



Offering  to your Financial Dreams

ORTEM SECURITIES LTD.

CLIENT REGISTRATION FORM FOR INDIVIDUAL / NON-INDIVIDUAL

Name of the Client : _____

Unique Client Code : _____

Demat Client ID : _____

Branch Code : _____

Activation Date : _____

Authorised By : _____

CHECK LIST FOR ACCOUNT OPENING

FOR INDIVIDUALS

- A) PAN CARD
- B) ADDRESS PROOF - MASKED ADHAAR CARD
- C) RECENT PASSPORT SIZE COLOUR PHOTOGRAPH - 2 NOS.
- D) BANK PASS BOOK / STATEMENT (NOT MORE THAN TWO MONTHS OLD)
- E) CANCELLED CHEQUE
- F) E-MAIL ID & MOBILE NO.

FOR HUFs

- 1. HUF - PAN CARD, BANK STATEMENT, CANCELLED CHEQUE, DECLARATION
- 2. KARTA - PAN CARD, ADDRESS PROOF

FOR CORPORATES

- A) PAN CARD, ADDRESS PROOF OTHER THAN BANK PASS BOOK (COMPANY) - TRADE LICENCE
- B) FORM 18, FORM 32.
- C) CANCELLED CHEQUE
- D) IT RETURN COPY LAST SUBMITTED
- E) LAST TWO YEARS BALANCE SHEET
- F) BOARD RESOLUTION AS PER FORMAT.
- G) LIST OF DIRECTORS WITH NAME, ADDRESS, PAN & DIN NOS
- H) COMPANY SHARE HOLDING PATTERN, REQUIRE PAN CARD OF SHAREHOLDER HOLDING MORE THAN 10% SHARES OF THE APPLICANT COMPANY
- I) PMLA DECLARATION
- J) PAN CARD, RECENT PASSPORT SIZE COLOUR (2 EACH) PHOTOGRAPH & ADDRESS PROOF OF EACH AUTHORIZED DIRECTOR AND AUTHORISED SIGNATORY
- K) MEMORANDUM & ARTICLES OF THE COMPANY
- L) RS. 1000/- + GST CHEQUE IN FAVOUR OF “**ORTEM SECURITIES LIMITED**”
- M) CESSATION CERTIFICATE

NOTE : ALL THE AFORESAID DOCUMENTS SHOULD BE SELF ATTESTED.

ACCOUNT OPENING KIT

Name of Stock Broker / Trading Member / Clearing Member : ORTEM SECURITIES LTD.

SEBI Regn. Nos. and Date : INZ000284334 Dt. 23.09.2019

NSDL - IN-DP-463-2020 Dt. 15.10.1998

Research Analyst - INH300007262 Dt.16.07.2019

Registered & Correspondence Office address :

59, Bentinck Street, 1st Floor, Kolkata - 700 069

Phone : (+91-33) 2236-7725, E.mail : info@ortemsecurities.com

Website : <http://ortemsecurities.com/>, CIN : U67120WB1994PLC062504

Name of Clearing Member (For NSE-F&O & BSE-F&O Segments) : GLOBE CAPITAL MARKET LTD.

SEBI Regn. No. : INZ000177137

Registered & Correspondence Office address :

609, Ansal Bhawan, 16, Kasturba Gandhi Marg, Connaught Place

New Delhi - 110 001, Phone : 3041-2345

E.mail : gdscompliance@globecapital.com, Website : www.globecapital.com

Compliance Officer Name, Phone No. & email ID :

Mr. Ugra Narayan Jha, (+91-33) 2236 7725 (Ext. 114), ugraj@ortemsecurities.com

CEO Name, Phone No. & email ID :

Mr. Sanjay Agrawal, (+91-33) 2236 7725 (Ext. 118), sanjay@ortemsecurities.com

For any grievance/dispute, please contact **ORTEM SECURITIES LTD.** at the above address or email id : investorgrievances@ortemsecurities.com and Phone No. : (033) 2236-7725. In case not satisfied with the response, please contact the concerned exchange(s) / depository at ignse@nse.co.in and Phone No. (022) 2659-8190 for NSE, at is@bseindia.com and Phone No. (022) 2272-8097 for BSE and at relations@nsdl.co.in and Phone No. (022) 4886-7000 for NSDL.

You may also lodge your grievances with SEBI at <http://scores.sebi.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575, 1800 266 7575.

Filing compliant on SCORES - Easy & Quick

- a. Register on SCORES portal
- b. Mandatory details for filing complaints on SCORES
 - i. Name, PAN, Address, Mobile Number, E-mail ID
- c. Benefits:
 - i. Effective Communication
 - ii. Speedy redressal of the grievances

Please refer SCORES website link <https://scores.sebi.gov.in/faqs> and the FAQs available thereon.

If the investor / client is still not satisfied with the outcome, he / she / they can initiate dispute resolution through the ODR Portal. Visit <https://smartodr.in/login> for the Online Dispute Resolution Portal.

ORTEM SECURITIES LTD.

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VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER		
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CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

A Clarification / Guidelines on filling 'Personal Details' section

- 1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory : Mother's name, Spouse's name, Father's name.

B Clarification / Guidelines on filling 'Current Address details' section

- 1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR.
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address':

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.

C Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

D Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only.
- 2 However, in case guardian details are available for minor above 10 years of age. the same (or CKYCR number of guardian) is to be uploaded.

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

Important Instructions:

A) Fields marked with "*" are mandatory fields.

B) Tick '✓' wherever applicable.

C) Please fill the form in English and in BLOCK letters.

D) Please fill the date in DD-MM-YYYY format.

E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.

F) Please read section wise detailed guidelines / instructions at the end.

G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 may be obtained from our office.

H) List of two character ISO 3166 country codes may be obtained from our office.

I) KYC number of applicant is mandatory for update application.

J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.



For office use only

Application Type*

New

Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

Account Type*

Normal

Minor

Aadhaar OTP based E-KYC (in non-face to face mode)

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	<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	
PAN*	<input type="text"/>	<input type="checkbox"/> Form 60 furnished		
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"/> <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			

2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

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

<input type="checkbox"/> A- Passport Number	<input type="text"/>
<input type="checkbox"/> B-Voter ID Card	<input type="text"/>
<input type="checkbox"/> C-Driving Licence	<input type="text"/>
<input type="checkbox"/> D-NREGA Job Card	<input type="text"/>
<input type="checkbox"/> E-National Population Register Letter	<input type="text"/>
<input type="checkbox"/> F-Proof of Possession of Aadhaar	<input type="text"/>
II <input type="checkbox"/> E-KYC Authentication	<input type="text"/>
III <input type="checkbox"/> Offline verification of Aadhaar	<input type="text"/>

PHOTO*

Signature / Thumb Impression

Address

Line 1*

Line 2

Line 3 City / Town / Village*

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

3. CURRENT ADDRESS DETAILS (Please refer instruction **B** at the end)

Same as above mentioned address (In such cases address details as below need not be provided)

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

- A- Passport Number
- B-Voter ID Card
- C- Driving Licence
- D-NREGA Job Card
- E- National Population Register Letter
- F - Proof of Possession of Aadhaar

II E-KYC Authentication

III Offline verification of Aadhaar

IV Deemed Proof of Address - Document Type code

V Self Declaration

Address

Line 1*

Line 2

Line 3 City / Town / Village*

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

4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction **C** at the end)

Tel. (Off) - Tel. (Res) - Mobile -

Email ID

5. REMARKS (If any)

6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Date : - - Place:

7. ATTESTATION / FOR OFFICE USE ONLY

- Documents Received Certified Copies E-KYC data received from UIDAI Data received from Offline verification Digital KYC Process
- Equivalent e-document Video Based KYC

IPV and KYC VERIFICATION CARRIED OUT BY

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **ORTEM SECURITIES LTD.**

Code **IN1227**

[Institution Stamp]



Important Instructions:

- A) Fields marked with "*" are mandatory fields.
- B) Tick '✓' wherever applicable.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please fill the form in English and in BLOCK letters.
- E) KYC number of applicant is mandatory for update application
- F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 may be obtained from our office.
- G) List of two character ISO 3166 country codes may be obtained from our office.
- H) Please read sectionwise detailed guidelines / instructions at the end.
- I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections 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)

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

Name*

Entity Constitution Type* Others (Specify) (Please refer instruction B at the end)

Date of Incorporation / Formation* ----- Date of Commencement of Business -----

Place of Incorporation / Formation* Country of Incorporation / Formation* TIN or Equivalent Issuing Country

PAN * Form 60 furnished

TIN / GST Registration Number

2. PROOF OF IDENTITY (PoI)* (Please refer instruction B at the end)

Officially valid document(s) in respect of person authorised to transact

Certificate of Incorporation / Formation Registration Certificate Regn Certificate No.

Memorandum and Articles of Association Partnership Deed Trust Deed

Resolution of Board / Managing Committee Power of attorney granted to its manager, officers or employees to transact on its behalf

Activity Proof - 1 (For Sole Proprietorship Only) Activity Proof - 2 (For Sole Proprietorship Only)

3. ADDRESS* (Please see instruction C at the end)

3.1 Registered Office Address / Place of Business*

Proof of Address* Certificate of Incorporation / Formation Registration Certificate Other Document

Line 1*

Line 2

Line 3 City / Town / Village*

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

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2

Line 3 City / Town / Village*

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

4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided* may be used) (Please refer instruction D at the end)

Tel. (Off) - FAX -

Mobile - Email ID

Mobile - Email ID

5. NUMBER OF RELATED PERSONS (Please refer instruction E at the end)

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person



Important Instructions:

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

For office use only Application Type* New Update Delete
 (To be filled by financial institution) KYC Number (Mandatory for KYC update and delete request)

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

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

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

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

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

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<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	
Nationality*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
PAN*	<input type="text"/>		<input type="checkbox"/> Form 60 furnished	

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

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

- A- Passport Number
- B- Voter ID Card
- C- Driving Licence
- D- NREGA Job Card
- E- National Population Register Letter
- F - Proof of Possession of Aadhaar
- II E-KYC Authentication
- III Offline verification of Aadhaar



Signature / Thumb Impression

Address

Line 1*
 Line 2
 Line 3 City / Town / Village*
 District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

1.3. CURRENT ADDRESS DETAILS (Please refer instruction E and the end)

Same as above mentioned address (In such cases address details as below need not be provided)

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

- A- Passport Number
- B- Voter ID Card
- C- Driving Licence
- D- NREGA Job Card
- E- National Population Register Letter
- F - Proof of Possession of Aadhaar
- II E-KYC Authentication
- II Offline verification of Aadhaar
- IV Deemed PoA
- V Self Declaration

Address

Line 1*

Line 2

Line 3 City / Town / Village*

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

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction D at the end)

Tel. (Off) - Tel. (Res) - Mobile -

Email ID

2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Signature /Thumb Impression of Applicant

Date : - - Place:

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies E-KYC data received from UIDAI Data received from Offline verification
 Digital KYC process Equivalent e-document

IPV and KYC VERIFICATION CARRIED OUT BY

Date --

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

INSTITUTION DETAILS

Name **ORTEM SECURITIES LTD.**

Code **IN1227**

[Employee Signature]

[Institution Stamp]

Know Your Client (KYC)**Application Form (For Non- Individuals Only)**

Offering Wings to your Financial Dreams

Please fill the form in ENGLISH and in BLOCK letters
Fields marked * are mandatory
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

Application Number: _____

KYC No. : _____ (Mandatory for KYC update request)

Application Type*: New KYC Modification KYC**1. Entity Details** (please refer guidelines)

PAN* _____ Please enclose a duly attested copy of your PAN Card Form 60 furnished
TIN / GST Regn. No. _____

Name* (same as ID proof) _____

Entity Constitution Type _____ Others (Specify) _____ (Please refer Instruction G at the end)

Date of Incorporation* _____ Place of Incorporation* _____

Date of Commencement* _____ Registration Number* _____

Entity Type* Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership
 Trust/Charity/NGO HUF FPI Category I FPI Category II
 AOP Bank Government Body Defence Establishment
 Body of Individuals Society LLP
 Non-Government Organization
 Others _____

Please Tick (✓)

2. Proof of Identity⁺ (please refer the guidelines)

- Officially Valid Document(s) in respect of person authorized to transact
- Certificate of Incorporation/Formation _____ Registration Certificate _____
- Memorandum of Articles and Association Partnership Deed Trust Deed
- Board Resolution Power of attorney granted to its manager, office, employees to transact on its behalf
- Activity Proof –1⁺ (For Sole Proprietorship Only) Activity Proof –2⁺ (For Sole Proprietorship Only)

3. Address Details* (please refer the guidelines)**A. Registered Address***

Line 1* _____

Line 2 _____

Line3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

B. Correspondence/Local Address in India (if different from above)*

Line 1* _____

Line 2 _____

Line3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Applicant Signature

Proof of Address* (attested copy of any one POA to be submitted [†]Not more than 3 months old)

Certificate of Incorporation/Formation
 Registration Certificate
 Other document _____

Latest Telephone Bill[†] (Landline only)
 Latest Electricity Bill[†]
 Latest Bank Account Statement[†]

Registered Lease/ Sale Agreement of Office Premises
Validity/Expiry Date of POA (Expiry Date) _____

Any other proof of address document (as listed overleaf) _____

4. Contact Details

Email ID _____ Mobile No. _____

Email ID _____ Mobile No. _____

Tel (Off) _____ Fax _____

5. Annexures Submitted

Number of Related Persons -

6. Remarks / Additional Information

7. Applicant Declaration

<p>I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.</p> <p>I/We hereby consent to receiving information from KRA and/or CKYC Registry through SMS/Email on the above registered number/Email address</p> <p>DATE: ____ - ____ - ____ (DD-MM-YYYY)</p> <p>PLACE: _____</p>	<p>Applicant Signature</p>
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8. For Office Use Only

In-Person Verification (IPV) & KYC Verification carried out by*	Intermediary Details*
<p>KYC Date _____</p> <p>Emp. Name _____</p> <p>Emp. Code _____</p> <p>Emp. Designation _____</p>	<p><input type="checkbox"/> Self certified document copies received (Originals Verified)</p> <p><input type="checkbox"/> True Copies of documents received (Attested)</p> <p>AMC / Intermediary Name OR Code:</p> <p style="text-align: center;">ORTEM SECURITIES LIMITED</p>
Employee Signature and Stamp	Employee Signature and Stamp

TRADING ACCOUNT RELATED DETAILS - FOR INDIVIDUALS & NON-INDIVIDUALS

BANK ACCOUNT(S) DETAILS		
	First Bank Details	Second Bank Details
Bank Name		
Branch		
Address		
Bank A/c No.		
A/c Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others-In case of NRI/NRE/NRO	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others-In case of NRI/NRE/NRO
MICR No.		
IFSC code		
DEPOSITORY ACCOUNT(S) DETAILS		
	First Demat A/c Details	Second Demat A/c Details
Depository		
Participant Name		
Depository Name	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL
Beneficiary Name		
DP ID		
Beneficiary ID (BO ID)		
TRADING PREFERENCES - Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.		
Exchange	Segment	Signature
NSE & BSE	- All Segments	<input checked="" type="checkbox"/>
	- Cash / Mutual Fund	<input checked="" type="checkbox"/>
	- F&O	<input checked="" type="checkbox"/>
	- SLBS	<input checked="" type="checkbox"/>
If you do not wish to trade in any of segments / Mutual Fund, please mention here _____		

OTHER DETAILS			
Gross Annual Income Details (please specify)			
Income Range per annum	<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lacs-1 crore <input type="checkbox"/> > 1 crore		
Net-worth		as on (date)	
(Net worth should not be older than 1 year)		(dd/mm/yyyy)	
Occupation (Individuals) (Please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others _____		
Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / whole time directors		<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)	
PAST ACTIONS			
Details of any action / proceedings initiated / pending / taken by SEBI / Stock exchange / Commodity 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			
DEALINGS THROUGH AUTHORISED PERSON OR OTHER STOCK BROKERS			
Whether dealing with any other stock broker / AP (in case dealing with multiple stock brokers / APs, provide details of all)			
Name of stock broker			
Name of AP, if any		AP Regn. No.	
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/sub- broker			
ADDITIONAL DETAILS			
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)			
_____, Specify your Email id, if applicable :			
Whether you wish to receive the standard documents - Rights and Obligations, Risk Disclosure Document (RDD) and Guidance note - physically or electronically, (please specify) : _____			
Please note that these documents are also available in certain vernacular languages on demand.			
Whether you wish to avail of the facility of internet trading / wireless technology (please specify)			
<input type="checkbox"/> YES <input type="checkbox"/> NO			
Number of years of Investment / Trading Experience			
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others			As per Annexure
Any other information			

INTRODUCER DETAILS (optional)	
Name of the Introducer	
	(Surname) (Name) (Middle Name)
Status of the Introducer	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client
	<input type="checkbox"/> Others, please specify
Address and Phone No. of the Introducer	
Signature of the Introducer	

DECLARATION

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

Place : _____

Date : _____



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

ANNEXURE

DETAIL OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS AND PERSONS AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF COMPANY / FIRM / OTHERS

Particulars	1st	2nd	3rd
Designation			
Name			
PAN			
DIN / UID			
Residential Address			
Photograph	Please affix your recent passport size photograph and sign across it <input checked="" type="checkbox"/>	Please affix your recent passport size photograph and sign across it <input checked="" type="checkbox"/>	Please affix your recent passport size photograph and sign across it <input checked="" type="checkbox"/>

Use additional sheets, if necessary.

FORM FOR NOMINATION

I/We wish to make a nomination. [As per details given below]			
Nomination Details			
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.			
Nomination can be made upto three nominees in the account	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
Mandatory Details			
1 Name of the Nominee(s) (Mr./Ms.)*			
2 Share of each Nominee Equally [If not equally, please specify percentage]	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.			
3 Relationship with the Applicant (if any)			
Non-mandatory Details			
4 Address of Nominee(s) / Guardian in case of Minor City / Place State & Country PIN Code			
5 Mobile / Telephone No. of Nominee(s) / Guardian in case of Minor			
6 Email ID of Nominee(s) / Guardian in case of Minor			
7 Nominee / Guardian (in case of Minor) Identification Details [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

Name and Signature of Holder(s)*

1 ✓

(Sole / First Holder)

2 ✓

(Second Holder)

3 ✓

(Third Holder)

MANDATORY

	Name(s) of holder(s)	Signature(s) of holder*
Sole / First Holder (Mr./Ms.)		✓
Second Holder (Mr./Ms.)		✓
Third Holder (Mr./Ms.)		✓
Witness		
Signature _____		
Name _____		
Address _____		

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.

Notes : This nomination shall supersede any prior nomination made by the account holder(s), if any.
The Intermediary shall provide acknowledgement of the Nomination Form to the account holder(s).

DECLARATION FOR OPTING-OUT OF NOMINATION

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio/ demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account.		
Name and Signature of Holder(s)*		
1 ✓	2 ✓	3 ✓
(Sole / First Holder)	(Second Holder)	(Third Holder)
Witness		
Signature _____		
Name _____		
Address _____		

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

	Documents verified with Originals	Client Interviewed 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 my/our website, if any, for the information of the clients.

Signature of the Authorised Signatory

Date : _____

Seal/Stamp of the stock broker

INSTRUCTIONS / CHECK LIST

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

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

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

- Copy of cancelled cheque leaf / pass book / bank statement specifying name of the constituent, MICR Code or / and IFSC Code of the bank should be submitted.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals :
 - Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker / sub-broker's office.
 - In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
- For non-individuals :
 - Form need to be initialized by all the authorized signatories.
 - Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company / firm / others and their specimen signatures.

MANDATORY

POLICY ON FREEZING / BLOCKING CLIENT ACCOUNT

1. **Background** : SEBI vide circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 and NSE Circular no NSE/INSP/61529 Dated April 08, 2024 regarding Framework for Trading Members to provide the facility of voluntary freezing/blocking of online access of the trading account to their clients.

It is pertinent to mention that:

- a. Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of the Trading Member.
 - b. The request for freezing/ blocking does not constitute request for marking the client's Unique Client Code (UCC) as inactive in the Exchange records.
2. In view of the above the company has framed the following policy governing the outline of the modus operandi. In addition to branch trading the company is extending the facility of internet trading through browser based and EXE based followed by mobile trading. Presently we will be providing the following method of communications through which the client may request for voluntary freezing/ blocking of the online access of trading account if any suspicious activity is observed in the trading account: -
 - a) Email from registered e-mail ID: A dedicated email ID stoptrade@ortemsecurities.com has been opened where client can send their request for freezing/ blocking from their email ID registered with us. Clients are requested to send their freezing/ blocking request without any ambiguity along with UCC. Similarly, for un-freezing/ un-blocking, clients are requested to send their request at the email ID stoptrade@ortemsecurities.com from their registered email ID mentioning the same. Request sent for such freezing/ blocking and un-freezing/ un-blocking may not be addressed by the company if it is not sent from client's registered email ID or sent to any other email ID of the company.
 - b) SMS from registered mobile number: A dedicated mobile number 90733-29271 has been assigned where client can send their request for freezing/ blocking from their mobile number registered with us. Clients are requested to send their freezing/ blocking request in the following manner:
 - For freezing/ blocking type: **"BLOCK" FOLLOWED BY UCC WITHOUT SPACE** Example: if your UCC is A123 then message will be **"BLOCKA123"** and send it to 90733-29271.
 - For un-freezing/ un-blocking type: **"UNBLOCK FOLLOWED BY UCC WITHOUT SPACE"** Example: if your UCC is W114X100 then message will be **"UNBLOCKW114X100"** and send it to 90733-29271.

Request sent for such freezing/ blocking and un-freezing/ un-blocking may not be addressed by the company if it is not sent from client's registered mobile number or sent to any other mobile number of the company.

3. The company shall take the following actions on the receipt of such request through any modes of communications for freezing/blocking of the online access of the trading account from the client:
 - Verify whether request is received from the registered mobile number/e-mail ID of the client;
 - Freeze / block the online access of the client's trading account and simultaneously cancel all the pending orders, if any, of the said client.
 - Issue the acknowledgement to the registered email ID or mobile number of the client stating that the online access to the trading account has been frozen / blocked and all the pending orders in the client's trading account, if any, have been cancelled.
 - Details of open positions (if any) would also be communicated to registered email ID of the client along with contract expiry information within one hour from the freezing/blocking of the trading account.
 - The timelines for freezing/ blocking of the online access of the clients' trading account is as under:

Scenario	Timelines for issuing acknowledgements as well as freezing / blocking of the online access of the trading account.
Request received during the trading hours and within 15 minutes before the start of trading hour.	Within 15 minutes of receiving the request.
Request received after the trading hours and 15 minutes before the closure of trading hour.	Before the start of next trading session

4. The company shall maintain the appropriate records/logs including request received to freeze/block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, and sent them to the clients for the time limit as prescribed by the Regulator.
5. **Re-enabling the client for online access of the trading account:** - The Trading Member shall re-enable the online access of trading account after carrying out necessary due diligence including validating the client request and unfreezing / unblocking the online access of the trading account.

Signature of the Client

Most Important Terms and Conditions (MITC)

As required by SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/180 dt.13.11.2023
(For non-custodial settled trading accounts)

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

Signature of the Client

POLICIES AND PROCEDURES

A. Refusal of orders for penny stocks

The typical “penny stock” is a very small company with highly illiquid and speculative shares. They trade at a relatively low price and market capitalization. The company’s policy is to classify the following stocks as “penny” stocks :

- a. All stocks having current market price upto Rs.10.
- b. All stocks classified as Illiquid Securities as per Exchanges’ circulars from time to time.

An order for penny stock trading may be denied

1. If applicable exposure limit / market wide position limit / trading member position limit / client wise position limit will be exceeded.
2. If trading debarred / banned by any regulatory authority.
3. If trade pattern is objectionable (also includes frivolous, vexatious and malicious)
4. If otherwise not permissible under our Risk Management policy / Anti money laundering policy/ any other policy for the time being in force.
5. If 100% upfront margin is not paid or the securities are not to be delivered in Demat form.
6. Where circumstances appear to justify such action or on reasonable grounds.

We shall not be held liable for restricting / prohibiting trade in penny stocks at any time. Also the Client shall indemnify us in respect of any loss caused to us by virtue of the Client trading in penny stock.

B. Setting up Client’s Exposure limit

Clients will be granted turnover and exposure limits on the basis of available deposits being sufficient to cover upfront margin requirements.

- a. Deposits to
 - include margins specifically deposited by the clients
 - include what is withheld from settlement obligations as margin on payout.
 - exclude what is ploughed back from margin to meet settlement obligation on pay in.
- b. Deposits may be made available in the form of cash, FDR, BG, Margin pledge of securities/ other acceptable collaterals.
- c. In case of cheques, they must come from client’s designated bank account only. Depending upon the circumstances, the Risk Manager will be at liberty to give benefit / credit for cheques only on realization of funds.
- d. Haircuts will be applicable on the non cash component (other than Cash / BG/ FDR) of deposits at rates specified by Exchanges from time to time.
- e. Cash and Non cash component (after haircut) of deposits must be maintained in a specified ratio. Any non cash component in excess of specified proportion of cash component will not be reckoned. This specified ratio will depend upon the Credit Rating of the client from Risk Manager.

In case of derivatives, Clients shall be allowed to trade only upto the applicable clientwise position limits set by the Exchanges / Regulators from time to time.

The exposure limits set by ORTEM does not by itself create any right for the Client and are liable to be withdrawn at any time without notice and the client shall bear the loss on account of withdrawal of such limits. The client agrees to compensate ORTEM in the event of ORTEM suffering any loss, harm or injury on account of exposure given and / or withdrawn.

C. Applicable brokerage rate

- a. Brokerage on option contracts will be charged on the Premium amount.
- b. Brokerage rates not to exceed 2.5% of the contract price exclusive of statutory levies.

Exclusions:

- o In case of options, brokerage shall not exceed higher of 2.5% of premium amount or Rs. 100 per lot.

- o Where sale / purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.
- c. Brokerage rate will be mutually decided before the onset of trading. Any change in future can only have prospective effect and must be effected in writing.

D. Imposition of Penalty / Delayed Payment Charges

Penalties will be levied on clients for :

- a. A violation by the client of the requirements / stipulations of Exchanges / any Regulatory Authority.
- b. His trading pattern been objectionable (includes disturbing fair price determination in the market or resorting to unfair trade practices).
- c. His suspension of information / providing false information.

Further, any penalty / fine / charge imposed on us by Exchanges / any Regulatory Authority shall be fully recoverable from the client and the client will have to bear the same.

Cheque Return Charges will be collected from Clients at actual.

Any relaxation of the penalty on a client will require the Board's specific approval which may grant the same depending on the circumstances on case to case basis. Any such relaxation in a case no way entitles any client to seek relaxation in the same circumstances, either then or in future.

Clients to note : Ignorance of law is no excuse at law.

E. Right to sell clients' securities or close clients' positions, without giving notice to the client

Any failure on part of a client to pay the whole of the margin deposit and/or settlement obligation requirements, within the time permitted by the Rules and Regulations of Exchanges/ Regulatory Authorities, will entitle us to, without any notice to the client:

1. Withdraw trading facility from the client.
2. Square off / close-out all or any part of outstanding positions of client forthwith or any time thereafter, at our discretion, to the extent possible, by placing at the Exchange, counter orders. Such close-out/ square off shall be limited to the extent of client's margin/ settlement obligations.
3. Sale all or any part of client's securities held in CUSA forthwith or any time thereafter at our discretion. Such close out shall be limited to the extent of client's margin / settlement obligations.
4. Invoke Margin Pledge.
5. Invoke BG / FDRs deposited with us.
6. Use other risk containment measures as may be deemed fit and appropriate under the circumstances.
7. Impose penalties / delayed payment charges / other disciplinary action fit and appropriate.

Though it will be our sincere effort to timely notify the client of the shortfall and give him reasonable time to make good the shortfall, this is a not a pre-condition to the exercise of the above rights, and the client should be aware of the timeliness of meeting obligations himself.

The Risk Manager will consider the credit risk rating of the client and take all or any of above measures in a manner a man of just and reasonable mind would have done under the circumstances. The action shall be final and binding on the client and any profit / loss shall be borne by the client only.

In case of cheques, they must come from client's designated bank account only. Depending upon the circumstances, the Risk Manager will be at liberty to give benefit / credit for cheques only on realization of funds. He will be exclusively guided by a risk containment focus and protection of company's interest. Clients are therefore advised to keep sufficient margins well in advance.

We reserve the above right, however, we are not obliged to close clients' positions / sell clients' securities, and it shall be the continued responsibility of the client to make payments towards outstanding dues/ obligations and / or applicable margins to ORTEM in time.

F. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client

- a. When a ban of fresh position is in force in any security, no further position is allowed. In case a position has already been inadvertently taken, the existing position may be closed.
- b. In case of non-payment of dues – margin (which includes additional margins as and when levied) and settlement obligations (which includes daily MTM settlement of future contracts, final settlement of future contracts, premium settlement of option contracts, and exercise settlement of option contracts after commission, fees, and/or charges).
 - Margin requirement will be computed on a real-time basis.
 - Initial margin component is required on an upfront basis.
 - Depending upon the circumstances, the Risk Manager will be at liberty to give benefit / credit for cheques only on realization of funds.
- c. If we are in close-out mode for any reason / if we are disabled for any reason.
- d. If the trading pattern is objectionable (includes disturbing fair price determination in the market or resorting to unfair trade practices).
- e. In case violation of any directive / regulation/ laws / bye-laws of Exchanges / Other Regulatory Authorities will result or have resulted.
- f. Where the client is unable to provide funds / securities in a manner that can be transferred to the exchange immediately for pay-in / margin obligations.
- g. In the event of death or insolvency of the client or his / its otherwise becoming incapable of receiving / paying for any contracts which the client has ordered to be bought or sold, or of delivering or transferring securities.
- h. On failure to comply with any of the provisions relating to delivery, payment and settlement of deals or any failure to fulfill the terms and conditions subject to which the deal has been made.
- i. If applicable exposure limit / market wide position limit / trading member position limit / client wise position limit will be exceeded or has exceeded.
- j. In case of high market volatility, where the current margins of the clients with us does not cover the value at risk of the client.
- k. If otherwise not permissible under our Risk Management policy / Due diligence policy / Anti money laundering policy/ any other policy for the time being in force.
- l. Where circumstances appear to justify such action or on reasonable grounds.

Besides restricting further trades/ closing existing trades, other measures as may be deemed fit may further be taken.

Any profit / loss on closing out shall be borne by client only.

G. Internal shortages of securities

If securities are not received in our Pool A/c from the selling client before the pay in date but there is no failure to meet securities obligations towards the Exchange, i.e., there is an instance of internal shortage, the following procedure will be adopted.

1. There will be a buying-in of shares against the selling client through a “deemed auction” for the benefit of buying client. The buying-in shall be from the market and may be with or without the notice of the client.
2. If for any reason whatsoever there couldn't be a buying-in on T+1 day, the shares will be deemed to be closed on T+1 day using the following valuation:

Higher of :

- a. Highest price from the 1st day of the relevant trading period till the date of close out.
- b. Closing price on the auction day (T+1) plus 5%.

The selling client will be debited for “deemed auction” price / “close out” price. In case of close out, the buying client shall be credited for the close-out price.

Any loss of corporate benefit to the buyer of the securities shall be recovered from the defaulting seller's account.

H. Temporarily suspending or closing a client's account at the client's request

A client may give a written request for temporarily suspending/ closing his account. The request will be processed within a maximum of 2 working days from the date of receipt of the request provided:

- a. He doesn't owe us any money across all segments / Exchanges on any account.
- b. There are no outstanding / open positions of the client.

During such suspension, the client will not be in a position to trade with us. The suspension may be revoked by a request in writing from the client. This request will be processed within a maximum of 7 working days from the receipt of the request provided:

- a. He fulfills latest KYC standards applicable then.
- b. He provides any additional information that may be required by us / Regulatory Authorities then.
- c. He has not been debarred from trading by any Authority meanwhile.
- d. His conduct, till date, has been fair, honorable and just.

Notwithstanding any such suspension / closure, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to such closure / suspension shall continue to subsist and binding on the client.

I. Deregistering a client

Deregistering a client shall mean complete termination of his trading agreement (irrespective of segment / exchange) with us. Once deregistered, a client will not be entertained back for fresh registration for at least 1 year.

Deregistration can be initiated on client's specific written request provided full and final settlement of all his accounts with us both for funds and securities have been effected.

Deregistration can also be initiated by us in the following situations :

1. He is guilty of breach of terms and conditions of the Member Client Agreement.
2. If he is guilty of contravention, non-compliance, disobedience, disregard or evasion of any of the Bye laws, Rules and Regulations of the Exchange / Clearing Corporation / Other Regulatory Authorities or of any of their Resolutions, Orders, Notices, Discretions, decisions or rulings.
3. If he is guilty of any conduct, proceeding or method of business which is deemed dishonorable, disgraceful or inconsistent with just and equitable principles or detrimental to the interests of Ortem Securities Ltd. or prejudicial or subversive to its objects and purposes.
4. His financial condition is found to be unsatisfactory to the extent that he cannot be permitted to do business with safety to ourselves.
5. He is otherwise not incapacitated to deal in securities / derivatives contracts.

Such deregistration shall not affect our rights against such client to recover any dues against him, i.e., our right as a creditor shall remain unaffected. Also the deregistered client shall be bound to fulfill deals and obligations outstanding at the time of his deregistration.

The above Policies and Procedures are subject to change / updation from time to time. The updated Policies and Procedures shall be posted on the website <http://ortemsecurities.com/>. Clients are requested to refer to the updated Policies and Procedures and abide by the same.

TARIFF SHEET

A. BROKERAGE

	%	Min. Paisa	Min. Per Lot
1. Capital Market Segment			
Square up Brokerage			Not Applicable
Delivery Brokerage			Not Applicable
2. Futures & Options Segment			
Brokerage in Futures			
Brokerage in Options			
3. Securities Lending & Borrowing Scheme			
First Leg			
Reverse Leg			



Signature of the Client

Disclosure of Proprietary trading pursuant to SEBI Circular No. : SEBI/MRD/SE/Cir-42/2003 dated 19th Nov., 2003, NSE Circular No. : NSE/INVG/PRE/2003/16 dated 25th Nov., 2003 and BSE Notice No. 20031125-7 dated 25 November, 2003:

We, **ORTEM SECURITIES LTD.**, are also engaged in Proprietary trading apart from Client based business.

AUTHORITY LETTER FOR RUNNING ACCOUNT OF FUNDS

Date : _____

To

ORTEM SECURITIES LIMITED

59, Bentinck Street, 1st Floor

Kolkata - 700 069

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds on my/our behalf without settling the account on settlement of each transaction. As required by SEBI circular my/ our funds at EOD shall be upstream to CC/CM on daily basis. Further, any request made for release of funds shall be proceed within same day if request is made by 3.30 P.M. and on the next trading day if request is received after 3.30 P.M.
2. I/we understand and agree that no interest will be payable to me/us on the funds so retained with you.
3. I/we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard I/we hereby authorize **Ortem Securities Ltd.** to act at its discretion of adjusting any credit balance under my/ our various accounts against the debit in any account across segments/Exchange, without taking any further instruction from me/us.
4. Excess margins deposited towards one exchange / segment may be adjusted, on a running basis towards margin requirement / debit balance in same / other exchange / segment, where I/we have the client account.
5. I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
6. I / we hereby authorize you to deposit my / our funds deposited as margin to exchange / Clearing Corporation.
7. I/we may revoke the authorisation at any time by giving a written notice.
8. I/we also agree that the actual settlement of fund shall be done by us, at least once in a quarter or month, as preference given below and the statement of account for the same will be provided to me by **Ortem Securities Ltd.**
9. I/we agree that fund given towards collaterals/margins in form of bank guarantee (BG) / Fixed Deposit Receipts (FDR) may not be periodically settled.
10. I/we agree that (a) in respect of derivatives market transactions, the Trading member may retain funds calculated in the manner specified below:
 - i) Entire pay-in obligation of funds outstanding at the end of day on date of settlement, across all segments.
 - ii) Member may retain 50% of end of the day (EOD) margin requirement as cash margin, excluding the margin on consolidated crystallized obligation/ MTM.
 - iii) Apart from 50% cash margin mentioned in point ii above, member may also retain 225% of EOD margin (which includes additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the clients by way of 'margin pledge' created in the Depository system for the purpose of margin and value of commodities (after applying appropriate haircut). The margin liability shall include the end of the day margin requirement in all the segments across exchanges excluding the margin on consolidated crystallized obligation/ MTM. The margin liability may also include the margin collected by the Member from their clients as per the risk management policy and informed to the clients.
11. I/we agree/understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.
12. I/we shall bring any dispute arising from the statement of account or settlement so made to the Notice of the Trading Member preferably **within 30 working** days from the date of receipt of funds statement as the case may be.

PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT (FUNDS & SECURITIES)		
Settlement Preferences	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly

Thanking you,

Yours truly,



Signature of the Client
VOLUNTARY

MANDATE FOR ELECTRONIC COMMUNICATION

Dated : _____

To
ORTEM SECURITIES LIMITED
59, Bentinck Street
1st Floor
Kolkata - 700 069

Sir,

This has reference to the facility of receiving contract notes and other documents in Electronic form issued by you in compliance with regulations and guidelines issued by SEBI and Stock Exchanges. I / We understand that ECN are valid legal contract notes as per Stock Exchange / SEBI Rules and recognized under Income Tax Act, as well as other Acts in India.

Therefore, the ECN shall be an accepted form of Contract Note to me / us and should be mailed to the following Email ID(s) :

E-mail Id (a) _____ _____
(Primary - compulsory) Signature of Client

(b) _____ _____
(Alternate - optional) Signature of Client

I / We wish to inform you that I / We would like to avail of this facility. In this regard we state the following :

1. This is to further confirm that it will be my / our responsibility that my / our Email ID is active and mail box is not full and the non-receipt of the bounced mail notification at your end shall amount to delivery of the ECN at my / our Email ID.
2. I / we undertake to check the ECNs and discrepancy if any shall be brought to your notice within 24 hours of the issuance of contract notes.
3. You are authorized to send me / us account statement / other documents / other notices / correspondence periodically through the same channel.
4. I / we undertake that any change in my / our Email ID shall be communicated to you in writing through a physical letter.

Kindly take the above into your record and oblige.

Thanking you,

Yours truly,



Signature of Client

Name : _____

LETTER OF AUTHORITY

Date : _____

To
ORTEM SECURITIES LIMITED (ORTEM)
59, Bentinck Street
1st Floor
Kolkata - 700 069

With reference to my/our registration as your client for trading in NSE and / or BSE, I / We hereby unconditionally and irrevocably undertake and agree that :

1. Excess Margins deposited towards one exchange/segment may be adjusted, on a running basis, towards margin requirement/debit balance in same / other exchange/segment where I/We have the client account.
2. If I/We fail to make payment of consideration to ORTEM in respect of anyone or more securities purchased by me/ us before the pay-in date notified by the exchange from time to time, ORTEM shall be at liberty to sell the securities received in pay-out, in proportion to the amount not received, after taking into account any amount lying to my/our credit, by selling equivalent securities at any time on the Exchange. I/We agree that the loss, if any, on account of such sale shall be to my/our account.
3. If I/We fail to deliver any one or more securities to ORTEM's pool account in respect of the securities sold by me/ us before the pay-in date notified by the Exchange from time to time, such un-discharged obligation in relation to delivering anyone or more securities shall be deemed to have been closed out at the auction price or close-out price, on the date of pay-out in respect of the relevant securities, declared by the Exchange. I / We further agree that the loss, if any, on account of the close out shall be to my/ our account.
4. ORTEM may pledge securities received from me/ us or purchased through ORTEM lying in my/ our account to the Stock Exchange(s) / NSCCL or their custodian appointed by them for the purpose of margin and/ or to facilitate my / our transaction in the normal course of securities business. Further, ORTEM shall release the securities to me/ us on my/ our request, if the same is releasable to me/ us.
5. Till I / We make payment of consideration to ORTEM for my/our purchase of securities, the shares will be in lien of ORTEM and ORTEM will be at liberty to pledge such securities to any bank or the exchange. Once such payment is made by me / us, ORTEM will transfer the securities to my/our account.
6. I/We agree to abide by client level position limit and authorize you not to increase our open position beyond the stipulated limit, and if inadvertently exceeded, to actually reduce and bring it within acceptable limits. I / We further authorize you to debit me / us for any penalty imposed @ 18% p.a. on me / us for my / our violation towards position limit.
7. All the trades done by me/us through you shall be completely on my/our behalf and I/We undertake that I/We shall not act as an unregistered sub-broker of **Ortem Securities Ltd.**

Thanking you

Yours truly,



Signature

CONSENT LETTER FOR EMAIL AND MOBILE ALERT FACILITIES

Dated : _____

To
ORTEM SECURITIES LIMITED
 59, Bentinck Street
 1st Floor
 Kolkata - 700 069

Sir,

This is with reference to my/our trading account opened with you. I/we request you to arrange facility of receiving email and/or mobile alert facility issued by Exchange in compliance with regulation and guidelines issued by concerned authorities from time to time.

Email Facility	Service Required - YES <input type="checkbox"/> NO <input type="checkbox"/>
Email ID	
Owned by - Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	<input checked="" type="checkbox"/>
SMS Facility	Service Required - YES <input type="checkbox"/> NO <input type="checkbox"/>
Mobile Number	
To receive Research / Compliance related updates on WhatsApp Group	YES <input type="checkbox"/> NO <input type="checkbox"/>
Owned by - Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	<input checked="" type="checkbox"/>

* Please specify the Name and PAN detail in case email id and/or Mobile Number is other than that of the client.

In this regards we state the following :

1. This is to further confirm that it will be my/our responsibility that my/our Email ID and/or Mobile Number are active and the relevant Inbox is not full. Further, the trading member will not be held liable for the mails and / or SMS alert not received.
2. I/we undertake that any change in my/our Email ID and/or Mobile Number shall be communicated to you in writing through a physical letter.
3. I/we agree that this authority shall be valid, until it is revoked by me/us at any time by giving a written notice to **Ortem Securities Ltd.**



 Signature of Client

VOLUNTARY

Voluntary information provided by the client in relation to the Prevention of Money Laundering Act, 2002

Name of the Client : _____

If Business / Profession : Nature of business : _____

Industry : _____

Details of my/our Relatives, having account with **Ortem Securities Ltd.** :

Name	Relationship	UCC (Client Code)
1.		
2.		
3.		
4.		

Details of the Corporate / Partnership Firm / Trust etc. where I/We am/are affiliated

Name	Entity Type	Nature of Business	Relationship	UCC (Client Code)
1.				
2.				
3.				
4.				

I/We hereby submit and agree to submit every year following documents to **Ortem Securities Ltd.**, before the due date as prescribed by **Ortem Securities Ltd.** :

1. Profit and Loss Account & Capital Account
2. Balance Sheet
3. Self attested copy of Income Tax Return (If return not available, I/we will furnish Form 16)
4. Copy of Form 16 in case of Salary Income
5. Any other document providing financial details of the client

I/We confirm that I/We will immediately inform **Ortem Securities Ltd.** in case I/We am/are convicted under any grounds or any action is taken against me/us by any authority(ies).

I/We intend to invest in the stock market with : Own Funds Borrowed Funds

(If Borrowed Funds, then please specify below Sources of funds :)

Sources of Borrowed Funds (if any)	Amount (₹)

(Certificated / Opinion Report from the Banker / Financial Institution confirming that there has been no default in the client's account is to be attached, which I/We agree to attach herewith.)

I/We hereby declare that I/We am/are beneficial owner of the Trading / On-line account opened with , and that I/We am/are investing my/our own funds with **Ortem Securities Ltd.**



Client Signature _____

Client's Name _____

For Office use only :

Risk categorisation of client as per PMLA, 2002 :

High Risk Medium Risk Low Risk

Verified by : _____

Authorised & Approved by : _____

FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATES

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF _____ Ltd. AND HAVING ITS REGISTERED OFFICE AT _____ HELD ON _____ DAY OF _____ 200 AT _____ A.M./P.M

RESOLVED THAT the Company be registered as Client with **Ortem Securities Ltd.**, Member of National Stock Exchange of India Ltd. (NSE) and BSE Limited (BSE) for the purpose of dealing in Cash Segment and F&O Segment or any other segment and the said Member be and is hereby authorised to honour instruction oral or written, given on behalf of the Company by any of the undernoted authorised signatories :-

<u>Sl. No.</u>	<u>Name</u>	<u>Designation</u>
1.	_____	_____
2.	_____	_____
3.	_____	_____

who are authorised to sell, purchase, transfer, endorse, negotiate and/or otherwise deal with/through deal through **Ortem Securities Ltd.** on behalf of the Company.

RESOLVED FURTHER THAT Mr. _____ and/or Mr. _____ Directors and / or Mr. _____ Authorised Signatory of the Company be and are hereby authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may deemed necessary or expedient to open account and give effect to this resolution.

AND RESOVED FURTHER THAT, the Common Seal of the Company be affixed, wherever necessary, in the presence of any Directors or of any one Director and Company Secretary, who shall sign the same in token of their presence.”

For _____ Ltd.

Chairman/Company Seceretary

Specimen Signatures of the Authorised Persons

<u>Sl. No.</u>	<u>Name</u>	<u>Specimen Signatures</u>
1.	_____	<input checked="" type="checkbox"/>
2.	_____	<input checked="" type="checkbox"/>
3.	_____	<input checked="" type="checkbox"/>

The above signatures to be attested by the persons signing the resolution for account opening on behalf of the Company.

DECLARATION OF ULTIMATE BENEFICIAL OWNERSHIP

(Mandatory For Non-Individuals)

Investor Name _____ PAN _____

Part I - LISTED COMPANY / ITS SUBSIDIARY COMPANY [If applicable, Part II Not Applicable]

We hereby declare that the Applicant/ Owner of the controlling interest in the applicant

- is a Company listed on a Stock Exchange
- is a majority-owned subsidiary of a Company listed on a Stock Exchange

Name of the holding/ parent company (with % share) _____

Name of such Listed Company (if not the Applicant itself) _____

Stock Exchange where listed _____ Security ISIN _____

Part II - OTHER THAN LISTED COMPANY / ITS SUBSIDIARY COMPANY

Name & Address of the Ultimate Beneficial Owner [UBO]	PAN or any other identification proof where PAN not applicable	Country of tax residency	% of beneficial interest in the Applicant	Whether Politically Exposed?	UBO Code (see instruction next page)
(1)					
(2)					
(3)					

If UBO is already KYC compliant, KYC complied proof to be enclosed. Else PAN or any other valid identity proof and address proof must be attached (self certified by the UBO and certified by the Applicant)

Part III - DECLARATION

<p>We understand that Ortem Securities Ltd. is relying on this information for the purpose of determining the beneficial ownership of the account. We certify that the information we provided on this form is true and complete to the best of our knowledge and belief. We agree to submit a new form within 30 days if any information or certification on this form gets changed.</p>	<div style="display: flex; align-items: center; justify-content: center;"> <input checked="" style="width: 20px; height: 20px; margin-right: 10px;" type="checkbox"/> <hr style="width: 80%; border: 0.5px solid black;"/> </div> <p>Authorised Signatory [with seal]</p> <p>Date : _____ Place : _____</p>
---	---

In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit.

GENERAL INFORMATION & INSTRUCTIONS

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

Ultimate Beneficiary Owner [UBO]:

A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
 - more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
 - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
 - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

C. Exemption in case of listed companies/foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/ MIRSD/ 11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.

UBO Code Description

- UBO-1 : Controlling ownership interest of more than 25% of shares or capital or profits of the Applicant, where the Applicant is a company
- UBO-2 : Controlling ownership interest of more than 15% of the capital or profits of the Applicant, where the Applicant is a partnership
- UBO-3 : Controlling ownership interest of more than 15% of the property or capital or profits of the Applicant, where the Applicant is an unincorporated association or body of individuals
- UBO-4 : Natural person exercising control over the Applicant through other means i.e., exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under UBO-1 to UBO-3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests]
- UBO-5 : Natural person who holds the position of senior managing official [In case no natural person could be identified as above]
- UBO-6 :The settler(s) of the trust
- UBO-7 :Trustee(s) of the Trust
- UBO-8 :The Protector(s) of the Trust [if applicable].
- UBO-9 :The beneficiaries with 15% or more interest in the trust if they are natural person(s)
- UBO-10 : Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership.

FATCA/CRS DECLARATION FORM - FOR INDIVIDUAL

Applicant Name _____

PART I - Please fill in the country for each of the following :

1. Country of :
 - a) Birth _____ b) Citizenship _____
 - c) Residence for Tax Purposes _____
2. US Person* : Yes No

PART II - Please note :

- 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 :
 - i) TIN _____ Country of Issue _____
 - ii) TIN _____ Country of Issue _____
 - iii) TIN _____ Country of Issue _____
- a. 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**.
- b. 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.

PART III - Customer Declaration (Applicable for all customers)

- (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 Ortem Securities Ltd. is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. Ortem Securities 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 Ortem Securities 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.

Signature : _____

Name : _____ Date (DD/MM/YYYY) : _____

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.



Signature

Document Proof submitted (Please tick document being submitted)

Passport Election Id Card PAN Card Driving License UIDAI Letter NREGA Job Card Govt. Issued ID Card

*** U.S. Person** means,

- (a) an individual, being a citizen or resident of the United States of America;
- (b) a partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
- (c) a trust if,-
 - (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and
 - (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust; or
- (d) an estate of a decedent who was a citizen or resident of the United States of America;

**** Functional Equivalent of TIN**

Many countries do not issue TIN to their taxpayers. However, such countries issue some other high integrity number with an equivalent level of identification (a functional equivalent). Examples of such numbers are-

- Social Security Number
- National Insurance Number
- Citizen Or Personal Identification Code Or Number
- Resident Registration Number

FATCA/CRS DECLARATION FORM - FOR NON-INDIVIDUAL

Applicant Name _____

PART I

A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange:
 Yes No

If "No", then proceed to point B. If "yes" please specify name of stock exchange, if you are listed company _____ and proceed to sign the declaration.

B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India : Yes No

If "yes", then please fill of FATCA/ CRS Self certification Form. If "No", proceed to point C.

C. Is the account holder an Indian Financial Institution : Yes No

If "yes", please provide your GIIN, if any _____ . If "No", proceed to point D.

D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen : Yes No

If "yes", (then please fill FATCA/ CRS self-certification form)). If "No", proceed to sign the declaration.

CUSTOMER DECLARATION

() 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 to 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.

- (i) I/We understand that Ortem Securities Ltd. is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. Ortem Securities Ltd. is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (ii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- (iii) I/We agree that as may be required by domestic regulators/tax authorities Ortem Securities Ltd. may also be required to report, reportable details to CDBT or close or suspend my account.
- (iv) 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.

Name of the Entity _____

Signature 1 _____ Signature 2 _____

Signature 3 _____ (As per MOP)

Date : _____

PART II

Self-Certification Form (Entity) for Foreign Account Tax Compliance Act (“FATCA”) and Common Reporting Standards(CRS)

Section 1 : Entity information

Name of Entity _____

Customer id (if existing) _____ Entity Constitution Type _____

Entity Identification type : Tax Identification Number (TIN) US GIIN Company Identification Number
 Global Entity Identification Number (EIN) Other

Entity Identification No. _____

Entity Identification issuing country _____ Country of Residence for tax purpose _____

Section 2 : Classification of Non-Financial entities

I/We (on behalf of the entity) certify that the entity is:

a) An entity incorporated and taxable in US (Specified US person) : Yes No

If “Yes”, please provide your U.S. Taxpayer Identification Number (TIN) _____

b) An entity incorporated and taxable outside of India (other than US) : Yes No

If “Yes”, please provide your TIN or its functional equivalent _____

Provide your TIN issuing country _____

c) *Please provide the following additional details if you are not a Specified US Person :*

FATCA / CRS classification for Non-financial entities (NFFE)

Active NFFE Passive NFFE without any controlling Person

Passive NFFE with Controlling Person(s) : US Others

Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus Ortem Securities Ltd. is not required to do the reporting)

Please provide GIIN number : _____

Section 3 : Classification of financial institutions (including Banks)

I/We (on behalf of the entity) certify that the entity is :

a. An entity is a U.S. financial institution : Yes No

If “Yes”, (i) Please provide your Taxpayer Identification Number (TIN)

(ii) Please provide GIIN, if any _____

If “No”, please tick one of the following boxes below :

FATCA classification

Please provide the Global Intermediary Identification number (GIIN) or other information where

Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement (“IGA”) Jurisdiction _____

Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction _____

Participating FFI in a Non-IGA Jurisdiction _____

Non-reporting FI _____

Non-Participating FI _____

Owner-Documented FI with specified US owners _____

Section 4 : Controlling person declaration

If you are classified as “Passive NFFE with Controlling Person(s)” or “Owner documented FFI” or “Specified US person”, please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing country	Controlling person type

Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification Type					
Identification Number					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

Section 5 : Declaration

- (i) Under penalty of perjury, I/we certify that :
1. The number shown on this form is the correct taxpayer identification number of the applicant, and
 2. 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, or
 3. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
- (ii) I/We understand that Ortem Securities Ltd. is relying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. Ortem Securities 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 gets changed.
- (iv) I/ We agree as may be required by Regulatory authorities, Ortem Securities Ltd. shall be required to comply to report, reportable details to CDBT 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 tax payer identification number of the applicant.

I/We hereby confirm that details provided are accurate, correct and complete



Authorized Signatories and Company Seal (if applicable)

Name _____ Date (DD/MM/YYYY) _____

ANTI-MONEY LAUNDERING (AML) – COMBATING FINANCING OF TERRORISM (CFT) WHAT YOU MUST KNOW – FAQs

Help us in preventing money laundering / terrorist financing.....Your assistance really matters us.

Ever wondered why the Broker is asking you certain personal information which has hitherto never been called for? Such information can include documents evidencing source of funds/ income tax returns/ bank records etc. By providing this information to the Broker, at the time of account opening and subsequently as and when required, you are actually assisting the efforts in prevention of money laundering / terrorist financing. Here are the details, presented in the form of frequently asked questions (FAQs) to let you know how.

What is Money Laundering?

Money Laundering is the process by which criminals attempt to hide and disguise the true origin and ownership of the proceeds of their criminal activities, thereby avoiding prosecution, conviction and confiscation of the criminal funds. The term Money Laundering is also used when the funds are used for terrorist financing, though the origin of the funds may be legitimate.

Money-laundering has acquired a global character that not only threatens security, but also compromises the stability, transparency, and efficiency of financial systems. Money-laundering techniques are becoming more sophisticated and complex with each passing day.

The objective of AML & CFT Program is to prevent financial intermediaries from being used as a tool for the purpose of Money laundering & terrorist financing and to preserve the integrity of the Financial system.

In response to mounting concern over money laundering, the Financial Action Task Force on money laundering (FATF) was established by the G-7 Summit in Paris in 1989 to develop a co-ordinated international response. One of the first tasks of the FATF was to develop Recommendations, 40 in all, which set out the measures national governments should take to implement effective anti-money laundering programmes.

How much money is laundered per year?

The IMF has stated in 1996 that the aggregate size of money laundering in the world could be somewhere between two and five percent of the world's gross domestic product.

Using 1996 statistics, these percentages would indicate that money laundering ranged between USD 590 billion and USD 1.5 trillion. However it must be said that overall it is absolutely impossible to produce a reliable estimate of the amount of money laundered and therefore the FATF does not publish any figures in this regard.

How is money laundered?

In the initial - or placement - stage of money laundering, the launderer introduces his illegal profits into the financial system. This might be done by breaking up large amounts of cash into less conspicuous smaller sums that are then deposited directly into a bank account, or by purchasing a series of monetary instruments (cheques, money orders, etc.) that are then collected and deposited into accounts at another location.

After the funds have entered the financial system, the second – or layering – stage takes place. In this phase, the launderer engages in a series of conversions or movements of the funds to distance them from their source. The funds might be channelled through the purchase and sales of investment instruments, or the launderer might simply wire the funds through a series of accounts at various banks across the globe. This use of widely scattered accounts for laundering is especially prevalent in those jurisdictions that do not co-operate in anti-money laundering investigations. In some instances, the launderer might disguise the transfers as payments for goods or services, thus giving them a legitimate appearance.

Having successfully processed his criminal profits through the first two phases the launderer then moves them to the third stage – integration – in which the funds re-enter the legitimate economy. The launderer might choose to invest the funds into real estate, luxury assets, or business ventures.

Where does money laundering occur?

Money laundering can occur practically anywhere in the world. Generally, money launderers tend to seek out countries or sectors in which there is a low risk of detection due to weak or ineffective anti-money laundering programmes.

How does money laundering affect business, economic development & society at large?

Money laundering damages the integrity of the financial institution, entire society and undermines democracy and the rule of the law as it rewards corruption and crime.

There is a damping effect on foreign direct investment when a country's commercial and financial sectors are perceived to be subject to the control and influence of organised crime. Fighting money laundering and terrorist financing is therefore a part of creating a business friendly environment which is a precondition for lasting economic development.

The possible social and political costs of money laundering, if left unchecked or dealt with ineffectively, are serious. Organised crime can infiltrate financial institutions, acquire control of large sectors of the economy through investment, or offer bribes to public officials and indeed governments.

The economic and political influence of criminal organisations can weaken the social fabric, collective ethical standards, and ultimately the democratic institutions of society.

How does fighting money laundering help fight crime?

Targeting the money laundering aspect of criminal activity and depriving the criminal of his ill-gotten gains means hitting him where he is vulnerable. Without a usable profit, the criminal activity will not continue.

What should individual governments be doing about it?

A great deal can be done to fight money laundering, and, indeed, many governments have already established comprehensive anti-money laundering regimes. These regimes aim to increase awareness of the phenomenon – both within the government and the private business sector – and then to provide the necessary legal or regulatory tools to the authorities charged with combating the problem.

Some of these tools include making the act of money laundering a crime; giving investigative agencies the authority to trace, seize and ultimately confiscate criminally derived assets; and building the necessary framework for permitting the agencies involved to exchange information among themselves and with counterparts in other countries.

What are Local regulations on AML/CFT?

- a) Prevention of Money Laundering Act, 2002 (PMLA) came in to force with effect from July 01, 2005 read with the prevention of Money Laundering (Amendment) Act, 2009.
- b) SEBI Guidelines on PMLA vide circular issued in January 2006 followed by latest Master circular issued in February 2010.
- c) Exchanges have also issued Guidelines on PMLA to be followed by all registered intermediary.

How is Money Laundering defined under PMLA 2002?

Section 3 of the Prevention of Money Laundering Act (PMLA) 2002 defines the “Offence of Money Laundering” as:

“Whosoever directly or indirectly attempts to indulge or knowingly assists or knowingly is party or is actually involved in any process or activity connected with the **proceeds of crime** and projecting it as untainted property shall be guilty of the offence of money laundering.”

“**Proceeds of crime**” has been defined in Section 2 of the PMLA as the property derived or obtained directly or indirectly by any person, as a result of criminal activity relating to a scheduled offence or the value of such property.

“**Scheduled Offences**”, as per section 2 of PMLA, are specified in two parts of the schedule to PMLA. The value involved in offences specified in Part B should be Rs.30 lakhs or more.

Why KYC/AML Policy for Market Intermediary?

SEBI has instructed all Market Intermediary to adopt a KYC/AML Policy

- a) To prevent criminal elements from using the Capital Market for money laundering activities
- b) To enable the Broker to know/understand the customers and their financial dealings better, which in turn would help the Broker to manage risks prudently.
- c) To put in place appropriate controls for detection and reporting of suspicious activities in accordance with applicable laws/laid down procedures.
- d) To comply with applicable laws and regulatory guidelines.
- e) To take necessary steps to ensure that the concerned staff is adequately trained in KYC/AML procedures.

What are the obligations of Market Intermediary under PMLA 2002?

Section 12 of PML Act 2002, places certain obligations on every banking company, financial institution and market intermediary, which include:

- a) Maintaining a record of prescribed transactions.
- b) Furnishing information of prescribed transactions to the specified authority (Financial Intelligence Unit-India (FIU-IND)).
- c) Verifying and maintaining records of the identity of its clients.
- d) Preserving records in respect of a,b,c above, for a period of 10 years from the date of cessation of transactions with the clients.

What is Financial Intelligence Unit-India (FIU-IND)?

FIU-IND is a central, national agency, set up by Government of India on 18th November,2004, responsible for receiving (and as permitted, requesting), analyzing and disseminating to the competent authorities, disclosures of financial information (i) Concerning suspected proceeds of crime and potential financing of terrorism, or (ii) Required by national legislation or regulation, in order to combat money laundering and terrorist financing.

What are the transactions to be reported by Market Intermediary to FIU-IND?

- a) All cash transactions of the value of more than Rs.10 lakhs or its equivalent in foreign currency.
- b) All series of cash transactions integrally connected to each other, which have been valued below Rs.10 lakhs or its equivalent in foreign currency (excluding individual transactions below Rs.50,000/- in the reporting) where such series of transactions have taken place within a month and the aggregate value of such transactions exceeds Rs.10 lakhs.
- c) Counterfeit currency transactions.
- d) Suspicious transactions.

What are suspicious transactions?

Rule 2(1)(g) of PMLA-2002 defines suspicious transactions as:

A transaction whether or not made in cash which, to a person acting in good faith-

- (a) gives rise to a reasonable ground of suspicion that it may involve the proceeds of crime; or
- (b) appears to be made in circumstances of unusual or unjustified complexity; or
- (c) appears to have no economic rationale or bonafide purpose; or
- (d) gives rise to a reasonable ground of suspicion that it may involve financing of activities relating to terrorism.

POLICY/DECLARATION ON AML/CFL

Sl.No.	AML Measures	Particulars
1	AML Policy	We have in place written policy & procedure as per guidelines issued by SEBI/Exchange
2	Know Your Customer (KYC)	We have in place system for identification of our clients including KYC documentation.
3	Maintenance of Records	We update the client profile on a regular basis.
4	Screening against negative lists	We have in place record maintenance and retention procedures as prescribed. We screen the client database to ensure that it is not held by or linked to anyone included in the specified list.
5	Risk Assessment	We have in place system to place clients into high, medium & low risk category and apply enhanced due diligence for clients that pose a higher risk.
6	Clients of Special Category	We have in place policy to place clients of special category such as persons with political link, non residents, Trusts, NGOs, closely held Companies, etc. in high risk category.
7	Monitoring, Identification & Reporting of Suspicious Transactions	We have in place, systems and procedures for monitoring, detection and reporting of suspicious transactions to the relevant authorities.
8	Audit	We are subject to inspection by SEBI/Exchange. Additionally we are periodically audited by an independent internal auditor that assesses AML policies and procedures too.

F) BANK DETAILS :														
Bank A/c Type	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify)_____													
Bank A/c No.														
Bank Name														
Branch Address														
City/town/village									Pin Code					
State									Country					
MICR Code									IFSC					
G) Please tick, if applicable <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)														
H) 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 Demat Debit and Pledge Instruction (DDPI)										<input type="checkbox"/> Yes <input type="checkbox"/> No				
3. I/We wish to receive the DIS Booklet with Account Opening										<input type="checkbox"/> Yes <input type="checkbox"/> No				
4. SMS Alert facility : [Mandatory if you are giving DDPI. Ensure that the mobile number is provided in the KYC Application Form]														
Sole/First Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No		Second Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No		Third Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No							
5. Mode of receiving Statement of Account (<i>Tick any one</i>)										<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form				
<i>(Read Note 4 and ensure that email ID is provided in KYC Application Form)</i>														
6. Mode of receiving the standard document - Rights and Obligations of Beneficial Owner and Depository Participant (<i>Tick any one</i>)										<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form				
7. For Joint Accounts, communication to be sent to (See Note 7)										<input type="checkbox"/> First Holder <input type="checkbox"/> All Joint Account Holders				
8. Mode of Operations for Joint Accounts										<input type="checkbox"/> Jointly <input type="checkbox"/> Anyone of the holder or survivor(s)				
If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.														
9. BSDA Details	(a) I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA. (b) I/We are aware that if I/we are eligible to open a depository account as a BSDA, the account shall be opened as a BSDA. (c) I/We also understand that in case, I/We at any point of time do not meet the eligibility criteria as a BSDA holder, my / our demat account is liable to be converted to regular account. (d) I/We also, state that if at any time choose to opt out of BSDA i.e. avail the facility of regular account the same will be communicated to the Participant from Sole / First Holder registered email ID.													
10. I/We would like to instruct the DP to accept all pledge instruction of my/our account without any further instruction from me/our end. (If not marked, the default option would be NO.)										<input type="checkbox"/> Yes <input type="checkbox"/> No				
11. I/We would like to share the e-mail Id with the RTA										<input type="checkbox"/> Yes <input type="checkbox"/> No				
12. Option to receive Annual Reports, AGM, Notices & Other Communications from Issuer & RTA is physical form										<input type="checkbox"/> Yes <input type="checkbox"/> No				
I) Guardian Details (where sole holder is a minor) : [For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]														
Guardian Name									PAN					
Relationship of guardian with minor														

13. <input type="checkbox"/> I/We wish to make one time Self-declaration for Inter-Depository transfer of Government Securities. [As per details given below]	
<input type="checkbox"/> I/We donot wish to make one time Self-declaration for Inter-Depository transfer of Government Securities.	
Declaration Details	I/We hereby declare that I/We will submit only those Inter-Depository transfer Instructions in respect of Government Securities (G-Sec) which are bonafide and arising out of genuine trade or transfer transaction.

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".**

	Name(s) of holder(s)	Signature(s) of holder
Sole/First Holder/Guardian (in case sole holder is minor) (Mr./Ms.)		<input checked="" type="checkbox"/>
Second Holder (Mr./Ms.)		<input checked="" type="checkbox"/>
Third Holder (Mr./Ms.)		<input checked="" type="checkbox"/>

NOTES :

1. All communication shall be sent at the address of the Sole/First holder only.
2. 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.
3. For receiving Statement of Account in electronic form:
 - I. Client must ensure the confidentiality of the password of the email account.
 - II. Client must promptly inform the Participant if the email address has changed.
 - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
4. In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
5. In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No. 4. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 4 and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected.
6. Strike off whichever is not applicable.

G) Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:		<input type="checkbox"/> Politically Exposed Person (PEP)			
		<input type="checkbox"/> Related to Politically Exposed Person (RPEP)			
H) Clearing Member Details (to be filled up by Clearing Members only)					
Name of Stock Exchange					
Name of Clearing Corporation/ Clearing House					
Clearing Member ID					
SEBI Registration Number					
Trade Name					
CM-BP-ID (to be filled up by Participant)					
I) STANDING INSTRUCTIONS :					
1. We authorise you to receive credits automatically into 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 :					
Sole/First Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No	Second Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No		
		Third Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No		
4. Mode of receiving Statement of Account (Tick any one)		<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form			
<i>(Read Note 3 and ensure that email ID is provided in KYC Application Form)</i>					
5. Mode of receiving the standard document - Rights and Obligations of Beneficial Owner and Depository Participant (Tick any one)		<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form			
6. We would like to instruct the DP to accept all pledge instruction of my/our account without any further instruction from me/our end. (If not marked, the default option would be NO.)		<input type="checkbox"/> Yes <input type="checkbox"/> No			
7. We would like to share the e-mail Id with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No			
8. Option to receive Annual Reports, AGM, Notices & Other Communications from Issuer & RTA is physical form		<input type="checkbox"/> Yes <input type="checkbox"/> No			
J) LIST OF FAMILY MEMBERS (SEPARATE ANNEXURE MAY BE USED IN CASE NUMBER OF MEMBER IS HIGHER)					
Sl. No.	Name of Coparcener / Member	Gender	Date of Birth	Relation with Karta	*Whether Coparcener/ Member (Please specify)
* Son, daughter, grandson & grand-daughter will be Co-parceners. Spouse, daughter-in-law will be Members.					
L) <input type="checkbox"/> I/We wish to make one time Self-declaration for Inter-Depository transfer of Government Securities. [As per details given below]					
<input type="checkbox"/> I/We donot wish to make one time Self-declaration for Inter-Depository transfer of Government Securities.					
Declaration Details		I/We hereby declare that I/We will submit only those Inter-Depository transfer Instructions in respect of Government Securities (G-Sec) which are bonafide and arising out of genuine trade or transfer transaction.			

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. **We acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".**

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories. In case of HUF, details of Karta to be given)

Sole/First Holder	Name	Signature(s)
First Signatory / Karta of HUF		<input checked="" type="checkbox"/>
Second Signatory		<input checked="" type="checkbox"/>
Third Signatory		<input checked="" type="checkbox"/>
<u>Other Holders</u>		
Second Holder		<input checked="" type="checkbox"/>
Third Holder		<input checked="" type="checkbox"/>
Mode of Operation for Sole/First Holder (In case of joint holdings, all the holders must sign. In case of HUF, this is not applicable.)		
<input type="checkbox"/> Any one singly		
<input type="checkbox"/> Jointly by		
<input type="checkbox"/> As per resolution		
<input type="checkbox"/> Others (please specify)		

NOTES :

1. In case of additional signatures, separate annexure should be attached to the application form.
2. 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 Notary Public or a Special Executive Magistrate.
3. For receiving Statement of account in electronic form:
 - a. Client must ensure the confidentiality of the password of the email account.
 - b. Client must promptly inform the Participant if the email addresses has changed.
 - c. 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.
4. Strike off whichever is not applicable.
5. Please attach a cheque of Rs. 1000/- only drawn in favour of "Ortem Securities Ltd." towards advance maintenance charges.
6. Board resolution (only for corporate as per below) on company letterhead & duly certified to be true.
7. "Resolved that a Depository account of the Company be opened with Ortem Securities Ltd. and Mr. / Mrs.and Mr./Mrs.....directors and Mr./Mrs.....and Mr./ Mrs..... authorised signatories are hereby singly / jointly, authorised to complete all account opening formalities, issue receipt/ delivery instructions, demat / remat request, inter-settlement transfers, account closure / shifting / freeze / defreeze requests, pledge instructions, cancellations of the aforesaid and all other acts as may be necessary for operations of the account and a copy of this resolution be delivered to "Ortem Securities Ltd."

ADDITION OF AADHAAR DETAILS

I/We do hereby solemnly declare that the detail herein above submitted by me/us is/are true to my/our knowledge.

I/We voluntarily give my/our consent to 'Ortem Securities Ltd.' to use my/our Aadhaar Details to authenticate from UIDAI and link the Aadhaar Number to all my/our existing/new accounts with your DP.

	NAME	AADHAAR
Sole/First Holder		
Second Holder		
Third Holder		



Signature of First/Sole Holder



Signature of Second Joint Holder



Signature of Third Joint Holder

DECLARATION IN CASE OF SAME MOBILE NUMBER AND / OR E.MAIL ID FOR DIFFERENT CLIENTS

[Please tick (✓) wherever applicable]

DP ID	IN300693	Client ID		Date	
Name of Sole / First Holder					
<input type="checkbox"/> Mobile Number					
<input type="checkbox"/> Email ID					
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).					
Signature of Sole/First holder <input checked="" type="checkbox"/>					

DP ID	IN300693	Client ID		Date	
Name of Second Holder					
<input type="checkbox"/> Mobile Number					
<input type="checkbox"/> Email ID					
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).					
Signature of Second holder <input checked="" type="checkbox"/>					

DP ID	IN300693	Client ID		Date	
Name of Third Holder					
<input type="checkbox"/> Mobile Number					
<input type="checkbox"/> Email ID					
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).					
Signature of Third holder <input checked="" type="checkbox"/>					

AUTHORISATION FOR PROVIDING DP TRANSACTION STATEMENT BY EMAIL OR ON WEBSITE

Date : _____

To
ORTEM SECURITIES LIMITED
59, Bentinck Street, 1st Floor
Kolkata - 700 069

Dear Sir,

You are requested to provide me/us holding/transaction statement including statement of account in the following manner:

1. I/we understand that I/we have a right to receive the Holding and Transaction Statement in physical form. I/we understand that I/we have the option to receive Holding & Transaction Statement by email, in lieu of physical form.
2. In case the DP sends the Holding and Transaction Statement through email at my/our registered Email Id _____, I/we hereby authorize them not to send physical form unless specifically requested by me.
3. I/we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of Holding and Transaction Statement to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever.
4. I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email ID.
5. I/we shall immediately inform the DP about change in email address.
6. I/we will take all the necessary means to ensure confidentiality and secrecy of the login name and password of the internet/email account.

Thanking you,
Yours faithfully,



Signature of the Client

AUTHORITY LETTER

Date : _____

To
ORTEM SECURITIES LIMITED
59, Bentinck Street, 1st Floor
Kolkata - 700 069

Sub : Authority to debit the Demat Charges

Beneficiary Client ID	
Trading Account Code	

Dear Sir,

This is to inform you that,

1. I/we have a Beneficiary Account with you with Client ID as mentioned above.
2. I/we have a trading account with Ortem Securities Ltd. with trading code mentioned above.

With respect to the above mentioned subject and consideration, I/we hereby authorize you to debit the trading account maintained with Ortem Securities Ltd. for the debit charges payable to Ortem Securities Ltd., as Depository Participant for providing depository services. Any such amount debited to my/our Trading Account shall be binding on me/us.

Thanking You
Yours faithfully,

Signature of the Client: _____ _____ _____

First Holder

IX

Second Holder

Third Holder

SCHEDULE OF CHARGES FOR BENEFICIARY ACCOUNT

	SCHEME A For Non-ORTEM Trading Clients	SCHEME B For Non-DDPI ORTEM Trading Clients	SCHEME C For ORTEM DDPI Trading Clients
Statutory charges at the time of Account opening	NIL	NIL	NIL
Advance/Deposit	NIL	NIL	NIL
Account Maintenance	Rs.1000/- per annum payable upfront in April	Rs.500/- per annum payable upfront in April	NIL
BSDA Accounts - For Holding upto Rs. 4 lacs - For Holding Rs.4 lacs to Rs.10 lacs	NIL Rs.100/-	NIL Rs.100/-	NIL Rs.100/-
Demat	Rs.5/- per certificate + Rs.50/- per DRF as mailing charges	Rs.5/- per certificate + Rs.50/- per DRF as mailing charges	Rs.5/- per certificate + Rs.50/- per DRF as mailing charges
Remat	Rs.20/- for every 100 securities or part thereof OR flat fees of Rs.20/- per certificate, whichever is higher *	Rs.20/- for every 100 securities or part thereof OR flat fees of Rs.20/- per certificate, whichever is higher *	Rs.20/- for every 100 securities or part thereof OR flat fees of Rs.20/- per certificate, whichever is higher *
Transaction (Debit)	0.02% of Transaction value subject to a minimum of Rs. 20/- per debit transaction	0.02% of Transaction value subject to a minimum of Rs. 20/- per debit transaction	0.02% of Transaction value subject to a minimum of Rs.20/- per debit transaction, ONLY ON OFF MARKET & NON ORTEM CMBPID DEBITS
Pledge Creation	0.02% of Transaction value subject to a minimum of Rs. 50/- per debit transaction	0.02% of Transaction value subject to a minimum of Rs. 50/- per debit transaction	0.02% of Transaction value subject to a minimum of Rs. 50/- per debit transaction
Pledge Creation confirmation	NIL	NIL	NIL
Pledge Closure	Rs 50/- per instruction	Rs 50/- per instruction	Rs 50/- per instruction
Pledge Closure confirmation	NIL	NIL	NIL
Pledge Invocation	NIL	NIL	NIL
Failed instruction charges	NIL	NIL	NIL

Other charges, if any



First/Sole Holder

Second Joint Holder

Third Joint Holder

Acknowledgement



Offering Wings to your Financial Dreams

ORTEM SECURITIES LTD.

Regd. Off. : 59, Bentinck Street, 1st Floor, Kolkata - 700069

Phone : (+91-33) 2236-7725, E.mail : info@ortemsecurities.com

Website : http://ortemsecurities.com/, CİN : U67120WB1994PLC062504

DP ID : IN300693 ❖ SEBI REGN. NOS. : IN-DP-463-2020

E.mail ID for Investor Complaint : investorgrievances@ortemsecurities.com

Serial No. :

Received the application from Mr/Ms/M/s _____ as the sole/first holder alongwith _____ and _____ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you (CM-BP-ID in case of Clearing Members) in all your future correspondence.

For Ortem Securities Ltd.

Seal and Signature

Date :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Authorised Signatory

Acknowledgement Receipt

Received Nomination Form from :

DP ID IN300693	Client ID									
Name										
Address										
Nomination in favour of										
<u>No Nomination</u>	<input type="checkbox"/> Does not wish to nominate									
Registration No.		Registered on	D	D	M	M	Y	Y	Y	Y

For Ortem Securities Ltd.

Seal and Signature

Authorised Signatory

Acknowledgement Receipt

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from :

DP ID IN300693	Client ID								
Name of the Sole / First Holder									
Name of Second joint Holder									
Name of Third joint Holder									

For Ortem Securities Ltd.

Seal and Signature

Authorised Signatory

Dated : _____

From :

To

ORTEM SECURITIES LIMITED

59, Bentinck Street

1st Floor

Kolkata - 700 069

Ref. : Acknowledgement for the receipt of documents

Dear Sir,

This is to acknowledge and declare that

- I/We have received a photocopy of the KYC (full booklet), duly executed with you, to my/our satisfaction including my / our Unique Client Code (Trading Code).
- I/We have (Physically Electronically) received, read and understood the Rights & Obligations, Risk Disclosure Documents, Guidance Note, Rights and Obligations of Beneficial Owner and Depository Participant” as prescribed by SEBI and Depositories.
- I/We have received a copy on Voluntary freezing/Blocking of Trading Accounts
- I/We have received a copy of Most Important Terms and Conditions (MITC)
- I/We have received a photocopy of DDPI.
- I/We have received Charge Structure & Client Master Report.
- I/We have received, read and understood the Policies and Procedures.
- The email id noted with you (for ECN and other purposes) is correct.

Thanking you,

Yours truly,



Signature of the Client

Client Code _____

Services Offered by us to Customers :

- ❖ **Capital Market**
- ❖ **F&O**
- ❖ **SLBM**
- ❖ **Research**
- ❖ **IPO**
- ❖ **Depository**
- ❖ **Mutual Funds**
- ❖ **NPS**
- ❖ **Bonds**
- ❖ **Online Trading**