOD**

From

To

Or  Until Cancelled 1. First Holder 2. Second Holder 3. Third Holder

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/ Corporate to debit my account, based on the instructions as agreed and signed by me.  
- I have understood that I'm authorised to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to the User entity/Corporate of the bank where I have authorised the debit.

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**Format of Declaration from HUF (On HUF Letterhead)**

To,  
**Torus Financial Markets Pvt. Ltd.**

Dear Sirs,

Re: Opening of a Trading Account and Demat Account

We request that a Trading Account / Demat Account ("the Account") may be opened in the name of "\_\_\_\_\_ HUF" with TFMPL (The Company) respectively for the purpose of dealing in shares, securities, derivatives and other financial & saving instruments.

We state that we are the only members of the said Joint Hindu Family.

Mr. \_\_\_\_\_ is the Karta / Manager of the above Hindu Undivided Family (HUF) and is authorized to open and operate singly the trading account and demat account with TFMPL in the name of the HUF

We confirm that the activities and business of the said HUF is carried on mainly by the said Karta as also by the other signatories hereto in the interest and for the benefit of the entire body or co-parceners of the HUF. We further confirm that the Karta is authorized to sign on behalf of the HUF and has full and unrestricted authority to bind all members of the HUF however constituted from time to time.

We declare and state that the Karta is authorized to execute all deeds, documents, papers, agreements, power of attorney(ies), documents creating security, Demand Promissory Notes etc in respect of the opening and operation of the Account.

We understand that in case of a HUF a beneficiary account can be opened with Depository Participant by the karta as per the current regulations. To facilitate the operation of Trading account with TFMPL and for the purpose of completing the obligations arising out of the same, we authorize TFMPL to effect transfers to and from the beneficiary account opened by the karta. We also authorize the Karta to execute such power of attorney(ies) (including but not limited to powers of attorney to operate any bank account of the HUF and any demat account opened for the HUF

We request and authorize the Companies to honour operations and instructions under the signature(s) of the Karta in respect of the Account. We note that all online transaction request placed by clients are authenticated by a user-id & password and other security features. We authorize the Companies to allot such user id, password etc to the above Karta on behalf of the HUF.

We, the undersigned members of the HUF, undertake to bind not only the present members of the said HUF (both adult and minors) but also all future members thereof (both adults and minors) and all persons entitled to a share therein and ourselves personally and our respective interest in the HUF properties as well as our separate estates towards discharge of our obligations to the Companies arising out of the transactions done in the said Trading Account / Demat Account.

We also undertake that any and all claims due to the Companies from the said HUF shall be recoverable personally from all or any of us and also from the entire family properties of the HUF of which the first signatory is the Karta, including the share of the minor co-parceners. We hereby undertake to inform the Companies of the death or birth of co-parcener or of any change occurring at any time in the membership of the HUF during the subsistence of the Account.

We confirm to have read and understood the terms and conditions applicable to the Account and relating thereto and shall always be bound by and abide with them and their amendments from time to time.

Yours faithfully,

Full Name: \_\_\_\_\_ Signature: \_\_\_\_\_

Date:

[To be signed by all members including female members of the HUF. Names should be suffixed with details like s/o, d/o, w/o as the case may be, with address where the address is different from the HUF address. Minor's name (and date of birth) to be mentioned like "A" (minor) through "B" (natural guardian)].

Sr. No.	Holder	Name	Signature
1.	First Authorised Signatory (For Bank & Demat)		
2.	Second Authorised Signatory (For Demat)		
3.	Third Authorised Signatory (For Demat)		



**For HUF**

**Adult Co-Parceners & Members**

<b>Name</b>	<b>Date of birth &amp; age</b>	<b>Relationship with Karta</b>	<b>PAN No.</b>	<b>Signature</b>

**Minor Co-Parceners & Members**

<b>Name of Minor and his/her natural guardian</b>	<b>Date of birth</b>	<b>Relationshipwith Karta</b>	<b>Signature of Natural Guardian</b>

## Specimen for Shareholding Pattern

As on \_\_\_\_\_

latest share holding pattern including list of all those holding more than 5% in the share capital of the company, duly certified by the company secretary / Whole-time director / Managing Director / Director of the company. (copy of updated shareholding pattern to be submitted every year)

Sr. no.	Names	No. of shares	Face value per share	Value	%held
	Others				
	Total				100%

Certified by

Name \_\_\_\_\_

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

Company secretary/ Whole –time director/MD/  
Director

**Format for Declaration from Partnership Firm**  
(To be obtained on pre-printed letter head of the partnership firm)

To, Date: \_\_\_\_\_

Torus Financial Markets Pvt. Ltd.  
Mumbai.

Dear Sir,

We refer to the trading account being opened/opened with you in the name of \_\_\_\_\_ 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 above-mentioned 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 document, agreements, deeds etc. as any be necessary to enter into the agreement and engage in business with Torus Financial Markets 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 and to sign any authority letter including adjustment of balances.

Further, we acknowledge that we undersigned being partners of the above mentioned firm are responsible for the liabilities thereof. We shall advise you in writing for any change that take place in the constitution of the firm at any time in the future.

Name of Partners ( In Block Letters)	Signatures

\*(to be signed by all the partners of the firm under stamp of the firm)

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

### **[SMS Alerts will be sent by CDSL to BOs for all debits]**

#### **Definitions:**

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

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

#### **Availability:**

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

#### **Receiving Alerts:**

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

**Fees:**

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

**Disclaimer:**

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

**Liability and Indemnity:**

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

**Amendments:**

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

**Governing Law and Jurisdiction:**

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

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

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

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

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

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

**BO ID:**

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

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

Second holder's Name: \_\_\_\_\_

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

Mobile Number on which messages are to be sent

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

The mobile number is registered in the name of:

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

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

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

	Signatures		
Place: _____			
Date: _____	Sole/First Holder	Second Holder	Third Holder

## **MOST IMPORTANT TERMS AND CONDITIONS (MITC)** (For Non-custodial Settled Trading Accounts)

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



Client Signature

**ACKNOWLEDGEMENT**

**MANDATORY**

Date

Application No.:

To,

**Torus Financial Markets Private Limited**

Corporate Address: C-Wing 1802, Lotus Corporate Park, Off Western Express Highway, Jai Coach, Goregaon East, Mumbai - 400063.  
 Registered Office Address: 1501, Lodha Aria, CS.No.: 6/207, T J Road, Sewri, Mumbai – 400015  
 Tel.: (91) (22) 69243000, Email Id - customer.support@torusgroup.in / grievance@torusgroup.in

I/We hereby acknowledge that the following documents/ process were made available/ explained to me:

1. Rights and Obligations of Stock Brokers, Authorized Person and Clients (Securities & Commodities)
2. Rights and Obligations of Beneficial owner and Depository Participant (DP)
3. Rights and Obligations of Clearing Member/Participant and its Client (SLBS)
4. Risk Disclosure Document (Securities & Commodities)
5. Additional Risk Disclosure documents for Options Trading (Commodity)
6. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors
7. Policies and Procedures of Torus Financial Markets Pvt. Ltd. pursuant to the SEBI circular dated December 03, 2009
8. General Terms and Conditions governing Securities & Commodities trading and Broking services of Torus Financial Markets Pvt. Ltd.
9. Terms and Conditions for Basic Services Demat Account (BSDA), if applicable.
10. Process and mechanism for harnessing online conciliation and/or online arbitration as specified by SEBI from time to time with respect to ODR platform

I/We understand that the Voluntary documents executed by me are out of my/our free will.

I/We hereby confirm that I have clearly understood and agree to abide by the Policies and Procedures, Rights and obligations, Terms and Conditions (containing para 1 to 105) and Tariff Structure and be bound by same and by the bye laws as are in force from time to time as described by Torus Financial Markets Pvt. Ltd. I also understand and agree that these Policies and Procedures, Terms and Conditions and Tariff Structure can be changed by TFMPL from time to time with prior notice of 30 days through email.

I/We aware that the welcome kit, login Id and password of my trading account will be sent on my email ID and alerts on Mobile no. furnished in KYC form and any changes thereof.

I/We hereby declare that any change in the information submitted by me/us in regard to FATCA/CRS shall be intimated to TFMPL immediately.

I/We have been informed that the forms/ documents / tariff would be made available to us through our log-in in our account on TFMPL website. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application and I/We undertake that it would be my/our responsibility to check, scrutinize the said forms and documents within 15 days of account opening and intimate discrepancies if any therein to TFMPL immediately and in any case within one month of account opening. We further agree that any false/misleading information given by me/us or suppression of any material information will render my/our account liable for termination and suitable action.

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

**IMPORTANT:** Welcome Kit and Password for your account will be sent on your registered email ID, login ID and alerts on mobile no. as mentioned in KYC form.

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

BO ID



**ACKNOWLEDGEMENT**

Sr. No.

Corporate Address: Torus Financial Markets Private Limited, C-Wing 1802, Lotus Corporate Park, Off Western Express Highway, Jai Coach, Goregaon East, Mumbai - 400063  
 Registered Office Address: 1501, Lodha Aria, CS.No.: 6/207, T J Road, Sewri, Mumbai – 400015  
 Tel.: (91) (22) 69243000 | Fax: (91) (22) 69243000 | E-mail: customer.support@torusgroup.in /Grievance@torusgroup.in

We hereby acknowledge the receipt of the **a)** Account Opening Form (Trading & Demat) **b)** Received Option Form for Issue/ Non Issue of DIS Booklet from:

First Holder	Second Holder	Third Holder	Cheque Details	Chq. No.	Date	Amount
			Account Opening			
			Margin			

\*Application processing charges of ₹ 950/-+ is not refundable.

+ In case of NRI ₹ 3500/-

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Form handed to Branch CSE \_\_\_\_\_

Sr. No.:

**Mapping for Equity, Derivatives, Currency**

Entity	Name	Code									
Branch											
Sales (Sourcing)											
RM (Service)											
Dealer / ATPC											
Partner / Omnesys											
Lead ID											

UCC Code allotted to the Client \_\_\_\_\_

	Documents Verified with Originals by	Client Interviewed by	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

Application Type\*  New  Update    KYC Number \_\_\_\_\_ (Mandatory for KYC update request)  
 Account Type\*  Normal  Update  Simplified (for low risk customer)  Small

**Margin Amount:** \_\_\_\_\_

**Bank Details**  
 (Bank Name/ Branch/  
 Cheque No/ Date) \_\_\_\_\_

\*Application processing charges of ₹ 950/\* is not refundable.  
 \*In case of NRI ₹. 3500/-  
 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.

CUT HERE

**Disclaimer**

The acknowledgment slip given is only to acknowledge receipt of the documents collected by the representative of the Company and in no way to be construed as an acceptance of documents. Kindly quote the application no. printed in the acknowledgment slip for any query related to the status of client's application.

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**TORUS FINANCIAL MARKETS PRIVATE LIMITED**

Registered and Correspondence Address: C-Wing, 1802, Lotus Corporate Park,  
Off Western Express Highway, Jai Coach, Goregaon East, Mumbai - 400063.  
Email: [corporate@torusgroup.in](mailto:corporate@torusgroup.in) | Tel: +91 22 69243000 | CIN: U65990MH2021PTC356714.