# ARCH FINANCE LIMITED

Address : 81, 1st Floor, Daryaganj, New Delhi – 110002 | Contact Us : +91-8595233233 (Press-5 or Press-6), 011-43710000 | Fax: 011-43710055
E-mail : kyc@archfin.com | Website : https://www.archfin.com

**Account Details Addition / Modification Request Form (Trading & DP A/c)**

Dear Sir / Madam ,

I / We request you to make the following additions / modificationsto my / our Trading and Demat account in your records.

**PLEASE FILL ALL THE DETAILS IN BLOCK LETTERS IN ENGLISH.** Please mark ( ) on the appropriate column.

**Account Holder's Details**

| | | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **NSDL** | I | N | 3 | 0 | 3 | 4 | 0 | 3 | **BO ID** | | | | | | | | **DATE** | |
| **CDSL** | 1 | 2 | 0 | 5 | 0 | 5 | 0 | 0 | **BO ID** | | | | | | | | **Trading Code** | |

| **1. Bank & Dividend** | **Existing Details** (As per DP Account) | **New Details** |
|---|---|---|
| Addition ☐ | Bank Name & Branch : | Bank Name & Branch : |
| Modification ☐ | A/c No. : | A/c No. : |
| | A/c Type : | A/c Type : |
| | MICR (Mandatory for DP) : | MICR (Mandatory for DP) : |
| | IFSC Code : | IFSC Code : |

| **2. Address Details** | **Existing Details** | **New Details** |
|---|---|---|
| Modification ☐ | Address : | Address : |
| Permanent / Correspondence | City : | City : |
| | State : | State : |
| | Country : | Country : |
| | Pin Code : | Pin Code : |

| **3. Contact Details** | **Existing Details** | **New Details** |
|---|---|---|
| Addition ☐ | Tel. : | Tel. : |
| Modification ☐ | Mob. : | Mob. : |
| | Email ID : | Email ID : |

**4. Ownership Declaration**

**A. E-mail,I hereby declare that the E-mail ID** given by me belongs to ☐ Myself ☐ Spouse ☐ Dependent Children ☐ Dependent Parent

**B. Mobile,I hereby declare that the Mobile No.** given by me belongs to ☐ Myself ☐ Spouse ☐ Dependent Children ☐ Dependent Parent

**CAS MODE :** ☐ Physical CAS Required ☐ CAS Not Required ☐ CAS Required

**5. ECN activation and other electronic communication for Trading and Demat account :** ☑ Yes ☐ No

I / We hereby give our consent and authorize you to send digital contract notes, bills, ledgers, statement of funds and securities, transaction statements, Monthly / Quarterly Demat statement of accounts / holding statement(s) / bills or other reports, Statement(S), related notices, Circulars, amendments and such other correspondence, documents, records by whatever name called (hereafter referred to as "statement (s)" issued from time to time, at the above mentioned new email id:

| **6. DP Details For Trading A/c** | Pay – In ☐ Payout ☐ | |
|---|---|---|
| DP Name : | DP ID : | Client ID : |

I/We Wish to update the above changes in KRA, Demat and Trading Account.

| **7. Others(Pls Specify)** | **Existing** | **New** |
|---|---|---|
| | | |

**Declaration :** I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief. In case any of the abovementioned information is found to be false or untrue ormisleading or misrepresenting, I am/we are aware that I/we may be held liable forit

| | | | |
|---|---|---|---|
| Client Name | | | |

Signature

ARCH CREATING VALUES

ARCH FINANCE LTD. | Know Your Client (KYC) | Application Form (For Individuals Only)

Regd. Office : 81, 1st Floor, Daryaganj, New Delhi-110002
Ph. : 011-43710000, +91-8595233233 | Fax : 011-43710055
E-mail : care@archfin.com | Website : www.archfin.com

**Please fill in ENGLISH and in BLOCK LETTERS**

Application No. : ________

**PHOTOGRAPH**

**Please affix the recent passport size photograph and sign across it**

(Please see guideline 'D' overleaf)

**A.Identity Details (Please see guidelines overleaf)**

**1. Name of the Applicant ( As appearing in support indentification document)**

**Name** ________________

**Father's/Spouse Name** ________________

**Mother's Name** ________________

**2. Gender** ☐ Male ☐ Female **B.Marital Status** ☐ Single ☐ Married **C. Date of Birth** ________

**3. Nationality** ☐ Indian ☐ Other ________

**4. Status** Please tick ☑ ☐ Resident Individual ☐ Non Resident
☐ Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

**5. PAN** ________
Please enclose a duly attested copy of your PAN Card

**Aadhaar Number** ________

**6. Proof of Identity submitted for PAN exempt cases** Please tick ☑
☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others _

**B. Address Details (please see guidelines overleaf)**

**1.Address for Correspondence** ________________

City/Town ________ Pin Code ________

State ________ Country ________

**2. Contact Details**

Tell Office ________ Tel(Res) ________

Mobile ________ Fax ________

Email-id ________________

**3.Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick ☑ against the document attached.**

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ UID ☐ Driving License ☐ Voter Identity Card
☐ *Latest Electricity Bill ☐ *Latest Bank A/c Statement/Passbook ☐ *Latest Gas Bill ☐ *Latest Telephone Bill (only Land Line) ☐ Other ______

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

Gross Annual Income Details : ☐ < ₹ 1 Lac ☐ =₹ 1-5 Lac ☐ =₹ 5-10 Lac ☐ =₹ 10-25 Lac ☐ ₹ 25 Lac - 1 Crore ☐ > ₹ 1 Crore

**4.Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident / Foreign Nationals Applicant**

Line 1 ________________

Line 2 ________ Line 3 ________

City/Town/Village ________ Pin Code ________

State ________ Country ________

**DECLARATION**

**1. Ownership Declaration - Contact Detail (s)**

**A. E-mail, I hereby declare that the Email ID** given by me belongs to ☐ My Self ☐ Spouse ☐ Dependent Children ☐ Dependent Parent

**B. Mobile, I hereby declare that the Mobile No** given by me belongs to ☐ My Self ☐ Spouse ☐ Dependent Children ☐ Dependent Parent

**2. Declaration for Electronic Communication** ☑ Yes ☐ No

I wish to receive all future communication to me including but not limited to Contract note, Bills and Statement of Accounts to be sent to the above mentioned ID

**DECLARATION** | **SIGNATURE OF APPLICANT**

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

Place : ________ Date : ________

**ATTESTATION / FOR OFFICE USE ONLY**

**In person Verification (IPV) Details / KYC Verification Carried out by :**

Name of the person who has done the IPV : ________________

Designation: ________ Employee ID: ________

Name of Sub-Broker/Authorised Person ________________

Name of the Organization: **Arch Finance Limited** Emp. Branch ________

Date of IPV : ________

________
Seal/Stamp of the Intermediary

________
Signature of the authorised signatory

________
Signature of the person who has done the IPV

☐ Original Verified, Self Attested Documents & Certified copies received

Date ________

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

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 is available at the end
h) List of two character ISO 3166 country codes is available at the end
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 facemode

**For office use only**
(To be filled by financial institution)

Application Type* ☐ NEW ☑ UPDATE
KYC Number ____________ (Mandatory for KYC update request)
Account Type* ☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to facemode)

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

☑ Name* (Same as ID proof) ____________
Maiden Name ____________
Father / Spouse Name ____________
Mother Name ____________
Date of Birth ____________
Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender
PAN ____________ ☐ Form60 furnished

## ☑ 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)

☐ 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 ____________

☑ **PHOTO ***

**PHOTOGRAPH**

**Please affix the recent passport size photograph and sign across it**

**Address**
Line 1* ____________
Line 2 ____________
Line 3 ____________ City / Town / Village * ____________
District* ____________ Pin/Post Code* ____________ State ____________ 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 ____________ 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. Incase 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 / Thumb Impression of Applicant

## 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

| KYC VERIFICATION CARRIED OUT BY / IPV Done by | |
|---|---|
| Emp.Name | |
| Emp. Code | |
| Emp. Branch | |
| Emp. Designation | |
| Date | |
| Signature | |

| INSTITUTION DETAILS | |
|---|---|
| Name | Arch Finance Limited |
| Code | |

## ADDITIONAL INFORMATION RELATED TO TRADING ACCOUNT

### A. BANK ACCOUNT(S) DETAILS

| Bank Name | Branch Address | Bank Account No. | Account Type | MICR Number | IFSC Code |
|---|---|---|---|---|---|
| | | | ☐ Saving<br>☐ Current<br>☐ Others<br>In case of NRI<br>☐ NRO ☐ NRE | | |
| | | | ☐ Saving ☐<br>Current<br>☐ Others<br>In case of NRI<br>☐ NRO ☐ NRE | | |

### B. DEPOSITORY ACCOUNT(S) DETAILS

| Depository Participant Name | Depository Name (NSDL/CDSL) | Beneficiary Name | DP ID | Beneficiary ID (BO ID) |
|---|---|---|---|---|
| Arch Finance Limited | ☐ CDSL ☐ NSDL | | | |
| | ☐ CDSL ☐ NSDL | | | |

### C. OTHER DETAILS

| | |
|---|---|
| **Gross Annual Income Details (please specify** | Income Range Per annum<br>☐ Below 1 Lac ☐ >1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lac - 1 Crore ☐ > 1 Crore<br>Net Worth * Amount As on Date |
| **Occupation (please tick any one and give brief details):** | ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional<br>☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others (Please specify) |
| **Please tick, if applicable** | ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (RPEP) ☐ None |
| **Any other information** | |

*** For Individual Client 'Net-worth' is Optional, In case of Non-Invididual client 'Net-worth' will be mandatory.**

### D. TRADING PREFERENCES

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

| EXCHANGE | SEGMENTS | | |
|---|---|---|---|
| NSE | | | |
| | Cash | F&O | **Currency Derivatives |
| BSE | | | |
| | Cash | F&O | **Currency Derivatives |

Note: If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker. **Currency derivative segment include interest rate future.

## E. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock Exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years, give details (attach annexure if required)

## F. DEALINGS THROUGH AP AND OTHER STOCK BROKERS

If client is dealing through the AP, provide the following details:

| | | | | | |
|---|---|---|---|---|---|
| Ap's Name | | | | | |
| SEBI Registration Number | | | | | |
| Registered office Address | | | | | |
| | | | | Pincode | |
| Website | | Phone | | Fax | |
| Whether dealing with any other stock broker/Ap (if case dealing with multiple stock brokers/AP, provide details of all) | | | | | |
| Name of stock broker | | | | | |
| Name of Authorised Person | | | | | |
| Client Code | | Exchange | | | |
| Details of disputes/dues pending from/to such stock broker/AP | | | | | |

## G. ADDITIONAL DETAILS

| | |
|---|---|
| Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) | ☐ Physical Contract Note<br>☑ Electronic Contract Note (ECN) |
| I/We wish to avail facility provided by the exchange | ☐ SMS Alert ☐ E-mail Alert ☑ Both |
| In case of ECN / E-mail Alert Pls. Specify your Email id | |
| In case of SMS Alert Pls. Specify your Mobile No | |
| Whether you wish to avail of the facility of internet trading/ wireless technology (please specify) | ☑ Yes ☐ No |
| Number of years of Investment/Trading Experience | |
| Any other information | |

## H. INTRODUCER DETAILS

| | |
|---|---|
| Name of the Introducer | |
| PAN of Introducer | |
| Status of the Introducer | ☐ Sub-broker ☐ Remisier ☐ Authorized Person ☐ Existing Client<br>☐ Others (Please Specify) ________ |
| Address of the Introducer | |
| Phone No. of Introducer | |
| Signature of the Introducer | |

## DECLARATION

1. I/We understand that the Stock Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with FATCA/CRS. The Stock Broker is not able to offer any tax advice on FATCA or CRS or its impact on the applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I /We agree, as may be required by Regulatory authorities, Stock Broker shall be required to comply to report, reportable details to regulators / tax authorities / or close or suspend my/our account(s).

2. 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.

3. 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.

4. 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 informedthat the standard set of documents has been displayed for Information on stock broker's designated website, if any.

5. I/We declare that Arch Finance Ltd., the brokers, has put me/us on notice that it is engaged in not only client based trading but also in pro-account trading.

6. 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 nonresident 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 the Authorised Signatory | Signature of the Authorised Signatory |
|---|---|
| | |
| | |
| | |

Date : ____________

## FOR OFFICE USE ONLY

UCC Code allotted to the Client : ______________________ BO ID : ______________________

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

Date : ___________

Signature of the Authorised Signatory

TARIFF SHEET
PRODUCT PLAN*/BROKERAGE(SUBJECT TO APPROVAL)

Name of the Plan ______________________________ *Details as per executed addendum

**CASH SEGMENT**

| Brokerage | in % | Minimum Paise |
|---|---|---|
| **Delivery Based** | | |
| **Daily Square up** | | |

**DERIVATIVES SEGMENT**

| Brokerage | in % | Minimum Paise | * Brokerage per lot ( in Rs.) |
|---|---|---|---|
| **Future** | | | |
| **Option** | | | |

**CURRENCY DERIVATIVES SEGMENT**

| Brokerage | in % | Minimum Paise | * Brokerage per lot ( in Rs.) |
|---|---|---|---|
| **Future** | | | |
| **Option** | | | |

In addition to brokerage, all statutory / exchange charges as applicable would also be levied. In case of physical contract note are being dispatched to client, Rs. 25/- per contract note would be charged towards stationery & postage charges.
It is declared that I/we/the firm / the company:
1. Have not defaulted to any other broker/exchange and/or am/are not suspended/expelled/defaulter member of any exchange.
2. Have not been declared bankrupt/insolvent.
3. Have not been prohibited for dealing in securities/commodities market by any authority.
4. Are not employee of any other broker/exchange
5. An employee of Arch Group and the name of my employer is ____________

I/we agree to pay processing charges (as applicable) / authorise you to debit for this application which will be payable even if my application is rejected due to any reason such as lack of proper supporting documents (Identify/Address/Bank proof etc.)

Client Signature

PAN : ______ Trading : ______ DP Code ______

Name : ______

Place of Birth : ______ Country of Birth : ______

Nationality : ______

Annual Income : ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac ☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ > 1 Crore

New Worth Amount Rs Net Worth as on

Occupation Details : ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service ☐ Public Sector ☐ Agriculturist ☐ Business ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others ______

☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐ None

Are you a tax resident of any country other than India ☐ Yes ☐ No

If yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below :

| Sr.No | Country | Tax Identification Number | Identification Type (TIN or Other, please specify) |
|---|---|---|---|
| 1 | | | |
| 2 | | | |
| 3 | | | |

## DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Arch Finance Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Sole/First Holder Signature Second Holder Signature Third Holder Signature

Date : ______ Place : ______

For Investor convenience, Arch Finance.

Arch Finance collecting this mandatory information for updating across all Group Companies of Arch Finance whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest Arch Finance branch or you can dispatch the hard copy to-

**ARCH FINANCE LTD.**

Registered Office : 81, 1st Floor, Daryaganj, New Delhi-110002 | Ph.: +91-8595233233, 011-43710000| Fax: 011-43710055

E-mail : care@archfin.com

• For Detail Terms & Conditions please visit: **www.archfin.com**

To,

**Arch Finance Limited**

Registered Office : 81, 1st Floor, Daryaganj, New Delhi-110002 | Ph.: 011-43710000, +91-8595233233 | Fax: 011-43710055
E-mail : care@archfin.com | Website : www.archfin.com

**Sub : Internet & Wireless Technology Based Trading**

Sir,

I/We wish to trade through Internet & Wireless Technology Based Trading (IWTBT) facility provided by you as per the options mentioned below

I/We want to opt for ☑ Web Base Trading ☑ CTCL/IBT ☑ Application Base Trading ☑ Exchange based Software

I/We hereby confirm you to send my/our username and password and other related information on the e-mail address mentioned by me/us in KYC.
Further, I/We confirm that I/We have fully read and understood the provisions laid down in the attached annexure pertaining to Internet & Wireless Technology based trading facility provided by stock brokers to clients and do hereby acknowledge the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses in this document under any circumstance what so ever.

Thanks and Best Regards
for

Client Name : ______________________

Client Code : ______________________

______________________
Client Signature

**Arch Finance Limited**

Registered Office : 81, 1st Floor, Daryaganj, New Delhi-110002

Ph.: 011-43710000, +91-8595233233 | Fax: 011-43710055

E-mail : care@archfin.com | Website : www.archfin.com

I / We have been / shall be dealing through you as my / our broker on the Capital Market and / or Futures & Options Segments / Currency Derivative Segments. As my / our broker i.e. agent I / we direct and authorise you to carry out trading / dealings on my / our behalf as per instructions / authorisations given below.

**1.REQUEST FOR TRADE ALERTS THROUGH SMS AND / OR Email:**

In agreement and pursuance to directions and conditions specified by SEBI vide circular no. CIR/MIRSD/15/2011 dated August 2, 2011 and NSE & BSE vide circular no. NSE/INVG/19135 dated October 14, 2011 and 20111118-19 dated 18th November 2011 respectively and circulars/ clarifications issued by SEBI / exchanges from time to time in this regard.

1.1 I/We hereby confirm that I / we wish to receive the trade alerts through (tick whichever is applicable)

☑ SMS alerts ☑ Email alerts

1.2 The alerts should be sent:

I. On my registered Mobile Number / Email Id as per your records, or

II. You are requested to update the Mobile Number / Email Id mentioned below in your records and for the purpose of trade alerts:

a) Mobile No. ____________________

b) Email Address ____________________

I/We am/are aware that the recipient of SMS/Email alerts on the above Mobile Number and / or Email address can be stopped only on my/our written request

**2. AUTHORIZATION FOR SHARING PERSONAL INFORMATION** I/We understand that Arch Finance has outsourced/may outsource certain activities including but not limited to activities relating to KYC, Information Technology functions, technical support functions or any other functions as may be decided by Arch Finance to one or more third parties including group / related entities. I/We would further like to mention that I/We want to make investments in mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s), money market instruments and other products / services etc. and generally to invest in various avenues/products and to redeem/liquidate any investments and want Arch Finance to give effect to my/our desires/ requirem ents. In view of the above I/We authorise Arch Finance to share my/our personal and other information with one or more third parties including group/related entities for any one or more of the above said purpose. I/We agree that any offers/information received shall not be contested on grounds of address/phone included in national do not call registry or any other such restrictive regulations/ laws

**3. AUTHORITY TO PLEDGE THE SHARES / SECURITIES:** I/We wish to use my/our shares/securities as margin/collateral for our trading and therefore shall be ensuring that shares/securities provided by me / us in this regard shall be my/our absolute property and shall not have any prior encumbrance of any type. I/We hereby further authorise Arch Finance to pledge my / our shares/ securities lying with it as margin/ collateral with third parties such as Banks to meet the settlement / margin obligation on my/our behalf as required from time to time. I/We wou ld further like to mention that Arch Finance shall be entitled to invoke pledge at its absolute discretion at any point of time without giving any prior intimation to me / us to meet settlement obligation for my/our trading activities undertaken through Arch Finance

**4. VERBAL ORDER ACCEPTANCE AUTHORISATION:** I/We agree and acknowledge that in order to avoid any disputes it is recommended by you that I/we should give instructions for order placement/modification and cancellation in writing in the format given along with Policies and Procedure Document, and take signatures of two authorised officers of the branch where orders are tendered along with company stamp on the carbon/photocopy of the instructions in acknowledgment of receipt of my/our instructions. However it is my/our view that the fluctuations in market are so rapid that it is not practical to give written instructions for order placement / modification and cancellation. I/We therefore authorise you to accept my (our) / my (our) authorised representative’s verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) by shifting the burden of proof by asking you to prove the placement of orders through telephone recording etc

Continued on next page......

**5. RUNNING ACCOUNT AUTHORISATION**

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Interest Rate future Segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under: I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise. I/We request you to retain securities with you for my/our margin/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/We instruct you to transfer the same to my/our account.

I/We request you to settle my fund and securities account ☑ Once in every calendar Quarter or ☐ Once in a calendar Month or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office. I/we hereby further direct and authorise you to retain net amount upto Rs.10,000/- (net amount across segment and across stock exchanges) as prescribed by the exchange while settling the account on monthly/quarterly (as the case may be) basis in additions to funds being withheld as permitted by SEBI circular MIRSD/SE/Cir-19/2009 in case I/we have traded even once during the last one month/quarter as the case may be. The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.

Thanking you

Yours faithfully

**Client Signature** ______________________ **Date** ______________________

**Client Name** ______________________

**Client Code** ______________________

LETTER OF AUTHORITY NON-MANDATORY

To, Date :

**Arch Finance Limited**

Registered Office : 81, 1st Floor, Daryaganj, New Delhi-110002

Ph.: +91-8595233233, 011-43710000 Fax: 011-43710055

E-mail : care@archfin.com Website : www.archfin.com

**Sub: Letter of Authority - CASH/F&O/Currency Derivative Segment of NSE/BSE**

I/We are dealing with you as client at NSE/BSE in Cash, Derivative & Currency Derivative Segment and in order to facilitate ease of operations. I/We authorise you as under :

1. As I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my / my authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I /We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) under the plea that same were not under mine/our instructions. I/We agree that I/We will not have the right to shift the burden of proof by asking you to prove the placement of orders through telephone recording or otherwise. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions.

2. I/We understand that in case, of my/our failure to make the funds pay in or delivery of securities for my/our deals/trading by designated day, you are entitled to sell off in the market the securities received in payout and/or deem our position closed out at applicable rates;
or
I/We do hereby request you not to carry out such sell off in the market the securities received in payout and/or deem my/our positions closed out and I/We shall in consideration thereof shall pay the financial charges @ 2% per month for the debit balance if any, in my account & not settled as per the exchange requirements.

3. I/We hereby authorise you to keep all the securities which I/we have given you in margin including the payout of securities received by us for meeting margin / other obligation in any of the stock exchanges in whatever manner which may include pledging of shares in favour of bank and / or taking loan against the same or meeting margin/ pay-in obligation on my/our behalf or for giving the same as margin to the any of the Stock Exchanges or otherwise.

4. I/We hereby authorise you not to provide me/us Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.

5. Please debit the charges relevant with depository services from my trading account on monthly basis. I also agree to maintain the adequate balance in my trading account / pay adequate advance fee for the said reason. I/We have a Trading Code __________ .Beneficiary Client ID ____________________ with Arch Finance Ltd

6. I / We authorize Mr./Ms ___________________________________ to deal/transact on my / our behalf and to place order, give instructions, make and receive payments of securities and monies, collect contract notes, bills, order confirmations, trade confirmations, account statements and any other documents or communication, to sign any document, settle the account, enter into any compromise and to do any and all act (s) on my/our behalf which I/ we can do and I/ we the undersigned do hereby agree and declare and confirm that all the acts, and things done by him/her or his/her substitutes shall be my / our acts, deed and things validly done by me / us to all intents and purposes.

7. We request that you may send/dispatch us contract notes/other documents through e-mail on my/our designated e-mail address of ___________________________ I/We will completely rely on the log reports of your despatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute on the same.

8. I/We will inform you the change of my/our email ID, if any, in future either by regd. post or through a digitally signed e-mail.

9. I/We hereby agree and give my/our consent for sending the trade confirmations via SMS and I/We have also understood that we will not receive the telephonic trade confirmations.

For this purpose, I/We would like to confirm following details for the database maintained with you. Please update the records with the same.

Mobile No.: ____________________________________________

10. I/We are aware and acknowledges that trading of all exchanges is in Electronic mode, based on VSat, leased line, ISDN, Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertainfactors and complex hardware, software, systems, communication lines, peripherals, pay in payout of funds & securities, online & offline banking etc. these are susceptible to interruptions, delay, mistake and dislocations; and your services may at any time be unavailable without further notice and I/we understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading halt, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control and may result in delay in processing or not processing of any orders either in part or in full. I understand that you are not making any representation or warranty that your service will be available to the Client at all times without any interruption. I/we agree that I/we shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, non-availability or malfunctioning of your System or Service for any reason whatsoever.

11. I/We confirm that I/we will never sublet the trading terminal on any term of connectivity from my place to any other place without your prior approval.

12. All fines/penalities and changes levied upon you due to my acts / deeds or transactions may be recovered by you from my account.

Thanking you

Yours faithfully

Client Name : ____________________

Client Signature ____________________

Client Code : ____________________

DECLARATION FOR NAME MISMATCH WITH POSSIBLE SIGNATURE SPECIMEN

I hereby declare that, my name mentioned

1. In PAN Card is ____________________

& Signature Specimen on PAN

2. In Additional ID Proof i.e. Voter ID/Passport/Driving License is ____________________

& Signature Specimen on ID Proof

3. In Bank Account No ____________________ it is ____________________

& Signature Specimen on Bank

4. In ____________________ is this ____________________

& Signature Specimen is

Further I Declare that the names with signature specimen mentioned in above details document pertains to me, therefore I request you to register my account and make all the pay outs in the same name as mentions in my bank proof

Thanks

Date ____________

Client Name : ____________________

Client Signature ____________________

Client Code : ____________________

Dear Client

To Client Code : ________

**Arch Finance Limited**

[Member of the National Stock Exchange of India Ltd., Bombay Stock Exchange Ltd. (NSE, BSE)]
Regd. Office: 81, 1st Floor, Daryaganj, New Delhi-110002
(2) Arch Finance Ltd.
[Depository Participant (NSDL, CDSL)]
Regd. Office: 81, 1st Floor, Daryaganj, New Delhi-110002
(Hereinafter jointly referred as 'ARCH')

Dear Sir,

**Sub : Right to Exercise Set-Off / Lien**

I/We, ________________________________ an individual / a sole proprietary concern/ a partnership firm / a body corporate/Trust, registered / incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956 or any relevant Act, having my / our residence / registered office at. ________________________________________________ That I/we , am/are a Client of Arch Finance Ltd. (Jointly referred to as ARCH) and have executed a seperate Member Client Agreement with each of the aforestated company/ies for investing/trading in securities admitted/permitted for dealing on the respective Exchanges 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 aforestated agreements, I/we hereby authorise ARCH to exercise the right to set off the balances in my/our accounts with ARCH in any segment/exchange with respect to monies, securities. All monies, securities or other property, which ARCH may hold on my/our account, shall be held subject to a general lien for the discharge of my/our obligations to ARCH under these agreements. The right of lien and set-off conferred to ARCH by me/us are as follows :

1. All securities in the demat account opened (if any) with the depository Participant (namely Arch Finance Ltd.) shall be subject to lien for the discharge of any or all payments due to ARCH from me/us or any other obligations to ARCH and may be held by ARCH as a security against default by me/us in respect of the services already availed of by me/us from ARCH.

2. The enforcement of the lien aforementioned shall be at the sole and complete discretion of ARCH

3. I/We agree that ARCH shall have the right of set-off amongst all trading account/(s) maintained by me/us with ARCH.

4. The right of set-off as aforesaid shall extend to my/our trading accounts with respect to all broking transactions with associated concerns, affiliates or sister concerns of ARCH as though such accounts are maintained with ARCH.

Furthermore, the aforestated lien/set-off conferred on ARCH shall subsist even after the termination of the aforestated Member - Client Agreements with ARCH until all obligations under the said agreements are satisfied fully by me/us. The said right of lien/setoff shall be exercised by ARCH jointly and/or, severally by each of the aforestated companies.

Thanking you,

Yours truly,

Date ________________________

Client Name: ________________________

________________________
Client Signature

Client Code: ________________________

## ADDENDUM TO THE CLIENT REGISTRATION / KEY INFORMATION NON-MANDATORY

In compliance with the provisions of Prevention of Money Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document: -

**PREVENTION OF MONEY LAUNDERING**

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1,2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18,2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number CIR/ISD/AML/3/2010 dt. 31/12/10 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Section 12 of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record constituents telephonic calls and/or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The constituents or their attorney, if any, shall produce independent source documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses/fails to produce the required documents and information with in the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to noncompliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.

This document form an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time

Date ______________________

Client Name: ______________________

______________________
Client Signature

Client Code: ______________________

## DISCLOSURE INFORMATION (ARCH FINANCE LTD.)

To,

Dear Client,

Sir/Madam,

This is to inform you that we do client based trading and Pro-account Trading in National Stock Exchange of India Limited (NSE) and Bombay Stock Exchange Limited (BSE).

Thanks & best regards

**For ARCH FINANCE LTD.**

I acknowledge the receipt of the information given by ARCH FINANCE LTD. that they do client trading and Pro-account trading.

## LIMITED PURPOSE POWER OF ATTORNEY

This Power of Attorney is executed on this ____________ day of ____________ Between Mr./Ms./M/S ____________________ S/o/D/o of ____________________ registered Office at ____________________________ as One Part,

AND

M/S Arch Finance Limited (hereinafter referred to as “ARCH”), a Company duly incorporated under the Companies Act, 1956 and having its Registered Office at 81, 1st Floor, Daryaganj, New Delhi-110002 as the Second Part,

RECITALS

WHEREAS ARCH is providing various securities related services which inter alia includes but is not limited to transactions in connection with purchase or sale of securities, script, stocks etc. Whereas ARCH is a member of Bombay Stock Exchange Ltd, baring SEBI Registration No. INZ000206539, member of National Stock Exchange of India Limited bearing SEBI Registration NO. INZ000206539

WHEREAS I/We hold a Beneficiary account, bearing Client ID/BOID _________________ with Arch Finance Limited, a Depository Participant (DP ID-NSDL- IN303403, CDSL-50500) (hereinafter referred to as “ARCH (DP)” in order to avail the various services being offered by ARCH.

NOW THEASE PRESENTS WITNESSES THAT I/WE do hereby jointly and severally nominate, constitute and appoint ARCH, acting through their respective Director(s), employees or such other person as may be authorized by them by way of Resolution, whether passed in a meeting of the Board of Directors or any Committee formed by the Board, for the aforesaid and various other purpose, as my/our true and lawful attorney to do, execute and perform severally the following acts, deeds, matters and things:

1. To operate the specified aforementioned Beneficiary Account and issue instructions relating to Demat of securities and to sign and execute delivery instruction slip to effect transfer of shares/securities form my/our beneficiary account, to execute receipt instructions, pledge instructions, pledge closure instructions and all such other instructions that may be required to facilitate the transactions undertaken by me/us pursuant to the Member Client Agreement

2. To instruct the ARCH (DP) to debit securities and /or to transfer securities from the aforementioned Beneficiary Account to the Pool Account of ARCH as mentioned herein below for the purpose of delivering the same to the Clearing Corporation of the aforesaid Stock Exchanges towards any segment in respect of the securities sold by me/us through them (Including pay in/pay out due to exercise to rights by ARCH over securities considered as margin/collateral/security):

| | NSE | | BSE | |
|---|---|---|---|---|
| | **NSDL** | **CDSL** | **NSDL** | **CDSL** |
| **CM-BP-ID / BO ID** | **IN564633** | **12050500 00000045** | **IN632571** | **12050500 00000366** |

4. I/we want you to consider the securities in my/our demat account as margin/collateral/security for any and all dealings which as per your records /opinion are done /to be done through./with you. And to instruct the ARCH (DP) to debit securities and /or to transfer securities from my aforementioned Beneficiary Account to the Margin Account(s) of the ARCH as mentioned herein below and for creating/maintaining collateral/security/margin in form of securities:

| Account Name | Account No. |
|---|---|
| Arch Finance Limited - Client Securities Margin Pledge Account | IN303403-10027058 |
| Arch Finance Limited - Client Securities Margin Pledge Account | 12050500-00018479 |

5.To do all such acts, deeds, things as may be required to ensure that all deliveries of securities arising out of transactions undertaken by me/us under the Agreement are duly and properly completed.

6.To do all such other acts or deeds which ARCH in its sole discretion considers necessary in this connection, in order to complete the Transaction(s)

7.Whereby ARCH undertakes to return the securities that may have been received by them erroneously or those securities that it was not entitled to receive.

8. Whereby this Power of Attorney is revocable at any time, without notice to either party

I DO HEREBY for myself, my heirs, executors and administrators do hereby agree to ratify, confirm and validate all and whatsoever my said

Attorney shall do or purport to do or cause to be done by virtue of these presents.

This document shall be subject to the exclusive jurisdiction of the courts of law at the place of acceptance of this Power of Attorney by the Attorney.

I/We do hereby undertake to ratify whatever the said Attorney may lawfully do in and by virtue of these presents

| Sole/First Holder Signature | Second Holder Signature | Third Holder Signature |
|---|---|---|
| Sole/First Holder Name<br>____________________ | Second Holder Name<br>____________________ | Third Holder Name<br>____________________ |
| Address<br>____________________<br>____________________ | Address<br>____________________<br>____________________ | Address<br>____________________<br>____________________ |

| Witness - I | | Witness - II | | Witness - III | |
|---|---|---|---|---|---|
| Name | | Name | | Name | |
| Address | | Address | | Address | |
| Signature | | Signature | | Signature | |

Attestation by Notary Public or witness that this Power of Attorney was executed by the donor(s) above named before me/us.

Accepted for and on behalf of donee

Signed for and on behalf of donee Arch Finance Ltd. (Stock broking division) in acceptance at ____________________

________________________________________