



BASAN
Invest with Confidence

APPLICATION No. : _____

A/c OPENING DATE : DD/MM/YYYY

BASAN

EQUITY BROKING LIMITED

EQUITY / DERIVATIVES / CURRENCY / COMMODITY
CLIENT REGISTRATION FORM
NSE / BSE / MCX / CDSL / NSDL

Client Name : _____

Client Code : _____

Branch Code : _____

BO ID : _____

PAN No. : _____

Group/AP Code : _____

REGISTERED/CORPORATE OFFICE :

3-6-196/197, Prime Plaza,
2nd Floor Unit No. 204 A,
Himayath Nagar, Hyderabad-500 029. (T.S.)

Phone : 040-6164 5000

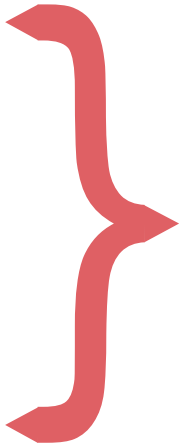
FAX : 040-2326 2166

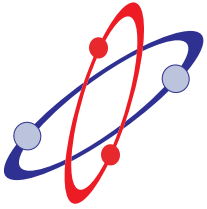
Website : www.basanonline.com

E-mail : helpdesk@basanonline.com

BASAN EQUITY BROKING LIMITED

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Application No : _____

PART-A MANDATORY DOCUMENTS

BASAN EQUITY BROKING LIMITED

Corporate Identity Number : U67120TG2007PLC056313

Regd. Office /Corp. Office : # 3-6-196/197, Prime Plaza, 2nd Floor Unit No. : 204 A, Himayath Nagar, Hyderabad-29. (T.S.)

Phone : 040-6164 5000 | FAX : 040-2326 2166 | E-mail : helpdesk@basanonline.com | Website : www.basanonline.com

STOCK EXCHANGES

Exchange	Member Code	SEBI Redg. No.
NSE	12964	INZ000197331
BSE	6122	INZ000197331
MCX	45300	INZ000197331

DEPOSITORY PARTICIPANT

DP	DP ID	SEBI Redg. No.
CDSL	12067300	IN-DP-113-2015
NSDL	IN304447	IN-DP-113-2015
-----	-----	-----

CALL AND TRADE :- 08068248494

☐☐☐☐ COMPLIANCE OFFICER ☐☐☐☐

Name: RANGAPURI VINAY KUMAR

Landline: (040) 6164 5000

E-mail : compliance@basanonline.com

Website : www.basanonline.com

☐☐☐☐ HELPDESK ☐☐☐☐

Name : Support Team

Landline : (040) 6164 5000

E-mail : helpdesk@basanonline.com

Website : www.basanonline.com

For any grievance / dispute, please contact **M/s Basan Equity Broking Limited** at the above address.

In case not satisfied with the response, please contact following Exchanges :-

BASAN	investorgrievances@basanonline.com	(040) 6164 5000
NSE	ignse@nse.co.in	1800 266 0050
BSE	dis@bseindia.com	(022) 2272 8517
MCX	grievance@mcxindia.com	(022) 6731 8888
CDSL	complaints@cdslindia.com	1800 225 533
NSDL	relations@nsdl.co.in	(022) 2499 4200






CKYC & CVL KRA | KNOW YOUR CLIENT (KYC) APPLICATION FORM

*KYC Mode : Please Tick

Normal EKYC OTP EKYC Biometric Online KYC Offline EKYC Digilocker

A-1 PERSONAL DETAILS (Please fill this form in ENGLISH and in BLOCK LETTERS.)

Name* : _____
 Maiden Name (if any) : _____
 Father/Spouse Name : _____
 Mother Name : _____
 Date of Birth : DD/MM/YYYY Gender : _____ Marital Status : _____
 Citizenship : _____ Residential Status : _____
 Occupation Type : _____ Education Details : _____
 Residence for Tax purposes in Jurisdiction(s) Outside : _____
 Country of Jurisdiction of Residence : _____
 Place/City of Birth : _____ Country of Birth : _____

Please affix your recent passport size PHOTOGRAPH and sign  Across Photograph

1 

A-2 Proof of Identity

PAN : _____ AADHAAR : _____

A-3 Proof of Address

Address Type : Residential Business Registered Office Unspecified _____
 Address Proof : _____ Validity Date : _____
 Correspondence Address : _____
 _____ City/Town/Village : _____
 PIN Code : _____ State : _____ Country : _____
 Permanent Address : Same as Above Yes No _____
 _____ City/Town/Village : _____
 PIN Code : _____ State : _____ Country : _____

A-4 Contact Details

Phone Office : _____ Phone Residence : _____ Mobile No. : _____
 Fax : _____ Email ID : _____

A-5 Details of Related Person

Name : _____ Relation Type : _____

A-6 Applicant's 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.

Date : _____ Place : _____ Signature 

A-7 Attestation / For Office use only

KYC Verification (In Person Verification Details)

Date : _____ Code : _____

Employee Name : _____

Designation : _____

Branch : _____ Sign. : _____

..... INSTITUTIONAL DETAILS

Name : **BASAN EQUITY BROKING LIMITED**

CKYC CODE : **IN0213**

NDML : **A3617**

DOTEX : **D00959**

CVL KRA : **1100067300**



B. H. J.

Signature

A-8 Bank Account Details (Primary Bank will be updated in DP for Dividends)

Primary Bank Name : _____

Account No. : _____ Branch : _____

IFSC Code : _____ MICR Code : _____

Address : _____

Account Type : _____ Pay-Out Option : _____

Secondary Bank Details (for Trading, if any) : _____

Account No. : _____ Branch : _____

IFSC Code : _____ MICR Code : _____

Address : _____

Account Type : _____ Pay-Out Option : _____

in case of multiple banks, please provide proof of all banks

A-9 Depository Account Details

I/We would like to open a NEW DEMAT Account Yes No

I/We already have Demat Account No. : _____

Depository Name : CDSL NSDL

DP ID : _____ BO ID : _____

Name of Depository Participant : _____

Demat Account Proof Submitted : _____

A-10 Trading Preferences If you wish to trade in derivatives segment, please submit proof of financial details(Mandatory).

E X C H A N G E S	S E G M E N T S	SIGNATURE	DATE OF CONTENT
National Stock Exchange	Cash	3 <i>[Signature]</i>	
National Stock Exchange	Futures & Options	4 <i>[Signature]</i>	
National Stock Exchange	Currency Derivatives	5 <i>[Signature]</i>	
National Stock Exchange	Commodities	6 <i>[Signature]</i>	
Bombay Stock Exchange	Cash	7 <i>[Signature]</i>	
Bombay Stock Exchange	Futures & Options	8 <i>[Signature]</i>	
Bombay Stock Exchange	Mutual Fund	9 <i>[Signature]</i>	
Multi Commodity Exchange	Commodities	10 <i>[Signature]</i>	

A-11 Facilities

SMS & Email Alerts from Stock Exchange	<input type="checkbox"/> Yes <input type="checkbox"/> No
Contract Notes Mode	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical <input type="checkbox"/> Both
Do you wish to avail Internet Trading/wireless Technology	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to receive Handbook via	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical <input type="checkbox"/> Both

Handbook contains - Risk Disclosure Documents, Rights & Obligation, Policies and Procedures & Guidance Notes.

A-12 Trading History

Trading Experience / Number of : _____

Stock Profile _____

if you are dealing with any other stock broker(s), Please provide details :-

Name of the Stock Broker : _____

Name of Sub-Broker (if any) : _____

Details of disputes / dues pending from / to such stock broker / sub-broker in case dealing with multiple stock brokers, Please provide : _____

Client Code (UCC) _____ Exchange _____

Past Actions

Details of any action / proceedings initiated / pending / taken by SEBI / Stock Exchange / any other authority against the applicant / constituent or its partners _____

A-13 Income, Education & Other Details

Gross Annual Income Details	<input type="checkbox"/> Upto ₹ 1,00,000/-	<input type="checkbox"/> ₹ 1,00,000/- to ₹ 5,00,000/-
	<input type="checkbox"/> ₹ 5,00,000/- to ₹ 10,00,000/-	<input type="checkbox"/> ₹ 10,00,000/- to ₹ 25,00,000/-
	<input type="checkbox"/> more than ₹ 25,00,000/-	

Net-worth in : _____ as on (date) : _____

Politically Exposed Person/Related to a Politically Exposed : _____

is the entity involved providing any of the following services : _____

For Foreign Exchange / Money Changer Services : _____

Money Lending / Pawning : _____

FATCA & CRS Declaration - Individuals

Are you the TAX Resident of any country other than INDIA : Yes No

If Yes, please fill the following :-

Country	Tax Identification Number	Identification Type

To also include USA, where Individual is a citizen/ green card holder of the USA.
In case TIN is not available; kindly provide its functional equivalent.

Certification :

I/We have understood the information requirement of this forms (read along with FATCA & CRS instructions) and hereby confirm that information provided by me/us on this form are true, correct and complete. I/ We also confirm that we have read and understood the FATCA & CRS T&C below and hereby accept the same.

Date : _____ Place : _____ Signature  _____

Terms & Conditions under FATCA & CRS :-

- ☺ Details under FATCA & CRS: The central board of Direct Taxes has notified the Rules 114(f) to 114 (h), as the part of Income Tax rules, 1962, which rules requires India, financial institutions such as Banks, the seek additional personal, tax and beneficial owners information and certain certifications and documentations from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies.
- ☺ Towards compliance, we may also be required to provide information to any institution such as withholding agent for the purpose of ensuring the appropriate withholding from the accounts or any proceeds in relation thereto.
- ☺ Should there be any changes in any information provided by you, please ensure your advice us promptly, i.e. within 30 days.
- ☺ It is important that you respond to our request even if you belief, you have already supplied any previously requested information.

A-14 Details of Introducer

Name : _____

Status _____

Registered Code : _____

For Office use only

	Documents verified with Originals by	In person verification done by	Processed by
Name of Employee :			
Employee Code :			
Designation :			
Date :			
Signature			

B-1 Demat Account Opening CDSL/NSDL

I/We request to open a Depository Account in my/our name as per the following details :-

Status : Individual NRI Foreign National

Sub-Status : Individual Resident Individual Director Individual Director's Relative Minor
 Individual HUF AOP Individual Promoter Individual Margin Trading Acc (MANTRA)
 NRI Repatriable NRI Non Repatriable NRI Repatriable Promoter
 NRI Non Repatriable Promoter NRI Depository Receipts Foreign National
 Foreign National / Depository Receipts Others _____

B-2 Account Holder Details

Name of First/Sole Holder : _____
 UID - AADHAAR No. : _____ PAN No. : _____
 Name of Second Holder : _____
 UID - AADHAAR No. : _____ PAN No. : _____
 Name of Third Holder : _____
 UID - AADHAAR No. : _____ PAN No. : _____
 Nationality : _____

B-3 Details of Guardian (in case the Account Holder is a Minor)

Name of the Guardian : _____
 Relationship : _____ UID : _____ PAN No. : _____

B-4 CDSL/NSDL Additional Details

Account statement requirement (as per SEBI regulations)

As per SEBI regulations Daily Weekly Fortnightly Monthly

- ☺ I/We instruct the DP to receive each and every credit in my/our account Yes No
 - ☺ I/We wish to receive dividend/interest directly into my/our Bank A/c through ECS (if not marked, the default option would be 'Yes'. ECS is mandatory for locations notified by SEBI from time to time.) Yes No
 - ☺ I/We request you to send Electronic Transaction-Cum-Holding Statement through Email Yes No
 - ☺ SMS Alert Facility on Mobile No. as given in KYC Form (Mandatory, if you have given POA. If POA is not granted and you do not wish to avail of this facility, cancel this option.) Yes No
 - ☺ I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. Yes No
 - ☺ I/We would like to share the Email ID with the RTA Yes No
 - ☺ I/We would like to receive the annual report Electronic Physical Both
 - ☺ Account to be operated through POA Yes No
 - ☺ Transaction Using Secured Texting Facility (TRUST) Yes No
- I/We wish to avail the (TRUST) facility using the Mobile No. registered for SMS Alert Facility, I have understood the terms and conditions prescribe by CDSL/NSDL for the same.

If Yes, I/We wish to register the following clearing member's ID under my/our below mentioned BO ID registered for TRUST

STOCK EXCHANGE NAME

CLEARING MEMBER NAME

CLEARING MEMBER ID

**EASI : BO can view his ISIN balances, transaction & value of portfolio online on CDSL.
 To register on EASI visit website : cdsllindia.com**

**SPEEDE : BO can view his ISIN balances, transaction & value of portfolio online on NSDL.
 To register on SPEEDE visit website : nsdl.co.in**

Basic Services Demat Account (BSDA) Confirmation :

- I / We wish to opt for BSDA.
 I / We do NOT wish to opt for BSDA Services, till future instruction from my/our side.

To
 BASAN EQUITY BROKING LIMITED
Regd. Office / Corp. Office : # 3-6-196/197, Prime Plaza,
 2nd Floor Unit No. : 204 A, Himayath Nagar, Hyderabad-29. (T.S.) | **Phone :** (040) 6164 5000

Select one of the options given below :

I / We hereby state that

OPTION 1 :

I / We require you to issue Delivery Instruction Slip (DIS) Booklet to me / us immediately on opening my / our CDSL/NSDL account though I / We have issued a Power of Attorney (POA) / Executed PMS agreement in favour of / with **BASAN EQUITY BROKING LIMITED** (Name of the Attorney / Clearing Member / PMS Manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Your's faithfully

X	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	12		

OR

I / We hereby state that

OPTION 2 :

I / We do not require the Delivery Instruction Slip (DIS) Booklet for the time being. Since I / We have issued a Power of Attorney (POA) / Executed PMS agreement in favour of / with **BASAN EQUITY BROKING LIMITED** (Name of the Attorney / Clearing Member / PMS Manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Your's faithfully

X	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	12		

TERMS & CONDITIONS FOR RECEIVING SMS ALERTS FROM CDSL & NSDL

[SMS Alerts will be sent by CDSL / NSDL to BOs for all debits]

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

1. "Depository" means **CDSL/NSDL** a company incorporated in India under the Companies Act 1956 and having its registered offices at **CDSL - 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400 001, NSDL - Trade World A Wing, 4th Floor, Kamala Mills Compound, Senapati Bapat Marg, Lower Parel(West) Mumbai 400 013** and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL/NSDL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible

efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.

5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL/NSDL and any other entity.

6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com, NSDL at relations@nsdl.co.in. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.

8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.

9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

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

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

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

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

Governing Law and Jurisdiction: Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai. I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below.

- ☺ I/ We consent to CDSL/NSDL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.
- ☺ I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time.
- ☺ I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.
- ☺ I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

TARIFF SHEET FOR DP SERVICES

CHARGES HEAD	SCHEME Y0 <input type="checkbox"/>	SCHEME YU (UNLIMITED) <input type="checkbox"/>
Account Maintenance Charges	NIL	NIL
Fixed On-Market Transaction Charges	NIL	₹ 1499/-
Sell-Outside BEBL (Off & On Market)	₹ 50/-	₹ 15/-
Sell-BEBL (Off & On Market)	₹ 15/-	NIL
Dematerialisation Charges	0.3% of the Market Value (Minimum ₹ 10/- per certificate)	
Rematerialisation Charges	₹ 20/- 100 Shares	
Pledge(Creation/Closure/Invocation/Confirmation)	0.3% of the Market Value (Minimum ₹ 100/-)	
Lending/ Borrowing	0.05% of the Market Value (Minimum ₹ 100/-)	

I/We accept, above mentioned DP Charges.

TARIFF FOR EQUITY, DERIVATIVES, CURRENCY AND COMMODITY

	CASH		FUTURES		OPTIONS		
	Min. (Paise)	Percentage(%)		Percentage(%)		Percentage(%)	Fixed
NSE INTRADAY			NSE Futures		INDEX Options		
BSE INTRADAY			BSE Futures		STOCK Options		
NSE DELIVERY			MCX Futures		COMMODITY Options		
BSE DELIVERY			NSE Commodity Futures		CURRENCY Options		
Mutual Fund							

I/We accept, above mentioned charges for Trading Purpose.

TERMS AND CONDITIONS

- ⊙ Delayed payment charges.
- ⊙ Research Report Charges (optional as per request).
- ⊙ Trading Software Charges (optional as per request).
- ⊙ For Future Segment : Turnover charges of 0.005% will be charged against Clearing Charges, Transaction Charges, SEBI Charges & Other Charges.
- ⊙ For Option Segment : Turnover charges of 0.12% will be charged against Clearing Charges, Transaction Charges, SEBI Charges & Other Charges.
- ⊙ Trading Account Opening Documentation Charges of ₹1000/- .
- ⊙ Demat Charges for payin/payout of shares from Pool / Margin Account.
- ⊙ Short Delivery / Auction Charges (other than internal close out charges) upto 0.5% on the value of script.
- ⊙ Document handling charges of ₹15/- per contract note (for Physical Contract Notes only).
- ⊙ First DIS Booklet is free of cost. In case of new DIS, amount of ₹ 100/- will be charged.
- ⊙ All the instructions for transfer of securities from DEMAT account must be received at the designated branches at least 24 hours before the execution date.
- ⊙ Charges quoted above are for the service listed. Any services not quoted above will be charged separately.
- ⊙ Charges are subject to revision at the company's sole discretion and as informed by circular sent by mail/courier.
- ⊙ Statutory levies such as GST (CGST, SGST AND IGST), Stamp Duty, Education Cess shall be levied as per the prevailing rates.

15

Signature First/Sole Holder

10

Signature Second Joint Holder

10

Signature Third Joint Holder

PART-B VOLUNTARY DOCUMENTS

UNDERTAKING

- ☺ I/We draw your attention to certain important issues relevant to your trading activity through us, you must read, understand and agree to abide by the advice given hereunder in respect to the dealing between us. Kindly sign at the end of this document to signify your understanding and acceptance of the matters notified to you herein.
- ☺ Please note that the Stock Brokers are not permitted to run any schemes giving “Fixed Returns” to the Clients, and accordingly Basan Equity Broking Limited, doesn’t operate any scheme giving “Fixed Returns”, and you are therefore advised & cautioned to not to be deceived by any person, offering or requesting you join any such scheme.
- ☺ Please note that company does not accept cash for any dealings with our clients, whatsoever and accordingly once again caution, advise & warn you to refrain from making any payment to the Company or any person in representative capacity, in cash. We inform you that any payment made by you should any be made through secure banking channels i.e valid & crossed negotiable instrument, compliant with the Rules & Regulations or online, through RTGS/NEFT etc in name of Basan Equity Broking Limited only. Further credit for payments received is giving to the Client’s Account, only where the payment has been made from the account of the Client mapped with us. Which Basan Equity Broking Limited shall not bear any risk & responsibility, whatsoever.
- ☺ We do hereby inform and notify you that unless otherwise specifically agreed by us in writing, our services do not go beyond the scope as mentioned in the documents executed between us, accordingly the role envisaged to be played by Basan Equity Broking Limited is restricted to facilitating, only and only as a stock-broker, the execution of transactions intended to be executed by you on your own risk and responsibility an as considered suitable by you, taking into consideration, your risk bearing capacity.
- ☺ Further you are also informed that none of the employee or agent of Basan Equity Broking Limited is authorized to offer any investment advice, and therefore you are advised to refrain from seeking or place reliance on the advice, from any such person. If despite this notice, you choose to seek and rely on any advice, offered by any person, whether related or unrelated to Basan Equity Broking Limited in any manner, you shall be doing so at your own risk and responsibility, and the dealings between you and the person, for which Basan Equity Broking Limited will not assume any liability.
- ☺ We also reiterate here that the Stock Market is highly volatile and unpredictable market and it is impossible for anyone to predict the future developments in the marketplace, therefore any one assuring you any returns should not be relied upon by you. Further you are also advised to not to allow or authorize any person to trade on your behalf, in expectation of any assured profit, and must understand that where you authorize or allow any person on your behalf, you would ne entering into a “Principle-Agent” relationship with such person and therefore be entirely responsible for his actions, whether resulting into “Loss” or “Profit”.
- ☺ Basan Equity Broking Limited also conducts research on various activities of the Stock Market and whenever considered appropriate, shares the knowledge and opinion derived from such research with its clients and others desirous of receiving such information, however as our client, you must understand that such information is only a general opinion of Basan Equity Broking Limited, which is not designed for, or takes into consideration, the factors specific to your risk bearing capacity and perception. You are therefore advised to rely only on your own judgment while taking any investment and/or trading decisions. The research reports provided by us are only an expression of the opinion of the concerned researchers: it is neither any advice intending to encourage you to undertake any activity nor any offer to sell or solicitation to buy any securities. As our client you must also read our opinion published on any website or publications, keeping in mind the contents of this notice to you. Further in order to benefit from the research carried out on its behalf, Basan Equity Broking Limited, its directors or its employees may, at their sole discretion may acquire position in the scrips which are the subject matter of such research.

Declaration : I/We have read and understood the contents of the above notice, and state that I/We have no objection to anything mentioned therein and do also hereby agree to abide by the advice offered in the Notice.

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Signature First/Sole Holder

Signature Second Joint Holder

Signature Third Joint Holder

DECLARATION BY CLIENT

I/We having complied with the requisite formalities, as prescribed, for being a client, have opened a trading account with Basan Equity Broking Limited

I/We declare and affirm as under:

- ☺ I have attained the age of 18 and do not suffer from any conditions which make me ineligible for entering into a valid and binding contract.
- ☺ I/We am/are regular investor in the stock markets in India.
- ☺ I/we am/are conversant with the laws, practices, rules, regulations, guidelines, circular, etc. including, but not limited to those prescribed by the Securities and Exchange Board of India (SEBI), Reserve Bank of India (RBI) and Exchanges. I/We also undertake to keep over dues informed and understand the implications of any changes that are made of such laws, practices rules, regulations, guidelines, circular etc.
- ☺ I/We give an undertaking that I/We shall not deal Basan Equity Broking Limited in any prohibited manner.
- ☺ I/We understand that I/We have been advised not to take any investment advice from any of the employees or associated fo Basan Equity Broking Limited, and in case I/We do so, despite the advice against the same, I/We shall be acting at may/our exclusive risk and responsibility.
- ☺ I/We agree to accept any measures; which in the opinion of Basan Equity Broking Limited, are required to enhance securities procedures, in relation to my/our account & trading.
- ☺ Basan Equity Broking Limited may, though it is not bound to, create voice-logs by recording the conversation made, while placing any orders by me, and such voice logs, wherever available, shall be the conclusive proof of the dealings made by me/us.
- ☺ I/We hereby further declare that I/We will not give any third party shares for settlement of my/our obligations to the Exchange.
- ☺ I/We hereby further declare that I/we will not receive of give any money in cash or in kind during the course of my dealings with Basan Equity Broking Limited.
- ☺ I/We hereby further declare that I am/we are not party to any illegal practices that may be prevalent in the Stock Market.
- ☺ I/We hereby authorize Basan Equity Broking Limited to adjust the amount due from/to me/is against my/our dues to/from any of trading activities in the Securities or commodities market segment based on my consent/request in writing and such adjustment, wherever made after due notice to me/us shall be binding on me/us and therefore not be objected to, by me/us.
- ☺ I/We further declare that I/We will not place order on the Exchange which will reflect an an arrangement for profit or loss transactions. All the orders placed on the exchange will be in the normal market where there is a corresponding underlying securities position in the cash or futures segment of the respective Exchange.
- ☺ I am/We are aware and I/We agree to pay Basan Equity Broking Limited. The brokerage, commission, fees, processing fees, and other charges which are prescribed by regulators as they exist from time to time and as apply to the client account and transactions and the services that the client receives from the BEBL subject to the securities Business only.
- ☺ I/We hereby further declare that I/We am/are aware of the provisions of the Prevention of Money Laundering Act 2002 (PMLA) as far as they concern me/us as an investor/ client and I/we declare that I/We have never been convicted/banned from dealing in securities market in the past under the said Act. I/We confirm that I am/We are in compliance with the "Know Your Client" (KYC) guidelines including conducting due diligence require for Anti Money Laundering (AML) checks as prescribed by the FIU/SEBI. I/We further confirm that all KYC and due diligence process has been followed on a continuous basis as long as our account continues to be held with Trading Members. Further I/We agree to submit/provide all the statutory documents/other compliance details pertaining to my/our trading account whenever required, to fulfill my/our obligation under PMLA.

- ☺ I/We hereby/further declare that I/We will not indulge either directly or indirectly in any of the above mentioned fraudulent or unfair trade practice either individually or in concert with other persons/entities. In the event of any of the above fraudulent or unfair trade practices are noticed by the exchange or regulatory authorities, then I/We shall be solely responsible for such acts as noticed and you shall not be responsible for my/our illegal and fraudulent and unfair trade practices in the capital market segment and future and options segment of the exchange.
- ☺ I/we understand that Basan Equity Broking Limited shall not be responsible of any losses, costs or damages resulting directly or indirectly from the below mentioned circumstances:
 - Any action, omission, suspension or trading, decision or ruling or any exchange or regulatory governmental or other body or of any other person which is beyond the Trading Member's control (including floor broker, exchange, dealing or clearing house).
 - Any war, strike, lock-out, national disaster, act of terrorism, delay in postal service or any other delay or inaccuracy in the transmission of orders of other information, or telecommunication or computer systems.
 - I/We further understand that the above Force Majeure events do not exempt me/us to fulfill the obligations in my/our account.
- ☺ I/we read and understood the set of documents provided to me/us, and understand that this set of documents, from the date of its execution, supersedes the previous documentation, if any executed between me/us and Basan Equity Broking Limited, for the purpose of opening my/our trading account with them.
- ☺ I/We undertake to check the information so forwarded, regularly to me on my designated email id which is been given by me/us to Basan Equity Broking Limited where I/We will received digitally contract notes/bills/statement of accounts/ledgers/statement of funds/securities /Margin statement relating to my/our account or any other important/relevant documents/ circular or communications including the charges in the terms and condition of the services.
- ☺ Further, I/We confirm that I/We will bring discrepancies, if any to the notice of BEBL preferably within 24 hours of the issuance/receipt of the details which are mentioned above.

I/We hereby give this declaration to you without any coercion with sound mind and voluntarily to you which shall be part of my/our Client Registration Form and Account Opening Form on the dates mentioned therein.

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Signature First/Sole Holder



Signature Second Joint Holder



Signature Third Joint Holder

REQUEST LETTER FOR ELECTRONIC COMMUNICATION

To,
BASAN EQUITY BROKING LIMITED

Sub : Request Letter for Electronic Communication

This is inform you that I/We am/are also desirous of receiving the information as below on my/out registered email id as provided in the KYC Form, for the purpose of receiving electronic contract notes (ECN).

Client Name : _____

- ☺ Copy of my KYC Application Form duly filled in & signed
- ☺ Digitally signed contract notes/bills,
- ☺ Statement of Accounts/Ledgers
- ☺ Statement of Funds and Securities
- ☺ Margin statement relating to my/our account
- ☺ Any other important notice, Circular or communication including charges in the terms and conditions of service.

I/We understand that my change in my/our email ID can be made by you only against a physical letter personally signed by me/us, or alternatively if the request is made through the password protected secured access as provided on your website I/we undertake to check the information so forwarded, regularly and bring the discrepancies, if any to BEBL's notice within reasonable time frame of issuance/receipt of the same.

I/We also understand that Non-Bouncing of the said information shall be construed as a valid deemed delivery of the same. Failure on my/our part to check/verify my/our E-mail account on regular basis shall not be a reason for disputing the receipt of the same, at any time and the payment obligations and transactions and trades shall be adhered to and cleared by me/us.

Kindly do the needful as requested.

Date

Client's Name

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Client's Signature

RUNNING ACCOUNT AUTHORIZATION

To,

BASAN EQUITY BROKING LIMITED,

- ☺ I am/We are aware that you have to deliver securities/make payments of funds to me/us for settlement of dealings as per the schedule in force at the relevant time pursuant to directives/regulations/circulars issued by exchanges/regulatory authorities. However, I/We find difficult to carry out repeated pay-in of funds and securities. Further, I/We also desire to use my/our securities and monies as margin/collateral without which we cannot deal/trade. Therefore I/We hereby authorize you to maintain Running Account (S) for me/us with you.
- ☺ I/We would like to avoid multiple settlements and therefore request & authorize you to make the "Settlement" as envisaged herein, on consolidated basis for all exchanges & segments that I deal in.
- ☺ I/We also understand that the above instruction will remain valid from the date of signing of this authorization until revocation by me in writing.
- ☺ I/We also declare that I/We have been duly informed, that I/We reserve the right to revoke this authorization at any time, and also understand that the revocation, if made by me, shall not be applicable against the outstanding obligations on the settlement date, and that you shall be entitled to retain the requisite securities/funds toward such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days. Calculated in the manner specified by the exchanges or make recovery of the outstanding dues payable by me to you
- ☺ I/We also understand that the actual settlement of funds and securities shall be done by you, as per my preference given below. While setting the account, you shall send the 'statement of accounts' containing an extract from the ledger/statement of account for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities including retention statements.
- ☺ I/We also agree that I/We shall bring to your notice in writing any discrepancy or dispute arising from the statement of account within 7 working days from the date of receipt by of funds/securities or statement, as the case may be.
- ☺ I/We also agree that if discrepancy or disputes, if any in respect of the statement of account and/or statement of securities is not addressed to you in writing within 7 days by me/us then the statement of account and /or statement of securities sent by you to me/us by courier or by postal service or any other permissible mode of communication shall be deemed to be correct.
- ☺ I/We further agree and confirm that such periodic settlement of running account may not be necessary, if I/We further agree that you may retain an amount of up to ₹ 10,000/- while setting my account on quarterly/monthly basis as per my/our consent.
 - a. Are availing margin trading facility as per SEBI circulars.
 - b. Have provided funds received towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

Please note that I/We would like the mandatory settlement of funds and securities (if applicable), as below to be made to me/us on the basis indicated below :-

Settlement Preferences : <input type="checkbox"/> MONTHLY <input type="checkbox"/> QUARTERLY
--

Note:

- a. This authorization shall be valid only if signed by the client only and not by any authorized person on his behalf or any holder of the power of Attorney.
- b. Running Account Authorization will continue until it is revoked by client.

Kindly do the needful as requested.

Client's Name : _____ Date : _____

Client Code : _____ Place : _____

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Client's Signature

MOBILE PHONE COMMUNICATION / SMS ALERT / WHATSAPP

To,
BASAN EQUITY BROKING LIMITED,

Sub : Mobile phone communication /SMS Alerts /WhatsApp

This is to confirm that my/our registered mobile number, which is as under :-

Client Name : _____ Registered Mobile No. : _____

Self Spouse's Dependent Children's Dependent Parent's Others _____ Specify _____

- ☺ Further I/We hereby request and authorize you to provide any information relating to my/our account (Bill/Summary/Receipts & payments margin) by way of telephonic calls or SMS alerts.
- ☺ Sending of the above information to me the manner as above shall not be construed as violation of "Do Not Disturb Registry (DND)" made by me.
- ☺ I/We understand that providing of the information in the above manner is an additional and voluntary service on your part, and therefore any failure on your part to provide any information in the above manner, for any reason what so ever, shall not give me/us a right to make a claim against you.
- ☺ Delivery of any information made to me/us in the above manner shall be considered as valid delivery of the information so provided.

Kindly do the needful as requested.

_____ 22 _____
 Date Client's Name Client's Signature

ACTIVATING INTERNET BASED TRADING

To,
 Basan Equity Broking Limited,

Dear Sir / Madam

I request you to enable me to trade in the below exchange through internet trading facility.

ONLINE PRODUCTS : MOBILE APPLICATION **EXE-BASED APPLICATION**

Declaration:

- ☺ I/ we further undertake to keep my / our user ID and password as password as secret for use by me /us only and / we shall be solely responsible for leakage of user ID and password to any other person and consequent willful or otherwise use of my / our mobile trading ID by any other person and further I / we shall be solely responsible and liable for the associated and collateral consequences / damages etc.
- ☺ I also agree to furnish such further information as you or exchange may require from me / us from time.
- ☺ I /we hereby agree to abide by the rules, regulations and byelaws, circulars and communiqué issued by the exchange and / or the company that may be in force from time to time and understand that the exchange / company may initiate appropriate action and / or the company in case of violation of the rules, regulations and byelaws, circulars and communiqué issued.
- ☺ I / We hereby confirm that I have read and understood the contents of the form including declarations, authorization and have also verified the information in the form. I hereby confirm that I have digitally signed the form including declarations, authorizations and copy of documents at all places with inscription

Kindly do the needful as requested.

_____ 23 _____
 Date PAN No. Client's Name Client's Signature

SELF DECLARATION FOR MOBILE NUMBER AND EMAIL ID

To,
BASAN EQUITY BROKING LIMITED,

Dear Sir/Madam

I request you to update the Mobile number and / or Email ID in my trading account as per the details given below :

Client Name : _____ Client Code : _____

Mobile No. : _____

Email ID : _____

I further submit that the above Mobile number belongs to : (Tick any one)

Self Spouse's Dependent Parent's Dependent Children's

I further submit that the above Email ID belongs to : (Tick any one)

Self Spouse's Dependent Parent's Dependent Children's

Please provide us the existing client code for which the Mobile No. and Email ID is registered with _____

I agree to receive SMS / Email alerts from Stock Exchanges on the above Mobile No. / Email ID

Please note :

- ☺ As clarified by the SEBI, customers can have same Mobile No. or Email ID within the family only. SEBI has defined family to include only **1. Self 2. Spouse 3. Dependent Parents 4. Dependent Children.**
- ☺ In case of non individual clients the Mobile No. / Email ID of Director / Major Shareholder / Partner / Trustee can only be given. The common Mobile / Email ID should not belong to Authorized Signatory, CA, Sub-Broker, Dealer Etc.,. Further within a group of companies / Non-individual clients shall not be allowed to use the same Mobile No. / Email ID. Kindly do the needful as requested.

 First/Sole Holder's Name

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 Signature First/Sole Holder

RIGHT TO EXERCISE SET-OFF / LIEN AND SHARING INFORMATION

To,

Basan Equity Broking Limited,

Sub: Right to exercise lien/set-off and sharing information.

With respect to Account Opening Form signed by me/us, we authorize you as under:

That I/we am/are a client of Basan Equity Broking Limited- for investing/trading in securities /permitted for dealing on the respective Exchange and also for investing/trading in those contracts admitted/permitted for dealing on the Derivatives Market segment of the respective Exchanges.

That in respect to the aforesaid applications. I/We hereby authorize BASAN to exercise the rights to set off the balances in my/our accounts with BASAN in any segment/exchange with respect to monies and securities or other prospective, which BASAN may hold on my/our account, shall be held subject to general lien for the discharge of my/our obligations to BASAN under these agreements. The rights of lien and set-off conferred to BASAN by me/us are as follows.

1. All securities in the demat account opened (if any) with the Basan Equity Broking Limited (namely BEBL), and in beneficiary A/c. shall be subject to lien for the discharge of any or all payments due to BEBL from me/us or any other obligations to BEBL and may be held by BEBL as a security against default by me/us respect of the services already availed of by me/us from BEBL
2. The enforcement of the lien aforementioned shall be at the sole and complete discretion of BEBL.
3. I/We agree that BASAN shall have the right of set-off amongst all trading account (S) maintained by me/us with BASAN.
4. The right of set-off as aforesaid shall extend to my/our trading accounts with respect to all broking transactions with BEBL as though such accounts are maintained with BASAN.
5. In case of debit balance in my/our account, if before it is not paid by me/us as per the settlement schedules you are authorized to sell/pledge at any point of time the securities purchased/Held by me/us. If Loss/Profit occurs on these transactions it will be treated as normal sale or purchase and I/We agree to pay the balance amount if any.
6. I/We agree that BEBL may share the information provided by me/us pertaining to my trading and demat account to its Group companies as and when required.

Furthermore, the aforesaid lien/set-off conferred on BASAN shall be in force even after the termination of my/our relationship as a client of BASAN until all obligation under the said agreement (S) are satisfied fully by me/us.

Kindly do the needful as requested.

_____ Date

_____ Client's Name

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_____ Client's Signature

NOMINATION FORM

To,
BASAN EQUITY BROKING LIMITED
Regd. Office /Corp. Office : # 3-6-196/197, Prime Plaza, 2nd Floor Unit No. : 204 A, Himayath Nagar, Hyderabad-29. (T.S.)
Phone : 040-6164 5000 | FAX : 040-2326 2166 | E-mail : helpdesk@basanonline.com | Website : www.basanonline.com

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

- I/We **do not wish to nominate any one for this demat account.**
 [Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form]
- I/We **nominate** the following person/s who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.




BO Account Details

BO ID	
Name of the Sole / First Holder	
Name of the Second Holder	
Name of the Third Holder	

Nomination Details	Nominee 1 - %	Nominee 2 - %	Nominee 3 - %
Name			
Address			
City			
State			
Pin			
Country			
Telephone No.			
Fax No.			
PAN No.			
UID No.			
Email ID			
Relationship with the BO			
Date of Birth (Mandatory if Minor)			

Note : Residual Securities : in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any. This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.

Place : _____ Date : _____

	First/Sole Holder	Second Holder	Third Holder
NAME			
Signature			

Nomination Form accepted and registered wide

Registration No. _____

Date _____

For Basan Equity Broking Limited



Authorised Signatory



ELECTRONIC CONTRACT NOTE [ECN] - DECLARATION MCX

To,
BASAN EQUITY BROKING LIMITED
Regd. Office /Corp. Office : # 3-6-196/197,
Prime Plaza, 2nd Floor Unit No. : 204 A,
Himayath Nagar, Hyderabad-29. (T.S.)
Phone : 040-6164 5000 | FAX : 040-2326 2166
E-mail : helpdesk@basanonline.com
Website : www.basanonline.com

CLIENT CODE : _____

Dear Sir/ Madam,

I, _____ a client with Member M/s BASAN EQUITY BROKING LIMITED,

Member of MCX Exchange undertake as follows :

I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.

I am aware that the Member has to provide physical contract note for my convenience on my request only. Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes.

Therefore, I am voluntarily request for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.

I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations. My email id is _____ this has been created by me and not by someone else.

I am aware that this declaration form should be in English or in any other Indian language known to me.

This declaration has been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note and do hereby take full responsibility for the same.

Client Name _____

UCC _____

PAN _____

Address _____

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Signature

Verified by designated officer
For Basan Equity Broking Limited


Signature
Designated Officer



- CHECKLIST -

FOR INDIVIDUALS

- Two Photographs, duly signed across.
- Self attested clear photocopy of PAN Card in A4 size paper.
- Please provide one of the document as Address Proof with self attested photocopy in A4 size paper :
 1. Passport
 2. Ration Card
 3. Driving License
 4. Voter ID
 5. Bank Statement/Passbook
 6. Electricity/Landline or Postpaid Telephone Bill (not more than 2 Month's old)
 7. Aadhaar Card (Mandatory)
- Please provide a self attested photocopy of BANK Proof in A4 size paper - any of the following :
 1. Bank Passbook (>3 Months old)
 2. Bank Statement (>3 Months old)
 3. Cancelled Cheque Leaf.
- (Optional) Please provide a self attested photocopy of client master copy of holding statement with active status (Demat Proof):
- In case of NRI, please provide the following self attested photocopy in A4 size paper :
 1. Passport
 2. Permission letter issued by RBI/PIS permission letter from an authorized dealer
 3. Local Address & Foreign Address Proof
 4. Demat Proof.

FOR HUF

- Please affix, duly signed across passport size photograph with stamp of KARTA.
- Please provide a self attested photocopy of HUF PAN Card in A4 size paper.
- Please provide one of the document as Address Proof with self attested photocopy in A4 size paper :
 1. Passport
 2. Ration Card
 3. Driving License
 4. Voter ID
 5. Bank Statement/Passbook
 6. Electricity/Landline or Postpaid Telephone Bill (not more than 2 Month's old).
 7. Aadhaar Card (Mandatory)
- Please provide a self attested photocopy of BANK Proof of HUF A/c in A4 size paper - any of the following :
 1. Bank Passbook (>3 Months old)
 2. Bank Statement (>3 Months old)
 3. Cancelled Cheque Leaf.
- (Optional) Please provide a self attested photocopy of client master copy of holding statement with active status of HUF A/c (Demat Proof):
- HUF Declaration Form.
- Include KARTA PAN and Address Proof also. (KARTA OF HUF STAMP is mandate).

FOR CORPORATE

- Please provide Two passport size photograph, duly signed across one of the Director/authorized person to deal in the securities market.
- Please provide photocopy of PAN Card of Company attested by authorized person with Stamp in A4 size paper.
- Please provide Address Proof with attested photocopy by authorized person with stamp in A4 size paper.
- Please provide BANK Proof of Company A/c.
- (Optional) Please provide Company Demat Proof.
- Please provide photocopy of PAN Card, Aadhaar Card (Mandatory) and Photographs of all Directors.
- All Director's and Authorized person's Address proof.
- Please provide Certified true copy of the MOA & AOA with Authorized person's signature and company's round seal.
- Please provide Board Resolution on the company's letter head of Authorized person with round seal.
- Company's round seal in the agreement wherever is required (on KYC form).