



# Goldmine Stocks Pvt Ltd

With your investments all the way...



# Client REGISTRATION Form



Individual & Non-Individual

**PROUD  
MEMBER**

THE NATIONAL STOCK EXCHANGE OF INDIA LTD. (NSE)  
THE BOMBAY STOCK EXCHANGE LTD. (BSE)  
METROPOLITAN STOCK EXCHANGE OF INDIA LTD. (MSEI)

**DEPOSITORY  
PARTICIPANT**

NATIONAL SECURITIES DEPOSITORY LTD (NSDL)  
CENTRAL DEPOSITORY SERVICES LTD (CDSL)

**Client Name**

**Branch/AP/Sub Broker Name**

**Client ID**

**Trading Code**

Registered Office : "Goldmine House", 4 Niranjana Nirakar Society, Nr. Shreyas Railway Crossing, Ahmedabad - 380 007  
Tel : + 91 79 2664 1080 | Fax: +91 79 2660 7298 | email: equity@goldmine.net.in | website: www.goldmine.net.in

CIN No. U65910GJ1994PTC023523

Name of Stock Broker: **Goldmine Stocks Pvt Ltd**

Details of SEBI Registration No:

Sebi Regn. No.	CM	FO	CDS
NSE	INB 230884633 (27.02.1996)	INF 230884633 (21.03.2003)	INE 230884633 (25.08.2008)
BSE	INB 010884634 (31.03.2005)	INF 010884634 (23.11.2006)	---
MSEI	INB 260884631 (26.02.2013)	INF 260884631 (26.02.2013)	INE 260884633 (01.10.2008)

Member Code : NSE: 08846, BSE : 3020, MSEI : 12700

Depository Participant SEBI Reg No : IN-DP-CDSL-446-2008. DP ID: IN301645 (NSDL)

Detail of Clearing Member : **IL& FS SECURITIES SERVICES LTD**

Address: IL& FS House, Raheja Vihar, Chandivali, Andheri(E), Mumbai- 400072

	NSE-F&O	NSE-CD
SEBI Reg No	INF231133630	INE231308334
Clearing Code	C50008	C50008

**Registered and Correspondence Office Address :**

GOLDMINE HOUSE, 4 - Niranajan Nirakar Society,  
Nr. Shreyas Railway Crossing , Ahmedabad - 380007  
Phone No : 079-26641080  
Fax No : 079-26607298  
Website: [www.goldmine.net.in](http://www.goldmine.net.in)

CEO Details : Mr. Samir Gandhi

Contact No : 079-26688213

Email Id : [samir@goldmine.net.in](mailto:samir@goldmine.net.in)

Compliance Officer :

Mr. Hemil Patel (Stock Broking)

Contact No : 079-26688225

Email Id : [hemil@goldmine.net.in](mailto:hemil@goldmine.net.in)

Compliance Officer :

Mr. Anubhav Mehta (Demat Section)

Contact No: 079-26688226

Email Id : [anubhav@goldmine.net.in](mailto:anubhav@goldmine.net.in)

For any grievance/dispute please contact Goldmine Stocks Pvt Ltd on above address or email id [grievance.goldmine@gmail.com](mailto:grievance.goldmine@gmail.com) and phone no.:079-26641080. In case not satisfied with the response, Please contact the concerned exchange(s) at :

Exchange	Email Id	Phone No
Bombay Stock Exchange	<a href="mailto:is@bseindia.com">is@bseindia.com</a>	022-22728517/8097
National Stock Exchange	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>	1800220058
Metropolitan Stock Exchange	<a href="mailto:investorcomplaints@msei.in">investorcomplaints@msei.in</a>	022-61129000 Ext. 9028
NSDL	<a href="mailto:relations@nsdl.co.in">relations@nsdl.co.in</a>	022-24994200



## KYC CHECK LIST

Client Name																										
Client Code																Client ID										

Attachments (Individual) (Please tick (✓)if status is completed):

Sr. No.	Type	Attached	Self-certified by applicant	Verified by RM/BR/SB/AP/	KYC Dept.
1	PAN Card				
2	Proof of Identity (POI)				
3	Proof of Address (POA)				
4	Corresponding Address Proof (if applicable)				
5	Bank Proof (Cheque/Statement/letter)				
6	Additional Financial Proof for F&O and Currency				

Attachments (HUF)(Please tick (✓)if status is completed):

Sr. No.	Type	Attached	Self-certified by applicant	Verified by RM/BR/SB/AP/	KYC Dept.
1	PAN Card of HUF & Karta				
2	Proof of Identity (POI) - Karta				
3	Address Proof of HUF & Karta				
4	Corresponding Address Proof (if applicable)				
5	Bank Proof (Cheque/Statement/letter) of HUF				
6	Additional Financial Proof for F&O and Currency (HUF to be submitted)				

Attachments (Partnership firm)(Please tick (✓)if status is completed):

Sr. No.	Type	Attached	Self-certified by applicant	Verified by RM/BR/SB/AP/	KYC Dept.
1	PAN Card of Firm & all authorised Partners				
2	Proof of Identity (POI) - all authorised partners.				
3	Address Proof of Firm .				
4	List of Partners With Photo on Letterhead .				
5	Corresponding Address Proof (if applicable)				
6	Bank Proof (Cheque/Statement/letter) of Firm				
7	Additional Financial Proof for F&O and Currency.				
8	Copy of last 2 years balance sheets (to be submitted every year)				
9	Copy of partnership deed				
10	Demat Account opening letter on letter head .				
11	Photograph, POI, POA, PAN of Partners who holds more than 15% of Profit/Loss sharing				



Attachments (Corporate)(Please tick (✓)if status is completed):

Sr. No.	Type	Attached	Self-certified by applicant	Verified by RM/BR/SB/AP/	KYC Dept.
1	PAN Card of Company & all authorised Signatories				
2	Proof of Identity (POI) - all authorised Signatories				
3	Address Proof of Company & All authorized Signatories				
4	Corresponding Address Proof (if applicable)				
5	Bank Proof (Cheque/Statement/letter) of Company				
6	Copy of last 2 years balance sheets (to be submitted every year)				
7	Latest Share holding pattern on letter head				
8	Board Resolution for opening an account in securities market on letter head				
9	MOA & AOA				
10	Authorised Signatories List with specimen signatures				
11	Photograph, POI, POA, PAN of shareholder who holds more than 25% of shareholding either directly or indirectly				

IPV stamp & sign with necessary details on page no. 7/8 completed: ☐

I/We hereby confirm the above detail has verified and confirm as per my/our best knowledge.

BRI/RM/SB/AP Name : \_\_\_\_\_ BRI/RM/SB/AP Sign : \_\_\_\_\_

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

**Goldmine Stock Pvt. Ltd.**

Client risk categorisation under PMLA: (Tick (✓) any one) ☐ Low risk ☐ Medium risk ☐ High risk  
CSC ☐ Yes ☐ No

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

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

For Goldmine Stock Pvt. Ltd.

Date:-\_\_\_\_/\_\_\_\_/\_\_\_\_

Authorise Signatory

Introduced by:	<input type="checkbox"/> Existing Client	<input type="checkbox"/> Authorized Person	
	<input type="checkbox"/> Sub Broker	<input type="checkbox"/> Others	(please specify): _____
Name of the Introducer	First Name	Middle Name	Last Name
Introducer's Address			
UCC of the Introducer (if registered with the Trading Member)			

In case the Introducer is not registered with the Trading Member, Kindly provide details of the introducer.

**FOR OFFICE USE ONLY**

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## Index of Documents

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, EXCHANGES &amp; DEPOSITORY</b>			
1	KYC and Account Opening Form (For Trading and Demat Account)	A. KYC Form documents captures the Basic information about the client an instruction/checklist	7-10
		B. Document captures the Additional Information about the client relevant to Trading Account and Demat account	11-18
3	Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depository	Document stating the rights and obligations of beneficial owner and Depository Participant for Demat Account as prescribed by SEBI and Depositories	19
2	Tariff Sheet for Trading and Demat Account	A. Document provides details of rate / amount of brokerage and other charges levied on the client for trading on the Stock Exchange(s)	20
		B. Document provides details of charges for depository services	21
4	Rights and Obligations of stock broker and client	Document states the Rights & Obligations of the Stock Broker, Sub-Broker and Client for trading on exchanges (including additional rights & obligations in case of Internet / Wireless Technology based tradings)	Included in client copy
5	Risk Disclosure Document (RDD)	Document provides the details of risks associated while dealing in the Securities Market	
6	Guidance Note	Document details Do's and Don'ts for trading on Exchanges, for the education of the investors	
7	Policies & Procedures	Document describes significant policies and procedures of the Stock Broker	22-25

<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER AND DEPOSITORY PARTICIPANT</b>			
<b>Sr. No.</b>	<b>Name of the Document</b>	<b>Brief Significance of the Document</b>	<b>Page No.</b>
8	Aadhar Updation Consent	Consent for Updating Aadhar Number	26
9	Power of Attorney in favour of Goldmine Stocks Pvt Ltd	Limited Power of Attorney given by a Client to Goldmine to debit his demat A/c with Goldmine DP to deliver securities as per client's settlement / margin obligation	27-28
10	Running Account Authorisation	Document Authorises Goldmine to maintain Client's Account on Running Account mode i.e. funds / securities will be remitted only on his request	29-30
11	Letter of Operation of Account	Various operative instructions to the stock broker for day to day operation of account of the client including authority for debit of depository charges	31-33
12	Letter giving details of Authorised representatives	Letter giving details of persons authorised by the client to interact with the stock Broker on His/Her/ its behalf	34
13	Declaration by Karta	Document for declaration by Karta & details of Members/Coparceners for HUF	35
14	Acknowledgement and Confirmation	Letter signed by client acknowledging and confirming receipt of the documents prescribed and that the same have been explained to the client	36
15	Information about Provisions of Prevention of Money Laundering Act, 2002 (PMLA)	Document provides a brief note on Prevention of Money Laundering Act. and Rules	Included in client copy
16	FATCA-CRS Declaration (Non-Individual)	Details of ultimate beneficial owner including additional FATCA & CRS Declaration for Non-Individuals	37-38
17	FATCA-CRS Declaration (Individual)	FATCA & CRS Declaration by all account holder(s)	39-40

**COLOUR REPRESENT DOCUMENTS HANDED OVER TO CLIENT**

I/We declare, that I/We require the standard documents e.g Rights & Obligations Documents , Uniform Risk Disclosure Documents, Guidance note- Do's and Don'ts for trading on Exchanges etc. as per my/our following preference for the same :

☐ In Hard / Physical Copy    ☐ In Electronic / Soft Copy

I/We declare that I/we have been also made aware that such documents including standard set of your KYC documents, are published on your website [www.goldmine.net.in](http://www.goldmine.net.in). I/We are also aware that these documents in vernacular languages can also be downloaded from

[https://www.nseindia.com/membership/content/complinc\\_trading\\_mem.htm](https://www.nseindia.com/membership/content/complinc_trading_mem.htm)

also If need arise, I/We will directly download the same for my/our records or reference.

**1st Holder**
**2nd Holder**
**3rd holder**
**X**
**X**
**X**

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM (NI)

### A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly, attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the school leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Government, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.
- Utility bills like Telephone Bill (only and line), Electricity bill or Gas bill - Not more than 2 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court Judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Office/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued any of the following. Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FI/sub account, Power of Attorney given by FI/Sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

### D. Exemptions/ clarification to PAN

#### (\* Sufficient documentary evidence in support of such claims to e collected.

- In case of transactions undertaken on behalf of Central Government and/or State Government by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs. 50,000/- p.a
- In case of Institutional clients, namely, FIs, Mfs, VCFs, FVCIs, scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card detail with the original PAN card and provide duly certified copies of such verified PAN detail to the intermediary.

### E. List of people authorized to attest the documents:

- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- In case of NRIs, authorized officials of overseas branches of scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

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

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



Sole / First Account Holder

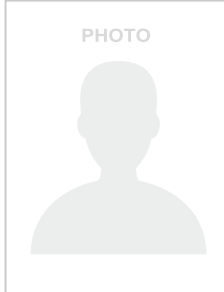
**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**

**Important Instructions :** A) Fields marked with \*\* are mandatory fields. B) Please fill the form in English and in BLOCK letters. C) Please fill the date in DD-MM-YYYY format. D) Please read section wise detailed guidelines / instructions at the end. E) List of State / U.T. code as per Indian Motor Vehicle Act, 1988 is available at the end. F) List of two character ISO 3166 country codes is available at the end. G) KYC number of applicant is mandatory for update application. H) For particular section update, please tick (0) in the box available before the section number and strike off the sections is not required to be updated.

**For office use only** Application Type\* ☐ New ☐ Update  
(To be filled by financial institution) KYC Number  (Mandatory for KYC update request)  
Account Type\* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/> DD - <input type="text"/> MM - <input type="text"/> YY <input type="text"/> YY			
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender			
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others			
Citizenship*	<input type="checkbox"/> IN- Indian <input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )			
Residential Status*	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector ) <input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student ) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised			

  
 PHOTO  
 Signature / Thumb Impression

☐ **2. TICK IF APPLICABLE** ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked) ☐ YES ☐ NO

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place / City of Birth\*  ISO 3166 Country Code of Birth\*

☐ **3. PROOF OF IDENTITY (PoI)\*** (Please refer instruction C at the end)(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/> DD - <input type="text"/> MM - <input type="text"/> YY <input type="text"/> YY
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/> DD - <input type="text"/> MM - <input type="text"/> YY <input type="text"/> YY
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

**4. PROOF OF ADDRESS (PoA)\***☐ **4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS** (Please see instruction D at the end)(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/> please specify	
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

**Address**

Line 1\*

Line 2

Line 3

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





9. ATTESTATION / FOR OFFICE USE ONLY

Document Required☐ Certified Copies

KYC VERIFICATION & IN-PERSON VERIFICATION (IPV) CARRIED OUT BY

Date

DDMMYYYY

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

GOLDMINE STOCKS PVT LTD

Code

IN0071

[Institution Stamp]



**Application No.:**

<b>C. Other Details (please see guidelines overleaf)</b>	
<b>1. Name, PAN, DIN/Aadhaar Number, Residential address and Photographs of Promoters/Partners/Karta/Trustees/whole time directors</b> (Please use the Annexure to fill in the details)	
<b>2. Any other information:</b> _____	

<p><b>GOLDMINE STOCK PVT. LTD.</b></p> <p><input type="checkbox"/> (Originals Verified) Self Certified Document copies received</p> <p><input type="checkbox"/> (Attested) True copies of documents received</p> <p>Main Intermediary</p>	<p><b>FOR OFFICE USE ONLY</b></p> <p>Seal / Stamp of the intermediary should contain</p> <p>Staff Name</p> <p>Designation</p> <p>Name of the Organization</p> <p>Signature</p> <p>Date</p>
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**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:**

[illegible]

Sr. No.	PAN	Name	DIN (For Directors)/ Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, wholesale directors etc.)	Photograph
						Please affix the recent passport size photograph and sign across it
						Please affix the recent passport size photograph and sign across it
						Please affix the recent passport size photograph and sign across it
						Please affix the recent passport size photograph and sign across it
						Please affix the recent passport size photograph and sign across it

✕

Name &amp; Signature of the Authorised Signatory(ies)

**ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT****(Individual / Non-Individual)****A. BANK DETAILS:-**

Bank Name & Branch Address	Account Number	Account Type: (Strike off which ever is not applicable)	MICR Code	IFSC code
		SB / Current / NRE / NRO		
		SB / Current / NRE / NRO		
		SB / Current / NRE / NRO / PIS-NRE / PIS-NRO		

**B. DEPOSITORY ACCOUNT DETAILS:**

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

**C. TRADING PREFERENCE:**

Please sign in the boxes relevant to the exchange and segment where in you wish to trade. Strike Off remaining all other boxes:

Segment / Exchange	NSE	BSE	MSEI
CASH MARKET	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
EQUITY DERIVATIVES	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
CURRENCY DERIVATIVES	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

# If in future the client wants to trade on any new segment/exchange separate authorization /letter should be submitted to the stock broker.

**D. PROOF OF FINANCIAL DETAILS (Attached any one of the below. Mandatory for trading in F&O /****Currency segment)**

☐ ITR Acknowledgment   ☐ Annual Accounts   ☐ Net Worth Certificate   ☐ Salary Slip   ☐ Form 16  
☐ Bank Account Statement (for last 6 months)   ☐ Demat holding statement   ☐ Self declaration  
 along with relevant supporting   ☐ Any other relevant documents substantiating ownership of assets

**E. PROOF OF EXISTING DEMAT ACCOUNT:**

☐ Client Master   ☐ Latest Transaction / Holding Statement of Demat Account (please tick whichever is applicable)

**F. DETAILS OF PAST REGULATORY ACTIONS:**

Please provide details of any actions/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 (Use annexure for additional information, if required)

<input type="checkbox"/> Applicable <input type="checkbox"/> NOT - Applicable
---

**G. DEALINGS THROUGH SUB-BROKER(S) / AUTHORISED PERSONS (APs)****AND OTHER STOCK BROKER(S) / SUB-BROKERS / APs**

(A) If dealing through Goldmine Stocks Pvt Ltd Sub-broker / APs, please provide the following details: (SBs/Aps to provide their prescribed details or affix their rubberstamp here)

Sub-Broker's Name / AP Name	
Office Address	
SEBI Registration No.	
Phone No. / Mobile Number	

(B) If dealing through other Stock-brokers and/or their Sub-broker /APs, please provide the following details:

Stock-Broker's Name			
Sub-Broker / AP Name, if any			
Client Code		Exchange	
Details of disputes / dues pending from/to such Stock Broker/Sub-broker/AP :			

**H. ADDITIONAL DETAILS:**

Whether you wish to receive	<input type="checkbox"/> Electronic Contract Note (ECN) which may be sent at your email id as stated in KYC OR <input type="checkbox"/> Physical Contract note Specify your Email id, if applicable _____		
Whether you wish to avail of the facility of Internet Trading	<input type="checkbox"/> Yes	No	
If Yes, whether you wish to avail facility of Mobile Trading	<input type="checkbox"/> Yes	No	
Number of years of Investment / Trading Experience			
Any other information:			

**I. MOBILE NO. / EMAIL ID DECLARATION**

The mobile no. mentioned in this KYC/KRA form belongs to myself # / my family member # - \_\_\_\_\_ who is my \_\_\_\_\_ (Relationship with client\*)

The Email id mentioned in this KYC/KRA form belongs to myself #/ my family member # - \_\_\_\_\_ who is my \_\_\_\_\_ (Relationship with client\*)

**\*Only the mobile no./ email id of your spouse, dependent children and dependent parents can be registered in your account.**

**# strikeout whichever is not applicable.**

**J. CONSENT FOR RECEIVING SMS/EMAIL ALERTS FROM CONCERNED STOCK EXCHANGES**

I/We wish to avail the SMS/Email alert facility offered by respective Exchanges showing details of my daily transactions executed through Goldmine stock Pvt. Ltd. on my e-mail id/mobile no. provided in KYC form.

I/We hereby give my/our consent to receiving information from Goldmine Stock Pvt. Ltd. on registered mobile number & e-mail address

**DECLARATION**

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

X

Signature of Client /  
(all) Authorised Signatory (ies)

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

Date: - \_\_\_\_ / \_\_\_\_ / \_\_\_\_

## ADDITIONAL DETAILS FOR OPENING DEMAT ACCOUNT (Individual)

### TYPE OF ACCOUNT \* (Tick whichever is applicable)

- |   |  |  |
|---|--|--|
| <input type="checkbox"/> Ordinary Resident          | <input type="checkbox"/> NRI-Repatriable               | <input type="checkbox"/> NRI-Non Repatriable |
| <input type="checkbox"/> Qualified Foreign Investor | <input type="checkbox"/> Foreign National              | <input type="checkbox"/> Promoter            |
| <input type="checkbox"/> Margin                     | <input type="checkbox"/> Others (Please specify) _____ |  |

(To be filled by Applicant in BLOCK LETTERS in English)

I / We request you to open a demat account in my / our name as per following details

Holders Details:

Sole/First Holder's Name	
PAN No.	UID

Second Holder's Name	
PAN No.	UID

Third Holder's Name	
PAN No.	UID

\*In case of Association of persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the PAN of the Association of Person (AOP), Partnership Firm, Unregistered Trust, etc., Should be mentioned below.

Name*	PAN
-------	-----

### In case of NRIs / Foreign Nationals

RBI Approval Reference Number	RBI Approval date
-------------------------------	-------------------

### MOBILE NO./ EMAIL ID DECLARATION

I/We declare that Mobile No./ Email Id mentioned in KRA/CKYC form belongs to

Holder	Mobile	E-mail
1st Holder	<input type="checkbox"/> Me or <input type="checkbox"/> My Family	<input type="checkbox"/> Me or <input type="checkbox"/> My Family
2nd Holder	<input type="checkbox"/> Me or <input type="checkbox"/> My Family	<input type="checkbox"/> Me or <input type="checkbox"/> My Family
3rd Holder	<input type="checkbox"/> Me or <input type="checkbox"/> My Family	<input type="checkbox"/> Me or <input type="checkbox"/> My Family

Only the mobile no./email id of your spouse, dependent children and dependent parents can be registered in your account.

### Details of Guardian (in case the account holder is minor)

Guardian's Name			
PAN no.		Relationship with the applicant	

Declaration : The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

	First / Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature	X	X	X



- (To be filled by Applicant in BLOCK LETTERS in English)
- I / We request you to open a demat account in my / our name as per following details

Holder's Details:	Name
-------------------	------

[illegible]**TYPE OF ACCOUNT\* (Tick whichever is applicable)**

Status						Sub-Status									
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Bank <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Others/specify)_____						To be filled by the DP									
RBI Approval Ref. No.(If applicable)						RBI Approval Date									
Nationality		<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)_____													

\* For Partnership Firm, Unregistered Trust, Association of persons (AOP) etc., although the account is opened in the name of Partner(s), trustee(es) etc., the name & PAN of the Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., Should be mentioned below.

[illegible]






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

Name of Stock Exchange			
Name of CC / CH			
Clearing Member ID		CM - BP ID (to be filled by Participant)	
Trade Name		SEBI Registration No.	

**Mode of Operations for Sole/First Holder** (In case of joint holdings, all the holders must sign. In case of HUF this is not applicable)

☐ Any one Singly      ☐ Jointly by      ☐ As per resolution      ☐ Others (please specify)

Declaration: The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, we are aware that we may be held liable for it. I/we acknowledge the receipt of copy of the document, “Rights and Obligations of the Beneficial Owner and Depository Participant”.

Sole / First Holder	1st Signatory/Karta of HUF	2nd Signatory	3rd Signatory
<b>Name</b>			
Signature			
<b>Other Holder</b>	<b>2nd Holder</b>	<b>3rd Holder</b>	
<b>Name</b>			
Signature			

**COMMON DETAILS FOR INDIVIDUAL & NON-INDIVIDUAL DEMAT A/C.**

Standing Instructions					
1	I/We authorise you to receive credits automatically into my/our account.				<input type="checkbox"/> Yes <input type="checkbox"/> No
2	Account to be operated through Power of Attorney (PoA)				<input type="checkbox"/> Yes <input type="checkbox"/> No
3	SMS Alert facility :[Mandatory if you are giving Power of Attorney (POA). Ensure that the Mo. No. is provided in the KYC Application Form]				
	Yes No		Yes No		Yes No
	Sole/First Holder	<input type="checkbox"/> <input type="checkbox"/>	Second Holder	<input type="checkbox"/> <input type="checkbox"/>	Third Holder <input type="checkbox"/> <input type="checkbox"/>
4	Mode of Receiving Statement of Account (Tick any one)		<input type="checkbox"/> Physical Form		
<input type="checkbox"/> Electronic Form [Read Note 4 and ensure that email ID is provided in KYC Application Form]					
5	Receive annual reports, AGM Notices and other communication from Issuers to RTA in Physical <input type="checkbox"/>				
6	I/We do not wish to opt for BSDA Account. <input type="checkbox"/>				

Bank details											
1	Bankaccount type <input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify)_____										
2	Bank Account Number										
3	Bank Name										
4	Branch Address		City/town/village				PIN Code				
State				Country							
5	MICR Code										
	IFSC										
Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)											

**Notes :**

- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- In case of additional signatures, separate annexure should be attached to application form.
- For receiving Statement of Account in electronic form:
  - Client must ensure the confidentiality of the password of the email account.
  - Client must promptly inform the Participant if the email address has changed.
  - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever is not applicable.

**In case of Individual account :**

	First / Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Signature	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

**In case of Non-Individual account :**

Sole / First Holder	1st Signatory/Karta of HUF	2nd Signatory	3rd Signatory
Signature	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other Holder	2nd Holder	3rd Holder	
Signature	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	



## OTHER DETAILS FOR OPENING AN ACCOUNT

## FOR INDIVIDUAL ACCOUNT:

<b>1. Gross Annual Income details in Rs. (Please write Number)</b> 1 Below 1 lac    2 1-5 lac    3 5-10 lac 4 10-25 lac    5 > 25 lacs    OR <input type="checkbox"/> 1st Holder <input type="checkbox"/> 2nd Holder <input type="checkbox"/> 3rd Holder (Please show relevant no. against each Holder as applicable)		<b>Networth in Rupees :</b> 1st Holder : Rs. _____ 2nd Holder : Rs. _____ 3rd Holder : Rs. _____ Net-worth in Rs.as on date _____ (Net-worth should not be older than 1 year)	
<b>2. Occupation (Please choose any one and give brief details):</b> 1 Private Sector    2 Public Sector Service    3 Government Service    4 Business    5 Retired 6 Professional    7 Agriculturist    8 Housewife    9 Student    10 Others(specify) _____ <input type="checkbox"/> 1st Holder <input type="checkbox"/> 2nd Holder <input type="checkbox"/> 3rd Holder    (Please show relevant no. against each Holder as applicable)			
<b>3. Please tick, if applicable:</b> <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person(RPEP) <input type="checkbox"/> Not Applicable			
<b>4. Any other Information:</b>			
	<b>First / Sole Holder or Guardian (in case of Minor)</b>	<b>Second Holder</b>	<b>Third Holder</b>
Name			
Signature	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

## FOR NON INDIVIDUAL ACCOUNT:

<b>1. Gross Annual Income details in Rs. (Please tick ( ) ):</b> <input type="checkbox"/> Upto 1 lac <input type="checkbox"/> 1-5 lac <input type="checkbox"/> 5-10 lac <input type="checkbox"/> 10-25 lac <input type="checkbox"/> 25 lac -1 Crore <input type="checkbox"/> > 1 Crore <b>Net-worth in Rs.</b> _____ as on date _____ (Net-worth should not be older than 1 year)
<b>3. Please tick, if any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person(RPEP)</b> <input type="checkbox"/> Please provide details as per Annexure 2.2 A.(Annexure 2.2 A given below)
<b>4. Any other Information:</b>

## ANNEXURE - 2.2 A

## Details of Politically Exposed Persons (PEP) / Related to Politically Exposed Person (RPER) (For Non - Individual)

Sr. No.	Name of the Authorised signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors	Relation with the Applicant ( i.e. promoters, whole time directors etc.	Please tick the relevant option.
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Signature	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

PEP: Politically Exposed Person

RPEP: Related to Politically Exposed Person



**NOMINATION DETAILS (FOR TRADING AND DEMAT ACCOUNT) (FOR INDIVIDUAL A/C ONLY)**

I/ We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

☐ I / We do not wish to nominate any one for this trading and /or demat account☐ I / We nominate the following person who is entitled to receive security /funds balances lying in my / our trading and/or demat account particulars where of are given below, in the event of my / our death.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
<b>Nominee Name :</b> <b>*First Name:</b> <b>Middle Name:</b> <b>*Last Name</b>	    	    	    
*Address of Nominee			
Photographs			
*City:			
*State:			
*Pin:			
*Country:			
Telephone No:			
Fax No:			
<b>Nomination Details</b>	<b>Nominee 1</b>	<b>Nominee 2</b>	<b>Nominee 3</b>
PAN No:			
UID :			
Email ID:			
*Relationship with the BO :			
Date of Birth (Mandatory if Nominee is a Minor):			
Name of the Guardian of Nominee (if the nominee is minor): <b>*First Name:</b> <b>Middle Name:</b> <b>*Last Name</b>	   	   	   



Nomination Details	Nominee 1	Nominee 2	Nominee 3
*Address of the Guardian of nominee:			
*City:			
*State:			
*Country:			
*Pin:			
Age			
Telephone:			
Fax No:			
Email ID:			
*Relationship of the Guardian with the Nominee:			

*Percentage of allocation of securities:			
*Residual Securities [please tick any one nominee. If tick not marked default will be first nominee]:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Note :Residual securities: incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. if you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

**This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.**

**Note: One witnesses shall attest signature(s) / thumb impression(s)**

Details of the Witness	Witness
Name of witness	
Address of witness	
Signature of witness	

Name	First / Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Signature	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## **Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories**

### **General Clause**

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.

2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

### **Beneficial Owner information**

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.

4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

### **Fees/Charges/Tariff**

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that *"no charges are payable for opening of demat accounts"*

6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.

7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

### **Dematerialization**

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

### **Separate Accounts**

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and/or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

### **Transfer of Securities**

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.

12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

### **Statement of account**

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.

14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.

15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

### **Manner of Closure of Demat account**

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the

Beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

### **Default in payment of charges**

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

### **Liability of the Depository**

21. As per Section 16 of Depositories Act, 1996,

1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

### **Freezing/Defreezing of accounts**

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

### **Redressal of Investor grievance**

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

### **Authorized representative**

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

### **Law and Jurisdiction**

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and/or SEBI

30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

"I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

✕ \_\_\_\_\_ 1st Holder

✕ \_\_\_\_\_ 2nd Holder

✕ \_\_\_\_\_ 3rd Holder

**TARIFF SHEET FOR TRADING ACCOUNT**

Equity	1 <sup>st</sup> Leg		2 <sup>nd</sup> Leg (same day)	
	%age	Min.	%age	Min.
Intraday Cash				
Delivery				
Future				
Options (Per lot)				
Minimum Brokerage & other Charges	Rs. 25/- Per Contract for Capital Market Client cheque dishonor charges Rs. 100/- per instance or actual, whatever is higher			

Signature of Client

X

Currency Derivatives	1 <sup>st</sup> Leg		2 <sup>nd</sup> Leg (same day)	
	%age	Min.	%age	Min.
Future				
Options (Per lot)				

	Other Charges	Amount
1	Dispatch Charges for physical contract note for additional copy only (otherwise than for bounced email.)	Rs. 10 per contract note
2	Security Transaction Tax (STT)	@rates notified by Government
3	Stamp Duty	@rates notified by Government
4	Transaction Charge, SEBI Fees	as Notified by Respective Stock Exchange / SEBI
5	GST (Goods and Service Tax)	@ rates notified by Government

Note:

1. Brokerage will be charged within the limits prescribed by SEBI / Exchanges and in % age on transaction value basis shown as above.
2. Goldmine Stocks Pvt Ltd reserves the right to change any of the terms mentioned herein above from time to time by publishing / displaying the same on its website and/or by conveying same on registered email id of client.
3. The client authorises Goldmine Stock Pvt. Ltd. Stock Broker to recover demat charges payable to Goldmine. DP by debit entry in sale bill and/or by debit to his/her ledger account.
4. All statutory and regulatory charges will be levied at actual.

X

 Signature of Client /  
(all) Authorised Signatory (ies)

Client Code: \_\_\_\_\_


**CHARGES (SCHEDULE - A)**

W.E.F. : 01/07/2017

	SCHEME I	SCHEME II	SCHEME III	SCHEME IV (BSDA)
<b>Application Form</b> (Including stamp duty Rs. 100/-)	Nil	Nil	Nil	Nil
<b>Annual Maintenance</b> (Inclusive of GST)	Rs. 350/-	Nil	Nil	Nil (If value of holding is upto 50,000)  Rs. 100/- (If value of holding is between 50001 to 200000 higher)
<b>One time Non-refundable</b>	Nil	Nil	Rs. 950/-	Nil
<b>Advance Deposit Refundable</b>	Nil	Rs. 4000/-	Nil	Rs. 2000/-
<b>Purchase</b> (Market & Off Market)	Nil	Nil	Nil	Nil
<b>Sale</b> (Market - Goldmine) (Off Market - Goldmine DP)	Rs. 20/-	Rs. 20/-	Rs. 20/-	Rs. 50/-
<b>Sale</b> (Market & Off Market other than Goldmine)	Rs. 30/-	Rs. 30/-	Rs. 30/-	Rs. 50/-
<b>Urgent Transaction Charges</b>	Rs. 50/-	Rs. 50/-	Rs. 50/-	Rs. 100/-
<b>Demat</b>	Rs. 2/- per Cert Min Rs. 40/-	Rs. 2/- per Cert Min Rs. 40/-	Rs. 2/- per Cert Min Rs. 40/-	Rs. 5/- per Cert Min Rs. 100/-
<b>Remat</b>	Rs. 13/- per Cert or Rs. 13/- per Hundred Security or Part thereof Min. Rs. 70/- whichever is higher.	Rs. 13/- per Cert Rs. 13/- per Hundred Security or Part thereof Min. Rs. 70/- whichever is higher.	Rs. 13/- per Cert Rs. 13/- per Hundred Security or Part thereof Min. Rs. 70/- whichever is higher.	Rs. 50/- per Cert Rs. 50/- per Hundred Security or Part thereof Min. Rs. 150/- whichever is higher.
<b>Reconversion of Mutual Units into SOA</b>	Rs. 70/- per Inst.	Rs. 70/- per Inst.	Rs. 70/- per Inst.	Rs. 100/- per Inst.
<b>Redemption of Mutual units</b>	Rs. 20/- per Inst.	Rs. 20/- per Inst.	Rs. 20/- per Inst.	Rs. 50/- per Inst.
<b>KRA Charges</b> (Post A/c Opening)	Rs. 50/-	Rs. 50/-	Rs. 50/-	Rs. 65/-
<b>Modification Charges</b>	Nil	Nil	Nil	Rs. 50/-
<b>DIS Issuance</b>	Nil	Nil	Nil	Rs. 25/-
<b>Statement Charges</b>	Nil	Nil	Nil	Rs. 25/-

**I opt to pay charges as per (Please tick)**

Scheme I ☐

Scheme II ☐

Scheme III ☐

Scheme IV ☐

❖ One time non refundable scheme is valid only if the client opts to receive transaction statements, bills and all other communication by email. If the email of the client gets bounced, the AMC of Rs. 350/- shall be charged extra. ❖ Advance towards charges Rs. 4000/- (Scheme (II) & Rs. 2000/- (Scheme IV) will be refundable at the time of account closure, subject to one year minimum lock in period. ❖ For Scheme IV Statement will be given first two quarters without charges and after that on request Rs. 25/- per statement. ❖ For Scheme IV, if holding value for an account exceeds more than Rs. 2,00,000/- at any date, DP may levy charges as applicable to Scheme I.

I/We agree to the following terms and conditions in this regards.

- I/We are aware that I/We will not receive the transaction statements in paper form.
- I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.
- I/We are aware that the transaction statement may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised.
- In case transaction statements are sent by email, I/We shall immediately inform you about change in email, if any.
- I/We, the client and you, Goldmine; both shall have the right to terminate such service provided a written notice is given at least 10 days in advance to the other party.
- In case, if my email account is closed due to any reason and new email details are not submitted, you may charge Rs 20/- extra for sending the transaction statements in paper form or Rs. 350/- p.a. As AMC, as the case may be

1st Holder/1st Authorised Signatory

X

2nd Holder/2nd Authorised Signatory

X

3rd holder/3rd Authorised Signatory

X

## POLICY & PROCEDURES

This document contains policies and procedures defined/ devised and followed by Goldmine Stocks Pvt Ltd. ('GOLDMINE' or 'Broker') which it applies or adopts while providing services as a stock broker on National Stock Exchange of India Ltd. ('NSE'), Bombay Stock Exchange Ltd. ('BSE'), and Metropolitan Stock Exchange Ltd. ('MSEI') (collectively herein after referred to as 'the Exchanges') to its clients. The purpose of the document is to communicate these policies and procedures to clients of Goldmine.

The policies and procedures stated herein below are subject to change from time to time at the sole discretion of Goldmine, depending on market conditions, requirements prescribed by Exchanges, Regulators or any other Government Authority, its risk management framework etc.

### **Refusal of orders for penny/illiquid stock**

Generally, the broker refuses to enter any order of clients for penny stocks. The client is required to adhere to exchange/members' guidelines and due diligence while trading in such scrips. Even trading in such scrip is very risky. As such, stock broker may from time to time / refuse orders in one or more securities due to various reasons including market liquidity, value of security (ies), the order being for securities which are not the permitted list of stock broker/ exchange(s)/SEBI or illiquid scrips. Depending on market condition and risk management policy of the company, the stock broker reserves the right to refuse to provide limit in penny Stocks and losses if any on account on such refusal shall be borne by the client only. We the broker, do hereby warn the client not to deal in any penny stocks. However, Broker at its own discretion, may allow or disallow the clients (on case to case basis) to deal In penny stocks, subject to rules, regulations, articles, byelaws, circulars, directives and guidelines of SEBI and Exchanges as well as considering the prevalent market and other circumstances, at related point of time. The exposure limit in such scrips shall vary from client to client subject to RMS Policy of Broker and prevalent market condition from time to time without prior notice.

### **Client's exposure Limit**

Exposure limits to the client will be provided based on the available margin in the client's trading account maintained with Goldmine. The securities markets are usually very volatile and different clients have different risk profiles. Volatility amongst different scrip and different derivatives contracts are different. Business Rules, Bye laws and Regulations of the Exchanges require Brokers including Goldmine to obtain upfront margin from clients.

All these factors taken together create a challenging environment where Goldmine, apart from setting allowable trading limits for different clients Differently, has to often modify or change such trading limits several times during the day if situation so demands.

The trading limit setting policies enumerated below are to be taken as basis for understanding policies implemented by Goldmine and the same may not be rigidly followed and may be changed from time to time on account of factors stated above. The averments contained in these statements are not promises made by Goldmine to its clients and they do not confer any rights to clients to demand that their trading limits at all times will be set according to these policies.

The exposure limits will be a certain multiple of the available margin. Such multiplier will be as decided by Goldmine from time to time and may vary from client to client.

On a case-to-case basis Goldmine, as its sole and absolute discretion, may allow higher exposure limits to the client.

The choice of the securities to be considered as margin shall be determined by Goldmine at its sole discretion from time to time and the client shall abide by the same.

While granting the exposure limit, margin in the form of securities will be valued as per the latest available closing price on the exchanges after applying appropriate haircut as may be decided by Goldmine at its sole discretion.

Goldmine may from time to time depending on market conditions, profile and history of the client, type and nature of scrip, etc., at its sole discretion charge/change the rate of haircut applicable on the securities given as margin, multiplier for granting exposure in Cash/F&O segments and take such steps as Goldmine may deem appropriate.



The Client will have to abide by the exposure limit set by Goldmine.

#### **Applicable Brokerage rate**

Goldmine discloses that it shall charge a brokerage at the rate being agreed by the client with broker (including its branches and sub brokers) as may be prescribed in the tariff sheet. However, Goldmine shall adhere to the maximum permissible limit (presently not to exceed 2.5%) as may be prescribed by SEBI/Exchanges from time to time. It is hereby further clarified that brokerage on options contracts shall not exceed 2.5% of the premium amount or Rs. 100/- (per lot) whichever is higher.

Goldmine charges minimum Rs. 25/- per contract note issued in case of brokerage chargeable on cash market transactions. This minimum limit may be revised upwards depending on regulatory dispensations and cost of environment. Goldmine may waive off minimum contract charges for certain clients at its own discretion.

The brokerage rate may be varied in future as agreed between the client and Goldmine either in writing or orally from time to time. In case of oral agreement, if the brokerage is charged at such revised rate in contract note subsequent to revision and the client does not raise any dispute on such brokerage within the time period stipulated on the contract note then the same will be considered as consented by the client.

#### **Imposition of Penalty/Late Payment Charges**

##### **Imposition of Penalty:**

The Exchange/ Clearing Corporation / SEBI levies penalties on the broker for irregularities observed by them during the course of business. Goldmine shall recover such imposed penalties/ levies, if any, by the Exchange/Regulatory, from such clients on account of whose dealings such penalties/levies have been imposed. Few of the examples of violations for which penalties may be levied are as under:

- a Auction of securities pursuant to short deliveries by the client.
- b Non adherence to client level exposure limits in cash, F&O and currency segments.
- c Short margin reporting in any segment as may be stipulated by the respective Exchange.
- d Any other reason which may be specified by the Exchanges/ Clearing Corporation/SEBI from time to time.

Such recovery would be by way of debit in the ledger of the client and amounts would be adjusted in client ledger account.

Further, if client does not make payment against its settlement obligation or margin obligation with the stipulated pay in time, the late/delay payment charges at the rate of 18% per annum shall be charged on weekly basis. Such late payment charge should not result in frequent late payment by the client and must not be termed by the client as funding provided by the broker.

#### **Liquidation of Client's Securities/Close Open Position**

Goldmine requests the prospective clients to refer to MEMBER CLIENT AGREEMENT and RISK DISCLOSURE DOCUMENT wherein Broker's rights to sell securities purchased by the client and to close out open positions of the client are adequately defined.

The constituent is supposed to make his pay in obligations on time for the funds and/or securities for all the Segment of the exchange. The client has to maintain margin in derivatives segment and currency derivatives segment of the exchange as per the exchange's requirement. In case if any shortfall is found in margin, the open positions of the constituent shall be squared off to the extent of shortfall without any intimation for the same. In case of capital market, if the payment of outstanding amount is not received, the broker reserves the right to liquidate the securities of the constituent without intimation to the extent of the debit amount of the client.

The broker reserves the right not to increase the position of the constituent as per his risk parameters. In case of any order from regulatory authorities, the client's open positions shall be liquidated.

**Restrictions/Prohibition to take further position or closing existing position:**

Under any of circumstances, such as client's failure to meet Pay-In or margin obligations or clearance of outstanding/debit balance with broker before permissible time limit or beyond such period as may be allowed by broker, the client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. Further, it would be the duty of the client to monitor his/her/its position with the Broker from time to time. In case of any delay or failure in meeting any obligation, margin requirement etc. from client side, broker might close the existing position or open position WITHOUT ANY FURTHER INTIMATION to the client, Such Circumstance include (but not limited to) :

- (i) Failure to meet Pay-In obligation on Pay-In Day.
- (ii) Delay in meeting the Pay-In or margin requirement.
- (iii) Delay or failure in clearance or outstanding or dues to the broker,
- (iv) Returning or frequent returning of cheques of the client,
- (v) Unnecessary/Unwarranted dispute from client without any substantial cause/reason, settled without Involvement of Exchange and/or SEBI.
- (vii) As per prevalent RMS policy of the Broker.
- (viii) Any direction from SEBI/Exchange or such other authorities.
- (ix) Under such other circumstances as the Broker might think just and proper on case to case basis.

**SHORTAGES IN DELIVERY OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES**

Stock Exchanges compute delivery obligations of the brokers after netting off all the position so fall clients for each scrip. If on net basis, the total position of the broker for scrip is sale, he is required to deliver such net quantity of shares of that scrip to Stock Exchange before pay in. If on net basis, the total position of the broker for scrip is purchase, Stock Exchange delivers such net quantity of shares of that script o the broker on successful completion of payin, at the time of payout. This may result in sale position of one client being netted off against purchase position of another client in the same scrip requiring settlement of delivery obligations within the office of the broker. In such event, if the selling client fails to honour his settlement obligation, the buyer client may end up not receiving securities against this purchase or he may receive lesser no. of shares than his purchase quantity of shares. Since the obligation against Exchange is nonexistent, the usual auction mechanism established by the Stock Exchange may not be available in such scenario. Stock brokers are required to frame procedures for dealing with such internal shortage which are fair and transparent.

Goldmine has framed and implemented following policy for settling of the transaction, which remains unsettled due to Internal Shortages.

The transaction, which remains unsettled due to Internal Shortages of Securities, shall be closed out and settled amongst the buyer and seller as under :

- a.) If the seller client fails to give the delivery of securities sold by him, the shares would be bought from the open market on auction day or subsequent day and seller client will be debited for the transaction(s) of the said purchase and the buyer client would get the delivery of the shares accordingly.

**Suspending/Closing/Deregistering the trading account**

Without prejudice to Goldmine's rights and remedies available under the Agreement, Goldmine may forthwith, at its sole and absolute discretion, de-register/suspend the client with/without prior notice/intimation in the following circumstances:

- a) If the client makes request for deregistration in writing.
- b) If Goldmine is satisfied and believes that the client is not interested in executing transactions through Goldmine.
- c) If the client is not maintaining his account as per the requirements and Goldmine wishes to sever the Relationship with the client after giving such due notice as stipulated in Member Client Agreement.

d) Where the client indulges in any irregular trading activities like synchronized trading, price manipulation, trading in illiquid securities/ options/contracts, self-trades, trading in securities at prices significantly away from market prices, etc.



- e) Any enquiry/investigation initiated by the Exchanges/regulators against the client.
- f) Any regulatory action taken/initiated against the client by the Exchange/regulators including but not limited to debarring the client from accessing the capital market.
- g) Where name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI/ Exchanges (where no information other than name is available).
- h) Name of the client appears in database/websites of CIBIL, Watch Out Investors, World Check, etc..
- i) The client having suspicious back ground or link with suspicious organization.
- j) Where the client is non-traceable, has pending disputes with Goldmine, possibility of a default by the client.
- k) Any other circumstances leading to a breach of confidence in the client for reasons like return of undelivered couriers citing reason of 'No such person/ Addressee left/ Refusal to accept mails, etc., continuous cheque bouncing, or not furnishing the Financial and other details as may be called for by Goldmine from time to time, etc.
- l) Upon receipt of written information about the death of the client.
- m) Such other circumstances which in the sole opinion of Goldmine warrants to de-register the client.

In all such cases, Goldmine shall have the right to close out the existing open positions/contracts, sell/liquidate the securities (in any form) to recover its dues, if any, before der-registering/suspending the client.

#### **Policy for Inactive/Dormant Clients**

In Any account(s) in which no transactions took place during the period of 1 year from the date of last transactions, the same shall be considered as dormant/Inactive. Such transactions date may be relate to any of the following date, whichever is later.

- a) Entry related to contract or bill generation for buy/sell transactions or
- b) Entry related to payment of funds or securities

To designate the client's account as Dormant/Inactive account, the period of 12 months shall be counted from the last day of respective month in which any of the aforesaid last transaction took place.

In order to reactivate the account, client needs to give reactivation request form duly signed by her/him at least 2 days in advance to the branch or the head office of the broker, along with the self-attested copy of the ID proof and income tax return/bank statement (last six month (in case client wants to trade in derivatives segment)) or any other documents as may be required by the broker. Broker may, in its own discretion, waive/reduce the period of 2 days as the circumstances may warrant on case to case basis.

#### **GENERAL:**

Goldmine shall have the right at its sole and absolute discretion to amend/change/revise any of the above said policies and procedure at time in future and the same shall be binding on the client forthwith. Latest Policy & Procedure shall be available on website of Goldmine ([www.goldmine.net.in](http://www.goldmine.net.in)). Client should refer to the same from time to time for any updation of Policy & Procedure of stock broker.

Any action taken by Goldmine in accordance with the policies and procedures mentioned herein above cannot be challenged by the client, and Goldmine shall not be liable to the client for any loss or damage (actual/notional) which may be caused to the client as a result.

**X**

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Signature of Client/Authorised Signatory(ies)

**AADHAAR UPDATION CONSENT - VOLUNTARY**

To,  
Goldmine Stocks Pvt Ltd.  
Shreyas Crossing  
Ahmedabad-380007

Date :

	Name	Pan	Aadhar Number
1st Holder			
2nd Holder			
3rd Holder			

Request for Aadhaar updation: YES ☐ NO ☐

I/we wish to link my/our Aadhaar Number I/we have no objection in authenticating the same with Aadhaar based authentication system via OTP/Biometric/demographic information. In case of authentication failure with UIDAI records, I/we understand that my/our Aadhaar no. will not be updated in the Goldmine Stocks Pvt Ltd records.

Consent to share Aadhaar details: YES ☐ NO ☐

I/we hereby give my/our consent to Goldmine Stocks Pvt Ltd and its Group Companies to update and share my Aadhaar number and related details obtained from UIDAI through authentication using OTP/Biometric/Demographic information on my behalf with any third party entities like Exchanges, Depositories, KRA, CERSAI, AMC's, PMS, Mutual Funds, Insurer's or any other institution that may be formed in future, or any of its associates or group company etc. where there is a requirement of uploading/updating/modifying the Aadhaar no. in case of any investment or purchase of any product/services from such entities made through Goldmine Stocks Pvt Ltd or in case there is a regulatory requirement for the same or in any other case what so ever.

Also, I/we hereby give my/our consent to Goldmine Stocks Pvt Ltd to share my Aadhaar number and related details obtained from KRA, CERSAI as part of fetching process etc. or any other institution that may be formed in future, or any of its associates or group company etc. with any third party entities like Exchanges, Depositories, KRA, CERSAI, AMC's, PMS, Mutual Funds, Insurer's or any other institution that may be formed in future, or any of its associates or group company etc. where there is a requirement of uploading/updating/modifying the Aadhaar no. in case of any investment or purchase of any product/services from such entities made through Goldmine Stocks Pvt Ltd, or in case there is a regulatory requirement for the same or in any other case what so ever.

x

1st Holder

x

2nd Holder

x

3rd holder

**POWER OF ATTORNEY IN FAVOUR OF GOLDMINE**

THIS POWER OF ATTORNEY made at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_

BY \_\_\_\_\_

and \_\_\_\_\_

residing at \_\_\_\_\_

aged about \_\_\_\_\_ years and \_\_\_\_\_ years respectively having Demat Account No \_\_\_\_\_ (The "Demat Account") with Goldmine Stocks Pvt Ltd

**IN FAVOUR OF****GOLDMINE STOCKS PRIVATE LIMITED**, a company Incorporated under the companies Act, 1956, and having its registered office at "Goldmine House", Near Shreyas Railway Crossing, Ahmedabad-380007 (hereinafter referred to as "Goldmine", which expression shall, unless repugnant to the meaning or context thereof be deemed to mean and include its successors and assigns)WHEREAS as a consideration for the above mentioned services as well as a pre-requisite for fulfilling all the various pre conditions and requirements so as to become a client of **GOLDMINE STOCKS PRIVATE LIMITED**, and to facilitate proper execution of all transactions (including but not limited to transactions for purchase, sale, investment, derivatives including but not limited to, forwards, futures, swaps and options, funded margin, scrips, stocks, bonds, debentures or any other security or financial Instrument hereinafter referred to 'purpose') and to give effect to all the terms of the Client Agreement, I/We am/are desirous of appointing attorney and confer upon it the powers hereinafter stated. The attorney executed is revocable at any time, without notice. Such revocation shall not be applicable for any outstanding Settlement Obligation arising out of the trades carried out prior to receiving request for revocation of Power of Attorney.THEREFORE, BY THIS POWER OF ATTORNEY WITNESSETH I/We hereby nominate, appoint and constitute **GOLDMINE STOCKS PRIVATE LIMITED**, which expression shall, unless repugnant to the meaning or context thereof be deemed to mean and include its succession and assigns as the true and lawful attorney to do the following acts, deeds and things for and on my/our behalf namely :**AUTHORISATION TO GOLDMINE STOCKS PRIVATE LIMITED,**

- 1 To operate, block and/or debit the Demat Account with **GOLDMINE STOCKS PRIVATE LIMITED**, as the case may be to meet all obligations in terms of the Client Agreement for transactions done on the National Stock Exchange of India Ltd(NSE) and/or Bombay Stock Exchange Ltd(BSE) on behalf of me/us and to give other instructions relating to the Demat Account, for any matter concerning the above mentioned 'purpose', including charges for Account Opening.
- 2 To credit the Demat Account with securities due to me/us or debit due to **GOLDMINE STOCKS PRIVATE LIMITED**, by me/us.
- 3 To debit the Demat Account towards securities due to **GOLDMINE STOCKS PRIVATE LIMITED**, and to all obligation in this regard on my/our behalf to **GOLDMINE STOCKS PRIVATE LIMITED**.
- 4 I/We authorise **GOLDMINE STOCKS PRIVATE LIMITED**, to send consolidated summary of my/our scrip wise buy and sell positions taken with average rates to me/us by way of SMS/e-mail on a daily basis notwithstanding any other document to be disseminated as specified by SEBI from time to time.
- 5 I/We authorise **GOLDMINE STOCKS PRIVATE LIMITED** to apply for various products like Mutual Funds, Initial Public Offers (Shares as well as Debentures) rights, Offer of shares ,tendering shares in open offers etc. pursuant to oral / written / electronic instructions given by me / us.
- 6 To ensure that NSE/BSE related margin/delivery obligations arising out of trades executed will be done from/to **GOLDMINE STOCKS PRIVATE LIMITED**, following DematAccounts :

Client ID		Related to Exchange & Segment
IN301645	10000060	Pool Account -NSE
IN301645	10036537	Client Margin Account-NSE Capmkt
IN301645	10036499	Client Margin Account-NSE Capmkt
IN301645	10020770	Client Margin Account-NSE-Future &option
IN301645	10623924	Client Margin Account-NSE Currency Derivatives
IN301645	10150008	Pool Account -BSE
IN301645	10032663	Client Margin Account-BSE CASH
IN301645	10033463	Client Margin Account-BSE CASH
IN301645	10636231	Client Margin Account-BSE F&O

X

First Holder / 1st  
AUTHORISED SIGNATORY

X

Second Holder / 2nd  
AUTHORISED SIGNATORY

X

Third Holder /3rd  
AUTHORISED SIGNATORY



7 Goldmine would return to me/us, the securities that may have been received by it erroneously and /or those securities which are not entitled to be received from me/us.

I/We further agree and confirm that the power of authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me/us & that the said revocation shall be effective from the date on which the revocation notice is received by stock broker in its office at :

**The Compliance Officer,**

**Goldmine Stocks Pvt Ltd**

'Goldmine House',

4, Niranjana Nirakar Society,

Near Shreyas Crossing,

Ahmedabad- 380007.

All disputes arising out of this power of authority shall be subject to the jurisdiction of the city civil court situated at Ahmedabad, Gujarat.

IN WITNESS WHEREOF I/We have hereunto set and subscribed our respective hands

at \_\_\_\_\_ on \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_

NAME

SIGNATURE

First Holder/ \_\_\_\_\_ x \_\_\_\_\_  
1st Authorised Signatory

Second Holder/ \_\_\_\_\_ x \_\_\_\_\_  
2nd Authorised Signatory

Third Holder/ \_\_\_\_\_ x \_\_\_\_\_  
3rd Authorised Signatory

**Witness**

Signature of Witness \_\_\_\_\_

Name of Witness \_\_\_\_\_

Address of Witness \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

I / We accept,

**For, Goldmine Stock PVT. LTD.**

**Authorised Signatory**

Date \_\_\_\_ / \_\_\_\_ / \_\_\_\_

## ALL EXCHANGES RUNNING ACCOUNT AUTHORISATION - VOLUNTARY

1. In order to facilitate operations, I/we authorize you the Stock Broker to maintain a running account with you, instead of settlement to settlement clearance of funds/ securities due to me/us. This authorization is valid and applicable for my/our client account(s) with you for each segment and each Exchange where I/we have opened my/our trading account(s) and any such other segment & exchange that I/We shall opt for trading in future.
2. The pay out of funds/securities may be retained by you and no interest shall be payable by you on such securities /funds so retained. I/We authorise you to appropriate such retained funds and/or securities to meet my/our obligations for margin or for settlement across exchanges, segments and settlements. Only on my/our request(s), you shall make payment out of my/our credit balance(s) to the extent of unencumbered credit balance(s) and shall transfer my/our securities to my/our Demat account(s) out of my/our securities retained by you.
3. I/We authorise you to transfer my/our debit/credit balances in my/our ledger accounts for different segments and for different Exchanges inter se. Such transfer may be affected by journal entry or by actual transfer of funds as may be required
4. I /We also authorize you to consider the funds/securities so retained by you towards collateral margin for allowing enhanced trading limit to me/us.
5. I/We agree that you shall not be liable for any claim for loss of profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such securities/funds under these instructions or otherwise.
6. I/We authorise you to debit and recover depository charges payable by me/us for depository services Rendered by you as DP in respect of my/our beneficiary account(s), out of funds held in my/our Client ledger account(s) in any segment/Exchange.
7. I opt for : Monthly Settlement ☐  
Quarterly Settlement ☐
8. QUARTERLY / MONTHLY SETTLEMENT: I/We understand that, as per regulations, Client's ledger Account with Stock Brokers is required to be settled to zero once in every month or once in every quarter depending upon the preference indicated by the client. I/We request you to settle our ledger account as well as securities account to zero once in every quarter, for all segments taken together or on different dates for different settlements as may be feasible. You may retain such amount of funds and/or securities as would be required to meet obligations on open positions as on the date of settlement and for settlement obligations or margin obligations for ensuing 5 days. I/We undertake to inform you in writing any Discrepancy that I/we may find in statement of account(s) and statement of securities forwarded to me/us pursuant to such settlement(s), within 7 days from the date of receipt of such statements.
9. REVOCATION: I/We understand that, I/we have right to revoke this authorization at any time by sending a written communication to that effect to you.
10. While settling my / our A/c on quarterly / monthly basis, you are hereby authorised to retain balance up to Rs. 10,000/-. In case of credit balance of less than Rs. 10,000/-, no quarterly / monthly settlement may be Done.
11. About Electronic Contract Notes etc. : I/We do hereby request to receive ECN, Statement of accounts, Daily margin statement and such other information/notice etc. to my/our Email ID as mentioned in KYC form, In case of any change , I/We shall promptly communicate in writing to you about the same.



12. I/We do hereby declare and confirm to receive SMS about my/our position, trades, margin, ledger balance and such other brief information as may be voluntarily sent/provided by you on my/our mobile number as mentioned in KYC form. In case of change therein, I/We shall promptly communicate in writing to you about the same.

Yours faithfully,

X

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Signature of Client/Authorised Signatory (ies)

Note: The authorization shall be signed by the client only and not by any of his/her/its authorized person on behalf of the client or any holder of power of attorney.



## LETTER OF OPERATION OF ACCOUNT VOLUNTARY

### For Smoother Account Operations

For the smooth operations of the account, kindly note our following instructions:

#### I. Order

1. I/We shall be giving verbal instructions for placing/modifying/cancelling my/our orders for trade executions, pay- out instructions etc. over telephone or in person and the same shall be binding to me/us.
2. I/we do not require order confirmation/ modification/cancellation slip or trade confirmation slip generated by the trading system.

#### II Communication

In case of any document/ledger/account position/transaction reports etc. are required by me/us, I/we shall obtain the same from your offices or get it collected through my/our representative. I/we am/are aware that you have installed systems and software which enable me/us to access my/our account details/ transaction reports and all matters pertaining to my/our account through internet in a secured manner using our user id and password.

#### III Other Instructions

1. I/We understand that errors might be committed by dealers/ computer operators resulting in punching of wrong client codes while making order entry. Exchange rules provide for modification for such wrongly entered client codes to correct client codes. I/we undertake to sign such papers/documents as may be required for the purpose of authentication for client code modification as and when required.
2. My/our funds lying with you may be used for the purpose of depositing the same with the exchange for the purpose of margin or placing FDR with banks which may be submitted to the exchange/ clearing corporation for margin or used as collateral for obtaining bank guarantees for meeting margin/ additional base capital requirement of exchange/ clearing corporation.
3. I/we authorize you to use securities deposited by me/us with you to further use the same for meeting margin/additional capital requirements of the Exchange by pledging or depositing the same in any manner as may be required.
4. I/we agree that you are authorised to charge delayed payment charges for over due amount @ 1.5% per month.
5. I/We undertake to execute my/our own sale purchase transactions in securities through you and shall not act as unregistered intermediary. I/We shall intimate to you changes in my/our address details, bank details, demat account details etc. as soon as possible.
6. You are authorized to debit and recover charges for depository services from my/our bills, ledger of any Exchange or segment.
7. I/We opt to receive contract notes, margin statement, ledger and other account reports, reports at the time of quarterly account statement, depository transaction and holding statement and other communications on my email id which is provided in client registration form, authenticated by means of digital signature obtained from certified authority designated under the Information Technology Act, 2000.
8. I/We agree that, in case of I/we availing margin limit or exposure limit against securities held in my/our demat account with Goldmine Stocks Pvt. Ltd. Depository Participant, I/we hereby authorise you to withdraw the securities from my demat account as per the Power of Attorney executed by me/us in your favour and place the same as collateral or margin with you.

9. I/We hereby undertake and confirm that I/We will not make any cash payment to the company or its representative under any circumstances and if so any of the Representative/Employee/Authorized Person/subbroker, it shall not be the responsibility of Goldmine Stocks Pvt Ltd. We clearly understand that the company never accepts money in cash.
  10. I/We hereby undertake and confirm that I/We shall deliver shares for pay in and/or margin to the company's margin account and shares will not be delivered to company's Representative/ Employee/Authorized Person Sub broker's account in any Circumstances. I/We shall never hand over blank signed demat instruction and /or cheque to any of company's Representative/Employee/ Authorized Person /Sub broker.
  11. I/We agree that all fines/penalties/charges etc levied upon you by NSE/BSE/MSEI any other Regulatory Authority for my/our transaction/deals/actions/mistakes are recoverable by you from my/our account .
  12. I/We acknowledge that you shall not be liable to provide me/us with any legal ,tax,investment or accounting advice or advice regarding the suitability or profitability of a security or investment .I/We also acknowledge that your employees are not authorized to give any such advice and that I/We shall not solicit or rely upon any such advice from you or any of your employee. I/We agree that in the event of you or any your employee or official providing any information ,recommendation or advice to me/us, I/We may act upon the same at the sole risk and my/our cost and you shall not be liable or responsible with respect to my /our investment decisions and transactions. Your officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of mine/ours.
  13. In the event I/We am /are found to have indulged in any manipulative, fraudulent and /or unfair trade practices or to have committed a breach of the capable laws, regulations. Guidelines, byelaws, by my/our act or omission, whether directly on indirectly, I/We shall be solely liable for the consequences thereof ,including but not limited to financial losses and the penalties ,restrictions or the other action imposed or taken by appropriate authority.
  14. Any communication sent by you to me/us shall be deemed to have been properly delivered or served, even if such communication is returned to you as unclaimed /refused /undelivered, if such communication is returned to you as unclaimed /refused /undelivered, if the same is sent to the ordinary place of residence and /or last known my/our address of the party.
  15. I/We have trading account as well as a Demat account with you for the convenience of payment of all the charges pertaining to my Demat Account, I/We hereby request you to debit my Trading Account .
- I/We agree to inform /update you any change in any or all the details provided to you on time to time
16. I/We shall not hold member responsible for any losses incurred on account of failure of system/Risk management System/Network congestion/loss of connectivity from Dealing office /place to member or from member to the Exchange.
  17. I/We further declare and confirm that the shares/securities provided/being provided to you are generally for the purpose of availing exposure limits/margin limits/towards collaterals in F&O segment of the Exchange and in turn you may deposit /utilise the same for availing exposure from Exchange/clearing house.
  18. I/We have noted that you are doing Proprietary Trading on your own account.
  19. There are no criminal and/or civil cases pending against me/us in any court of law. I/We have never been convicted of any offenses by the police and/or court of law.
  20. There are no actions taken against me by SEBI, Exchange and /or any other regulatory authorities. There are no cases pending against me/us. I will intimate you in case any proceedings get initiated/order against me passed by SEBI, RBI, and/or any other regulatory authorities.
  21. I/We hereby give my consent to validate my Aadhaar Number with UIDAI. Also Update/Link my Aadhaar based



on my PAN in my account(s) and other due diligence purpose in line with PMLA requirements. I also authorise you to download/share my Aadhaar & Associated Demographic information with SEBI Registered Intermediaries likes KRA, Mutual Funds and also with Central KYC Registry.

22. I/We hereby agrees that Stock Broker or the exchnages shall not be liable for non-execution of any order caused due to suspension, interruption, non-availability or malfunctioning of the online as well as offline trading service or the exchange system or services for any reasons whatsoever.
23. In case where the payment by the me/us towards margin/dues is made through cheque in favour of Stock Broker only upon the realization of the funds of the said cheque or at the discretion of the stock broker.
24. I/We shall update my/our financial information on yearly basis and I/We shall provide necessary proof (mandatory in case of F&O, currency segment) i.e Income Tax return, Bank Statement, Annual Accounts, Salay Slip etc. as may be required by you. I/We shall aware that in case of non-submission of above details, my/our trading may be restricted by the stock broker with out any notice. I/We shall not allowed to trade until I/We submit the required financial documents to the stock broker.
25. I/We are aware that as per SEBI circular no. CIR/HO/MIRSD/MIRSD2/CIR/P/2017/108 dated 26.09.2017, All the conversation between me/us/ my/our representative and Goldmine by the way of phone/mobile calls will be recorded by Goldmine and I/We hereby specifically permit the Goldmine to do so. Such recording may be relied upon by Goldmine as valid evidence as and when required and the same shall be produce to the relevant authority/ies.

I/We have thoroughly understood all the terms and conditions of the company and also aware of the rules, regulations and bye laws for dealing in securities market as an investor .I/We shall remain updated on regular basis about the rules and regulation of exchanges, SEBI and all other regulatory authorities.

Thanking you

Yours truly,



---

Signature of Client /  
(all) Authorised Signatory (ies)

**LETTER FOR AUTHORITY FOR TRADING ACCOUNT OPERATION - VOLUNTARY**

To,  
Goldmine Stocks Pvt Ltd.  
Goldmine House  
4, Niranjani Nirakar Society  
Nr Shreyas Crossing  
Ahmedabad-380007.

Ref : My/Our Trading Code \_\_\_\_\_ opened/ to be opened with you.

Dear Sir/Madam,

With reference to above I/We wish to authorize following representative to do all/any of the following on my/our behalf.

1. Placing/modifying/canceling orders on my/our behalf.
2. To receive/send confirmations on my/our behalf for orders placed, modified, cancelled.
3. Acknowledging contract notes issued by you to me/us for my/our trades.
4. All other communications from me/us to you.

Sr. No.	Name of the representative	Signature	Relation, if any
1.			
2.			
3.			
4.			

I/We also undertake to honour all obligations arising out/by virtue of this authority letter and I/We indemnify and shall keep Goldmine Stocks Pvt Ltd. indemnified from any and all costs, losses arising out of such orders.

This authority may be treated as a standing instruction until the same is revoked in writing by me/us

Thanking You,  
I accept

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

X

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

\_\_\_\_\_  
Signature of Client / Authorised Signatory(ies)

Encl : Self attested Identity & Address proof of authorized representative

## DECLARATION BY KARTA

I, \_\_\_\_\_ (Name of the Karta) the Karta of \_\_\_\_\_ Hindu Undivided Family (HUF) do hereby declare that I am the Karta of HUF is authorized to execute & operate the depository account opened with you on behalf of HUF and I state that all the members/coparcener of HUF are jointly and severally responsible for dealing/transaction/ delivery slips that are executed by me on behalf of the HUF and shall abide by the respective Exchange, Bye Laws, and Regulations.

I Further state that I am well aware of the NSDL procedures and shall comply with NSDL provisions under its Byelaws, Rule and Regulations and also provide with the necessary information/details from time to time to the above trading member.

### List of Family Members

Sr. No	Name of Coparcener/Members	Gender	Date of Birth	Relation with Karta	whether Coparcener/Member (Pl. Specify)

Thanking you,

Yours faithfully,



Signature of Karta with HUF stamp



To,  
Goldmine Stocks Pvt Ltd.  
Goldmine House  
4, Niranjana Nirakar Society  
Nr Shreyas Crossing  
Ahmedabad-380007.

Dear Sir / Madam,

**Sub: Acknowledgment and confirmation**

I/ We confirm that, I/we have received the following documents from you and that I/We have read and understood the contents of the same.

1. Index of documents explaining brief significance of the documents.
  2. Rights and obligations of stock brokers, sub brokers and clients including the same related to internet and wireless technology based trading facility provided by the stock brokers to the clients
  3. Risk Disclosure Document for capital market and derivatives segments
  4. Guidance Note-Dos & don'ts
  5. Policies & Procedures
  6. Tariff sheet
  7. Rights & obligation of Beneficial owner & Depository Participant.
- I/We have been explained the above documents as required by me/us. I/We have been informed that these documents are also available on your website [www.goldmine.net.in](http://www.goldmine.net.in)
  - I/We have also been explained all the voluntary documents, their significance and that I/we have right to disagree with all or any of them. Having understood all these documents and after careful evaluation of each of them, I/we have agreed to abide by the said documents. I/We have also put my/our signature(s) wherever required.
  - I/We confirm that I/we have been informed that Goldmine Stock Pvt. Ltd. is engaged in proprietary trading i.e. trading in securities market on its own account.


Yours faithfully,



**First Holder / 1st  
Authorised Signatory(ies)**



**Second Holder / 2nd  
Authorised Signatory(ies)**



**Third Holder / 3rd  
Authorised Signatory(ies)**

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

Date:- \_\_\_\_/\_\_\_\_/\_\_\_\_



## Details of Ultimate Beneficial Owner Including Additional FATCA & CRS Information - Non Individual

Name of the entity

Type of address given at Goldmine ☒ Residential or Business ☒ Residential ☒ Business ☒ Registered Office

"Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes"

Customer ID / Folio Number

PAN  Date of incorporation  DD / MM / YYYY

City of incorporation

Country of incorporation

Entity Constitution Type ☐ Partnership Firm ☐ HUF ☐ Private Limited Company ☐ Public Limited Company ☐ Society ☐ AOP/BOI

Please tick as appropriate ☐ Trust H Liquidator ☐ Limited Liability Partnership ☐ Artificial Juridical Person ☐ FI ☐ FI ☐ FBI-I ☐ FBI-II ☐ FBI-III

☐ Bank ☐ Government Body ☐ Non Government Organization ☐ Defense ☐ Society ☐ Others specify \_\_\_\_\_

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India ☒ Yes ☒ No

(If yes, Please provide countries in which the entity is a resident for tax purposes and the associated Tax ID number below)

Country

Tax Identification Number\*

Identification Type  
(TIN or Other, Please specify)


- In case Tax Identification Number is not available, Kindly provide its functional equivalent.
- In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number Or GHN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

### FATCA & CRS Declaration

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

#### PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1. We are a, GIIN

Financial institution<sup>6</sup> or ☒ Note: If you not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

(please tick as appropriate) ☒ Name of sponsoring entity

GIIN not available (please tick as applicable) ☒ Applied for

If the entity is a financial institution ☒ Not required to apply for - please specify 2 digits sub-category<sup>10</sup>

☒ Not obtained - Non-participating FI

#### PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1. Is the Entity a publicly traded company <sup>1</sup> (that is, a company whose shares are regularly traded on an established securities market)	Yes <input checked="" type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2. Is the Entity a related entity <sup>2</sup> of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input checked="" type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: <input checked="" type="checkbox"/> Subsidiary of the Listed Company or <input checked="" type="checkbox"/> Controlled by a Listed Company Name of _____ Stock exchange _____
3. Is the Entity an active <sup>3</sup> NFE	Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section) Nature of Business _____ Please specify the sub-category of Active NFE <input type="text"/> <input type="text"/> Mention code-refer 2c of part D)
4. Is the Entity a Passive <sup>4</sup> NFE	Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section) Nature of Business _____

## UBO Declaration

**Category** (Please tick applicable category): ☒ Unlisted Company ☒ Partnership Firm ☒ Limited Liability Partnership Company  
☒ Unincorporated association / body of individuals ☒ Public Charitable Trust ☒ Religious Trust ☒ Private Trust  
☒ Others (please specify \_\_\_\_\_)

- Please list below the details of controlling person (s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL tax Identification Numbers for EACH controlling person(s).
- Owner-documented Ffi's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

**Name** - Beneficial owner / Controlling person  
**Country** - Tax Residency  
**Tax ID No.** - Or functional equivalent for each country

**Tax ID Type** - TIN or Other, please specify  
**Beneficial Interest** - in percentage Type  
**Code<sup>11</sup>** - of Controlling person

**Address** - Include State, Country, PIN / ZIP Code & Contact Details  
**Address Type** -

<b>1. Name</b> <b>Country</b> <b>Tax ID No.<sup>*</sup></b>	<b>Tax ID Type</b> <b>Type Code</b> <b>Address Type</b>	<b>Address</b> <div style="display: flex; justify-content: space-between;"> <span>• Residence • Business</span> </div> <div style="display: flex; justify-content: space-between;"> <span>• Registered office</span> </div> <div style="display: flex; justify-content: space-between;"> <span>ZIP <span style="border: 1px solid black; padding: 0 5px;">  </span></span> <span>State: <span style="border: 1px solid black; padding: 0 5px;">  </span></span> <span>Country: <span style="border: 1px solid black; padding: 0 5px;">  </span></span> </div>
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<b># If passive NFE, Please provide below additional details.</b>	<b>(Please attach additional sheets if necessary)</b>
<b>PAN / Any other Identification Number</b> <small>(PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence NREGA Job Card, Others)</small> <b>City of Birth - Country of Birth</b>	<div style="display: flex; justify-content: space-between;"> <div> <b>Occupation Type - Service, Business, Others</b>  <b>Nationality</b>  <b>Father's Name - Mandatory if PAN is not available</b> </div> <div> <b>DOB - Date of Birth</b>  <b>Gender - Male, Female, Other</b> </div> </div>

<b>1. PAN</b>	Occupation Type	DOB DD/MM/YYYY
<b>City of Birth</b>	Nationality	Gender <b>Male</b> <input checked="" type="checkbox"/> <b>Female</b> <input checked="" type="checkbox"/>
<b>Country of Birth</b>	Father's Name	<b>Others</b> <input checked="" type="checkbox"/>
<b>2. PAN</b>	Occupation Type	DOB DD/MM/YYYY
<b>City of Birth</b>	Nationality	Gender <b>Male</b> <input checked="" type="checkbox"/> <b>Female</b> <input checked="" type="checkbox"/>
<b>Country of Birth</b>	Father's Name	<b>Others</b> <input checked="" type="checkbox"/>
<b>3. PAN</b>	Occupation Type	DOB DD/MM/YYYY
<b>City of Birth</b>	Nationality	Gender <b>Male</b> <input checked="" type="checkbox"/> <b>Female</b> <input checked="" type="checkbox"/>
<b>Country of Birth</b>	Father's Name	<b>Others</b> <input checked="" type="checkbox"/>

# Additional details to be filled by controlling person with tax residency / permanent residency / citizenship / Green Card in any country other India:

\* To include US, where controlling person is a US citizen or green card holder

<sup>\*</sup>In case Tax Identification Number is not available, Kindly provide function equivalent

<sup>4</sup>Refer 3(iii) of Part D

<sup>5</sup>Refer 3(iii) of Part D

<sup>11</sup> Refer 3(iv) (A) of Part D

### FATCA - CRS Terms and Conditions

- The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the income -tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.
- Should there be any change in any information provided by you, please ensure you advise promptly, i.e., within 30 days.
- Please note that you may receive more than one request for information if you have multiple relationships with (insert Fi's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.
- If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number.
- It is mandatory to supply a TIN or functional equivalent the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

### Certification

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

Name   
 Designation

X Signature with Stamp
X Signature with Stamp
X Signature with Stamp

Place \_\_\_\_\_

Date \_\_\_\_/\_\_\_\_/\_\_\_\_

**FATCA/CRS Self Declaration Form (for Individuals)**  
**(For DP & Trading)**

*(Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance)*

To,

**Goldmine Stocks Private Limited**

Goldmine House

Shreyas Crossing , Ahmedabad 380007.

<b>Client Id</b>		<b>Trading Code</b>	
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**Part I- Please fill in the country for each of the following:**

	<b>First Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
Country of Birth			
Country of Citizenship			
Country of Residence for Tax purposes			
US Person (Yes/ No)			

**Part II**

- a. If in all fields above, the country mentioned by you is India and if you do not have US person Status, please proceed to **Part III** for signature.
- b. If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country in the table below

	<b>First Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
TIN or Functional equivalent			
Country of Issue			
TIN or Functional equivalent			
Country of Issue			
TIN or Functional equivalent			
Country of Issue			

(In case of multiple TINs, all the TINs to be mentioned)

In case any of the parameters in Part I indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in Part IV.

In case you are declaring US person status as No but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate (Please also fill Part IV Self-Certification)

Reason: \_\_\_\_\_



### **Part III- Customer Declaration**

(i) Under penalty of perjury, I/we certify that:

1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America (U.S.) or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)
2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. (This clause is applicable only if the account holder is a tax resident outside of India)

(ii) I/We understand that the Goldmine Stocks Pvt Ltd is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The Goldmine Stocks Pvt Ltd is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iv) I/We agree that as may be required by domestic regulators/tax authorities the Goldmine Stocks Pvt Ltd may also be required to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

	<b>First Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
Signature	✕	✕	✕
Name			
Date			
PAN Number			

### **Part IV- Self-Certification:**

**To be filled only if-**

- (a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or**
- (b) US person is mentioned as Yes in Part I, and TIN is not available**

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India

	<b>First Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
Signature	✕	✕	✕
Name			
Date & Place			
PAN Number			

(Passport, Election ID card, PAN Card, Driving License, UIDAI Letter, NREGA Job Card, Govt. Issued ID Card)

### **Functional Equivalent of TIN includes the following:**

A social security/insurance number, citizen/personal identification/services code/national identification number, a resident / population registration number, Alien card number, etc.



Second Account Holder

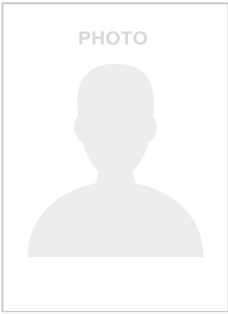
**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**

**Important Instructions :** A) Fields marked with "\*" are mandatory fields. B) Please fill the form in English and in BLOCK letters. C) Please fill the date in DD-MM-YYYY format. D) Please read section wise detailed guidelines / instructions at the end. E) List of State / U.T. code as per Indian Motor Vehicle Act, 1988 is available at the end. F) List of two character ISO 3166 country codes is available at the end. G) KYC number of applicant is mandatory for update application. H) For particular section update, please tick (0) in the box available before the section number and strike off the sections is not required to be updated.

**For office use only** Application Type\* ☐ New ☐ Update  
 (To be filled by financial institution) KYC Number  (Mandatory for KYC update request)  
 Account Type\* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector ) <input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised			

  
 PHOTO  
 Signature / Thumb Impression

☐ **2. TICK IF APPLICABLE** ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked) ☐ YES ☐ NO

ISO 3166 Country Code of Jurisdiction of Residence\*   
 Tax Identification Number or equivalent (If issued by jurisdiction)\*   
 Place / City of Birth\*  ISO 3166 Country Code of Birth\*

☐ **3. PROOF OF IDENTITY (PoI)\*** (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

**4. PROOF OF ADDRESS (PoA)\***

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/>	
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

**Address**

Line 1*	<input type="text"/>														
Line 2	<input type="text"/>														
Line 3	<input type="text"/>														
District*	<input type="text"/>	Pin / Post Code*	<input type="text"/>	State / U.T Code*	<input type="text"/>	ISO 3166 Country Code*	<input type="text"/>								



9. ATTESTATION / FOR OFFICE USE ONLY

Document Required☐ Certified Copies

KYC VERIFICATION & IN-PERSON VERIFICATION (IPV) CARRIED OUT BY

Date

DDMMYYYY

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

GOLDMINE STOCKS PVT LTD

Code

IN0071

[Institution Stamp]

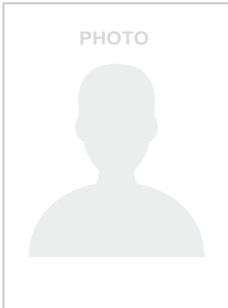
**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**

**Important Instructions :** A) Fields marked with "\*" are mandatory fields. B) Please fill the form in English and in BLOCK letters. C) Please fill the date in DD-MM-YYYY format. D) Please read section wise detailed guidelines / instructions at the end. E) List of State / U.T. code as per Indian Motor Vehicle Act, 1988 is available at the end. F) List of two character ISO 3166 country codes is available at the end. G) KYC number of applicant is mandatory for update application. H) For particular section update, please tick (0) in the box available before the section number and strike off the sections is not required to be updated.

**For office use only** Application Type\* ☐ New ☐ Update  
 (To be filled by financial institution) KYC Number  (Mandatory for KYC update request)  
 Account Type\* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian	<input type="checkbox"/> Person of Indian Origin	
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector )	
	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)	
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorised			

  
 Signature / Thumb Impression

**2. TICK IF APPLICABLE** ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked) ☐ YES ☐ NO

ISO 3166 Country Code of Jurisdiction of Residence\*   
 Tax Identification Number or equivalent (If issued by jurisdiction)\*   
 Place / City of Birth\*  ISO 3166 Country Code of Birth\*

**3. PROOF OF IDENTITY (PoI)\*** (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

**4. PROOF OF ADDRESS (PoA)\***

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/>	
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

**Address**

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin / Post Code*	<input type="text"/>
City / Town / Village*	<input type="text"/>
State / U.T Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

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