ARCH
CREATING VALUES

ARCH FINANCE LIMITED

NSE / BSE | DP : NSDL

ACCOUNT OPENING FORM

Branch Code / Sub-Broker Name...

Client Name...

Client Code ....

Demat Account No. IN303403...

Date of Registration..

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners /Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8 For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11 Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI): *- List of documents admissible as Proof of Identity:*

1 Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): *- List of documents admissible as Proof of Address:*

*(*Documents having an expiry date should be valid on the date of submission.)*

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/ Gazetted Officer/Notary. public/Elected representatives to the Legislative Assembly/ Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/ document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(Sufficient documentary evidence in support of such claims to be collected.)

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

E. List of people authorized to attest the documents:

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

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

Types of Entity	Documentary requirements
Corporate	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership Firm	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of partnership deed. • Photograph, POI, POA, PAN of Partners. • Certificate of registration (for registered partnership firms only). • Authorised signatories list with specimen signatures.
Trust	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of Trust deed. • Photograph, POI, POA, PAN of Trustees. • Certificate of registration (for registered trust only). • List of trustees certified by managing trustees/CA.
HUF	• PAN of HUF. • Bank pass-book/bank statement in the name of HUF. • Deed of declaration of HUF/ List of coparceners. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	• Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign institutional Investors (FII)	• Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures
Army/ Government Bodies	• Self-certification on letterhead. • Authorized signatories list with specimen signatures
Registered Society	• Copy of Registration Certificate under Societies Registration Act. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • List of Managing Committee members. • True copy of Society Rules and Bye Laws certified by the

INSTRUCTIONS/ CHECK LIST (for filling additional information related to trading account)

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

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

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

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

ACKNOWLEDGMENT

Form No. ....

Received the application from Mr./Ms.. as the Sole, First holder alongwith .... and .... as the Second and Third holders respectively for opening Trading and Demat account. Your account will be opened after due verification by us. You can check the status of the application submitted by you on our website (www.archfin.com)

Your Client Id will be intimated to you once your account gets opened successfully. Please quote the DP ID & Client ID allotted to you (CM-BP-ID in case of Clearing Members) in all your future correspondence.

For **ARCH FINANCE LTD.**

Name of Relationship Manager | | | | | | | | | | | | | | |

Mobile No. of Relationship Manager | + | 9 | 1 | | | | | | | | | | | |

Stamp and Sign

You may contact us at our

Customer Care No. **8595233233** or Email to us at **www.archfin.com**

P.S.: Please take this acknowledgement receipt from the RM/Branch who has contacted you.

*Trading account can not be opened in joint names.

ACCOUNT OPENING KIT - NSE, BSE & NSDL

Location	
Client Code	

INDEX

ARCH™
CREATING VALUES

EXCHANGE NAME / D. P.	SEGMENT	SEBI REGISTRATION NO.	DATE	MEMBER ID
NSE	Cash	INZ000206539	15/10/2018	09698
NSE	F&O	INZ000206539	15/10/2018	09698
NSE	Currency Derivatives	INZ000206539	15/10/2018	09698
BSE	Cash	INZ000206539	15/10/2018	3257
BSE	F&O	INZ000206539	15/10/2018	3257
BSE	Currency Derivatives	INZ000206539	15/10/2018	3257
NSDL	Depository Participant	IN-DP-575-2021	May 2021	

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

Corporate Address :
81, 1st Floor, Darya Ganj, New Delhi-110002
Ph.: 8595233233 | Fax: 011-43710055
E-mail : care@archfin.com | Website : www.archfin.com

Compliance Officer Details (NSE, BSE & NSDL) :
Name : Panchi Jain
Phone No. : 011-43710000
Email id : compliance@archfin.com

CEO's Details :
Name : Narendra Goushal
Phone No. : 011-43710000
Email id : ceo@archfin.com

For any grievance/dispute please contact **Arch Finance Ltd.** at the above address or email id: **grievance@archfin.com** and **Ph.: 011-43710000**. In case not satisfied with the response, please contact the concerned exchange(s) at :

Exchange Name	Email ID	Phone No.
NSE	ignse@nse.co.in	+91-22-26598100
BSE	is@bseindia.com	+91-22-22721233/34
NSDL	relations@nsdl.co.in	+91-22-24994200

Filing of complaints on SEBI SCORES - Easy & Quick (https://www.scores.gov.in/scores/Welcome.html)

a. Register on SCORES portal
b. Mandatory details for filing complaints on SCORES: i.e. Name, Pan, Address, Mobile Number, Email ID
c. Benefits:
   i. Effective communication ii. Speedy redressal of the grievances

ACKNOWLEDGEMENT

I / We acknowledge receipt of the documents at serial 24, 28, 33, 35, & 39 mentioned overleaf under INDEX. I / We have read the contents of these and agree to abide by them. I / We further understand that the copies of rest of the documents mentioned in Index shall be provided to me / us after Verification / Acceptance / Execution by the broker and Depository Participant.

(1)

Sole/First Holder Signature | Second Holder Signature | Third Holder Signature

ARCH FINANCE LTD.
Regd. Office: 81, 1st Floor, Darya Ganj, New Delhi-110002
Ph.: 8595233233 | Fax: 011-43710055
E-mail : care@archfin.com | Website : www.archfin.com

Know Your Client (KYC) Application Form (For Individuals Only)

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in support identification document).

Name

Father's/Spouse Name

Mother's Name

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

2. Gender ☐ Male ☐ Female **B. Marital Status** ☐ Single ☐ Married **C. Date of Birth** d d / m m / y y y y

3. Nationality ☐ Indian ☐ Other (Please specify)

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 (Please see guideline 'D' overleaf

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City/Town/Village Pin Code

State Country

2. Contact Details

Tel. (Off.)	(ISD)	(STD)	Tel. (Res.)	(ISD)	(STD)
Mobile	(ISD)	(STD)	Fax	(ISD)	(STD)
E-Mail 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 ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please Specify)

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

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

City/Town/Village Pin Code

State Country

DECLARATION

1. Ownership Declaration - Contact Detail (s)

A. E-mail-I hereby declare that the E-mail ID given by me belongs to ☐ Me or my family ☐ in case of family, the owner of E-mail ID is ☐ my Spouse ☐ Dependent children ☐ Dependent Parent

B. Mobile- I hereby declare that the Mobile given by me belongs to ☐ Me or my family in case of family the owner of Mobile is ☐ my 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

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

SIGNATURE OF APPLICANT

✍ (2)

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 LTD.** Emp. Branch

Date of IPV: D D / M M / Y Y Y Y

Signature of the person who has done the IPV

Seal/Stamp of the Intermediary

☐ Original Verified, Self Attested Documents & Certified copies received **Date** D D M M Y Y Y Y

Signature of the Authorised Signatory

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

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick (✓) wherever applicable.
C) Please fill the form in English and in BLOCK letters.
D) Please fill the date in DD-MM-YYYY format.
E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
F) Please read section wise detailed guidelines / instructions at the end.
G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 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 to accounts opened using OTP based E-KYC in non-face to face mode.

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 face mode)

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

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				

Date of Birth* D D – M M – Y Y Y Y
Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender
Marital Status* ☐ Married ☐ Unmarried ☐ Others
PAN* ______ ☐ Form 60 furnished
Citizenship* ☐ IN- Indian ☐ Others (ISO 3166 Country Code ___)
Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

☐ 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*

Signature / Thumb Impression

Address

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

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

☐ Same as above mentioned address (in such cases address details as below need not to 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

Address

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

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

Tel. (Off) – Tel. (Res) – Mobile –

Email ID

5. REMARKS (If any)

6. APPLICANT DECLARATION

- I hereby declare that the KYC details furnished by me are true and correct to the best of my knowledge and belief and I under-take 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 amaware that I may be held liable for it.
- I hereby consent to receiving information from KRA/CERSAI (CKYC) through SMS/Email on the above registered number/Email address.
- I am also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I hereby consent to sharing my masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

(3) [Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Date : D D – M M – Y Y Y Y Place :

7. ATTESTATION / FOR OFFICE USE ONLY

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

KYC / IN-PERSON VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date D D M M Y Y Y Y Place	Name **ARCH FINANCE LTD.**
Emp. Name	Code
Emp. Code	[Signature of Authorised Signatory]
Emp. Designation	
Emp. Branch	
[Employee Signature]	[Institution Stamp]

N

ARCH CREATING VALUES

ARCH FINANCE LTD.
Regd. Office: 81, 1st Floor, Darya Ganj, New Delhi-110002
Ph.: 8595233233 | Fax: 011-43710055
E-mail : care@archfin.com | Website : www.archfin.com

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

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

A. Identity Details (please see guidelines overleaf)

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

2. Date of Incorporation d d / m m / y y y y **Place of Incorporation**

3. Registration No. (e.g. CIN) **Date of commencement of business** d d / m m / y y y y

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

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

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City/Town/Village Postal Code
State Country

2. Contact Details

Tel. (Off.) **(ISD)** **(STD)** Tel. (Res.) **(ISD)** **(STD)**
Mobile **(ISD)** **(STD)** Fax **(ISD)** **(STD)**
E-Mail Id.

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf). (Please specify)
*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** d d / m m / y y y y

4. Registered Address (If different from above)

City/Town/Village Postal Code
State Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf). (Please specify)
*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** d d / m m / y y y y

C. Other Details (please see guidelines overleaf)

1. **Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors** (Please use the Annexure to fill in the details)
1. **Any other information :**

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Place: Date:

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

✍ (4)

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 LTD.** Emp. Branch
Date of IPV: D D / M M / Y Y Y Y

Signature of the person who has done the IPV

Seal/Stamp of the Intermediary

☐ Original Verified, Self Attested Documents & Certified copies received **Date** D D M M Y Y Y Y

Signature of the Authorised Signatory

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity / Other than Individuals

Important Instructions:

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

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

Application Type* ☐ New ☐ Update
KYC Number *(Mandatory for KYC update request)*

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

☐ Name*

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

Date of Incorporation / Formation* D D – M M – Y Y Y Y
Date of Commencement of Business D D – M M – Y Y Y Y

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

PAN* ☐ Form 60 furnished

TIN / GST Registration Number

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

☐ Officially void document(s) in respect of person authorised to transact
☐ Certificate of Incorporation / Formation
☐ Registration Certificate Regn. Certificate No.
☐ Memorandum and Articles of Association
☐ Partnership Deed
☐ Trust Deed
☐ Resolution of Board / Managing Committee
☐ Power or attorney granted to its manager, officers or employees to transact on its behalf
☐ Activity Proof - 1 (For Sole Proprietorship Only)
☐ Activity Proof - 2 (For Sole Proprietorship Only)

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

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

Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document______________________

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

3.1 Registered Office Address / Place of Business*

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

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

Tel. (Off) – FAX –
Mobile – Email ID
Mobile – Email ID

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

☐ 6 REMARKS (If any)

7. APPLICANT DECLARATION (Please refer Instruction G at the end)

- 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/we am/are aware that I/we may be held liable for it.
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D – M M – Y Y Y Y Place :

(5) [Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copy ☐ Equivalent e-document

KYC / IN-PERSON VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date D D M M Y Y Y Y Place	Name **ARCH FINANCE LTD.**
Emp. Name	Code
Emp. Code	
Emp. Designation	
Emp. Branch	
[Employee Signature]	[Institution Stamp]

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

Name of Applicant ______________________ PAN of the Applicant

1. Name
PAN DIN (For Directors) / UID (for Others)
Residential /Registered Address
City/Town/Village Pin Code
State Country
Relationship with Applicant (i.e. promoters, whole time directors etc.)
Whether Politically Exposed ☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO

Please affix the recent passport size photograph and sign across it

2. Name
PAN DIN (For Directors) / UID (for Others)
Residential /Registered Address
City/Town/Village Pin Code
State Country
Relationship with Applicant (i.e. promoters, whole time directors etc.)
Whether Politically Exposed ☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO

Please affix the recent passport size photograph and sign across it

3. Name
PAN DIN (For Directors) / UID (for Others)
Residential /Registered Address
City/Town/Village Pin Code
State Country
Relationship with Applicant (i.e. promoters, whole time directors etc.)
Whether Politically Exposed ☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO

Please affix the recent passport size photograph and sign across it

4. Name
PAN DIN (For Directors) / UID (for Others)
Residential /Registered Address
City/Town/Village Pin Code
State Country
Relationship with Applicant (i.e. promoters, whole time directors etc.)
Whether Politically Exposed ☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO

Please affix the recent passport size photograph and sign across it

5. Name
PAN DIN (For Directors) / UID (for Others)
Residential /Registered Address
City/Town/Village Pin Code
State Country
Relationship with Applicant (i.e. promoters, whole time directors etc.)
Whether Politically Exposed ☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO

Please affix the recent passport size photograph and sign across it

(5)
Name & Signature of the Authorised Signatory(ies)

Date d d / m m / y y y y

ADDITIONAL INFORMATION RELATED TO DEMAT ACCOUNT (FOR INDIVIDUAL/HUF/NON-INDIVIDUAL ONLY) - NSDL

ARCH™
CREATING VALUES

DP : NSDL • DP ID : IN303403
SEBI Regn. No. : IN-DP-575-2021

ARCH FINANCE LIMITED

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

(To be filled by the Depository Participant)

Application No.									Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																	
DP ID	I	N	3	0	3	4	0	3	Client ID								

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

HOLDERS DETAILS

Sole/First Holder's Name		PAN	
		UID	
Second Holder's Name		PAN	
		UID	
Third Holder's Name		PAN	
		UID	

Occupation (please tick any one and give brief details)	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional	☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others (Please specify; ________	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional	☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others (Please specify; ________	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional	☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others (Please specify; ________
Brief details:						

Name* ____

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

TYPE OF ACCOUNT (Please tick whichever is applicable)

☐ Individual	☐ Individual Resident ☐ Individual Director ☐ Individual Director's Relative ☐ Individual HUF/AOP ☐ Individual Promoter ☐ Minor ☐ Individual Margin Trading A/c (Mantra) ☐ Others (Specify)________________
☐ NRI	☐ NRI Repatriable ☐ NRI Non-Repatriable ☐ NRI Repatriable Promoter ☐ NRI Non-Repatriable Promoter ☐ NRI - Depository Receipts ☐ Others (Specify)________________
☐ Foreign National	☐ Foreign National ☐ Foreign National-Depository Receipts ☐ Others (Specify)________________

Status						Sub-Status (To be filled by the DP)
☐ Body Corporate	☐ Banks	☐ Trust	☐ Mutual Fund	☐ OCB	☐ FII	
☐ CM ☐ FI	☐ Clearing House	☐ Other (Specify)____________________				

SEBI Registration No. (if applicable)		SEBI Registration Date	D D M M Y Y Y Y
RBI Registration No. (if applicable)		RBI Approval Date	D D M M Y Y Y Y
Nationality	☐ Indian ☐ Others (specify)____________________		

FINANCIAL DETAILS

Gross Annual Income Details (please specify) : Income Range per annum : ☐ 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

Net Worth (Net worth should not be older than 1 year) Amount Rs...

as on (date) D D M M Y Y Y Y (Compulsory for Non-Individuals)

Please tick, if any of the authorized signatories/Promoters/Partners/Karta/Trustees/Whole time directors is either

☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP) (Please provide details as per annexure 2.2A)

Any other information : ....

DETAILS OF GUARDIAN (in case the account holder is minor)

Guardian Details (where sole holder is manor) [For account of a minor, two KYC & C-KYC application Form must be filled i.e. one for the guardian and another for the minor(to be signed by guardian]

Guardian's Name		PAN	
Relationship with the applicant			

I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')	[Automatic Credit] 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. (If not marked, the default option would be 'No')	Yes ☐ No ☐
Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id______________________________	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 (Tick the applicable box. If not market the default option would be in Physical)	☐ Physical ☐ Electronic ☐ Both Physical & Electronic

☐ **I/We wish to Open / Convert this Demat Account under BSDA Category.** (Subject to Terms and Conditions related to BSDA)

☐ **I/We do not wish to Open / Convert this Demat Account under BSDA Category.**

Open / Convert this account as under : ☐ **Normal AMC** ☐ **Lifetime AMC**

CAS Mode : ☐ **Physical CAS Required** ☐ **CAS not Required** ☐ **CAS Electronic**

☐ **I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening**

☐ **I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/us immediately on my/our request at any later date.**

I/We wish to receive dividend/interest directly in to my bank account as given below 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 ☐

BANK DETAILS (Dividend Bank Details)

Bank Code (9 digit MICR Code)										
IFS Code (11 Character)										
Account Number										
Account Type	☐ Saving ☐ Current ☐ Others (specify)______________									
Bank Name										
Branch Name										
Bank Branch Address										

City		State		Country		PIN	

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque books is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO.
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.

➢ In case of option (ii), (iii) and (iv) above, MICR Code of the branch should be present/mentioned on the document.

SMS Alert facility: [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]

Sole / First Holder ☐ Yes ☐ No	**Second Holder** ☐ Yes ☐ No	**Third Holder** ☐ Yes ☐ No

Mode of Receiving Statement of Account [Tick any One]

☐ Physical Form ☐ Electronic Form

Mode of Operation for Joint Accounts	☐ Jointly	☐ Anyone of the holder or survivor(s)
Mode of Communication for Joint Accounts	☐ First Holder	☐ All Joint Holders

If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.

Notes:

Other Than above transaction /Condition, all the other request should be duly signed by all the holder.

DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting. I am/we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document "Right and Obligations of the Beneficial Owner & Depository Participant" in Physical Form ☐ Electronic Form. ☐

Holder	Name	Signature
Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor) /		✍ (6)
Second Holder		✍
Third Holder		✍

NOMINATION FORM - TRADING AND DEMAT ACCOUNTS (Annexure-A)

(To be filled in by individual applying singly or jointly)

ARCH FINANCE LTD.
Registered Office : 81, 1st Floor, Darya Ganj, New Delhi-110002 | Ph.: 8595233233 | Fax: 011-43710055
E-mail : care@archfin.com | Website : www.archfin.com

ARCH™ CREATING VALUES

DATE	D	D	M	M	Y	Y	Y	Y	UCC								
DP ID									Client ID								

I/We **wish to make a nomination.** *[As per details given below]*

NOMINATION DETAILS

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me/us in the said beneficiary owner account in the event of my / our death.

Nomination can be made upto three nominees in the account			Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the nominee(s) Mr./Ms.)				
2.	Share of each Nominee	Equally [If not equally, please specify percentage]	%	%	%
			Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3.	Relationship with the Applicant (if any)				
4.	Address of Nominee(s) City / Place State / Country	PIN Code			
5.	Mobile/Telephone No. of Nominee(s)				
6.	Email ID of nominee(s)				
7.	Nominee Identification details - [Please tick any one of following and provide details of same] ☐ Photograph & Signature ☐ PAN ☐ AADHAAR ☐ Saving Bank A/c No. ☐ Proof of Identity ☐ Demat Account ID				
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor :					
8.	Date of Birth {in case of minor nominee(s)}				
9.	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}				
10.	Address of Guardian(s) City / Place State / Country	PIN Code			
11.	Mobile/Telephone No. of Guardian				
12.	Email ID of nominee(s)				

13.	Relationship of Guardian with nominee			
14.	Guardian Identification details - [Please tick any one of following and provide details of same] ☐ Photograph & Signature ☐ PAN ☐ AADHAAR ☐ Saving Bank A/c No. ☐ Proof of Identity ☐ Demat Account ID			

	Name(s) of Holder(s)	Signature(s) of Holder
Sole/First Holder (Mr./Ms.)		(6)
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

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

INSTRUCTIONS :

1. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
2. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
3. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
7. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
8. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
9. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
10. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
11. Savings bank account details shall only be considered if the account is maintained with the same participant.
12. DP ID and client ID shall be provided where demat details is required to be provided.

DECLARATION FORM FOR OPTING OUT OF NOMINATION (Annexure-B)

To,

ARCH FINANCE LTD.

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

ARCH™ CREATING VALUES

DATE	D	D	M	M	Y	Y	Y	Y	UCC								
DP ID									Client ID								

Sole/First Holder Name	
Second Holder Name	
Third Holder Name	

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

Signatures of Holder(s)	(7)		
	Signature of 1st Holder	Signature of 2nd Holder	Signature of 3rd Holder

DECLARATION BY HUF

To,

Date: ____________________

ARCH FINANCE LTD.

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

As our HUF firm wishes to open an account with you in the said name.. we beg to say that the first signatory to this letter, i.e., ...is the Karta of the Joint Family and other signatories are the adult co-parceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said Karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to you from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the Karta, including the share of minor co-parcenersIn view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said Act.

We hereby undertake to inform you of the death or birth of a co-parcener of any change occurring at any time in the membership of our joint family during the currency of the account.

This is to certify that following are the family members under____________________________(HUF)

S. No.	Name	Gender (Male/Female)	Relationship with Karta	Signature	Date of Birth							
1.					D	D	M	M	Y	Y	Y	Y
2.					D	D	M	M	Y	Y	Y	Y
3.					D	D	M	M	Y	Y	Y	Y
4.					D	D	M	M	Y	Y	Y	Y
5.					D	D	M	M	Y	Y	Y	Y
6.					D	D	M	M	Y	Y	Y	Y
7.					D	D	M	M	Y	Y	Y	Y

For______________________________(HUF)

* Please stamp and sign.

✍ (8) ____________________

Client Signature (Karta)

ARCH FINANCE LTD.

ARCH CREATING VALUES

Member : NSE, BSE • DP (NSDL) DP ID : IN303403 • SEBI REGN. NO.: IN-DP-575-2021
Registered Office : 81, 1st Floor, Darya Ganj, New Delhi-110002 | Ph.: 8595233233 | Fax: 011-43710055
E-mail : care@archfin.com | Website : www.archfin.com

ACTIVITY	☐ NORMAL DEMAT CHARGES	☐ BSDA DEMAT CHARGES
Statutory Charges at the time of Account opening	NIL	NIL
(i) Annual Maintenance Charges (Normal Scheme) **(ii) Loyalty Plan (For Individuals only)**	AMC Rs. 300/- + GST (Annually) (For individual a/c) AMC life time free Rs. 1000 + GST AMC Rs. 1000/- + GST (For Corporate a/c)	AMC free if shares valuation upto 50000 Rs. 100/- (share valuation is 50,001 to 2,00,000/-) When share valuation across 50000 AMC will be charge 100/- and valuation across 2,00,000 account operate as normal A/c.
Dematerialisation	Rs. 20/- per DRF + Rs. 3/- per Cer. * (if quantity is more than 1000 on certificate then Rs. 3/- will be charged per 1000 quantity of shares)	Rs. 75/- per DRF + Rs. 10/- per Cer. * (if quantity is more than 1000 on certificate then Rs. 10/- will be charged per 1000 quantity of shares)
Rematerialisation	Rs. 20/- per certificate* or Rs. 20/- per 100 securities or part quantity whichever is higher	Rs. 75/- per certificate* or Rs. 75/- per 100 securities or part quantity whichever is higher
Transaction Charges		
A. Transaction Charges (Market)	0.02% subject to minimum Rs. 16.95/-	0.05% subject to minimum Rs. 35/-
B. Transaction Charges (Off-Market)	0.02% of value of transactions or minimum Rs. 50/- whichever is higher	0.05% of value of transactions or minimum Rs. 50/- whichever is higher
Custody Charges	Nil	
Creation of Pledge	Rs. 50/- per request of 0.02% of transaction value of securities whichever is higher	Rs. 100/- per request of 0.05% of transaction value of securities whichever is higher
Creation of Margin Pledge/Closure	Rs. 20/- per request	Rs. 25/- per request
Close of Pledge	Rs. 50/- per request of 0.02% of transaction value of securities whichever is higher	Rs. 100/- per request of 0.05% of transaction value of securities whichever is higher
Invocation of Pledge	Rs. 50/- per request of 0.02% of transaction value of securities whichever is higher	Rs. 100/- per request of 0.05% of transaction value of securities whichever is higher

Instructions for NORMAL DEMAT CHARGES

1. Out of Pocket Expenses
   - Dematerialisation of shares mailing charges Rs. 20/- per mail (local)
   - Dematerialisation of shares mailing charges Rs. 40/- per mail (out station)
   - In case of demat rejection postage shall be charged @ Rs. 30/- for dispatch of the client for removal of objection.
2. Instruction Booklet : Rs. 10/- & 20/- (Containing 10 & 20 leaves)
3. Non periodic statement & other communications shall be charged @ Rs. 20/- per mail.
4. Rs. 25/- for additional Client Master.
5. For weekly and fortnightly statement charges extra Rs. 10/- per page, Postage / Courier Charges will be extra.
6. Taxes and other govt. levies will be charged extra as applicable for time to time.
7. AMC will be charged in advance and charged quarterly basis.
8. Incase Bank mandate for debit through ECS is not given, Minimum credit balance of Rs. 200/- shall be maintained as interest free security.
9. In case of any upward revision is schedule of charges, 30 days notice would be given by publishing in newspaper/post shall treated as sufficient Notice.
10. In case of nonpayment of bill/dues within 15 days of due date, the depository services are liable to be discontinued within a period of 30 days from the date of demand. The renewal charges for resuming the services will be Rs. 100/-.
11. If client give POA to Arch Finance Ltd. then POA charge Rs. 110/- will be applicable (one time charged).
12. Any services not mentioned above will charged extra.
13 Rs. 100/- will be charged to client in case of New Delivery Instruction Booklet is requested without requisition slip.

Instructions for BSDA DEMAT CHARGES

1. Out of Pocket Expenses
   - Dematerialisation of shares mailing charges Rs. 20/- per mail (local)
   - Dematerialisation of shares mailing charges Rs. 40/- per mail (out station)
   - In case of demat rejection postage shall be charged @ Rs. 60/- for dispatch of the client for removal of objection.
2. Instruction Booklet : Rs. 50/- (Containing 20 leaves)
3. Non periodic statement & other communications shall be charged @ Rs. 20/- per mail.
4. Rs. 25/- for additional Client Master.
5. For weekly and fortnightly statement charges extra Rs. 10/- per page, Postage / Courier Charges will be extra.
6. Taxes and other govt. levies will be charged extra as applicable for time to time.
7. AMC will be charged in advance and charged quarterly basis.
8. In case of any upward revision is schedule of charges, 30 days notice would be given by publishing in newspaper/post shall treated as sufficient Notice.
9. In case of nonpayment of bill/dues within 15 days of due date, the depository services are liable to be discontinued within a period of 30 days from the date of demand. The renewal charges for resuming the services will be Rs. 100/-.
10. If client give POA to Arch Finance Ltd. then POA charge Rs. 110/- will be applicable (one time charged).
11. Any services not mentioned above will charged extra.

(9)

Sole/First Holder Signature | Second Holder Signature | Third Holder Signature

ADDITIONAL INFORMATION RELATED TO TRADING ACCOUNT

FOR INDIVIDUAL & NON-INDIVIDUAL

A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank Account No.	Account Type	MICR Number	IFSC Code
			☐ Saving ☐ Current ☐ Others................. In case of NRI: ☐ NRE ☐ NRO		
			☐ Saving ☐ Current ☐ Others................. In case of NRI: ☐ NRE ☐ NRO		

B. DEPOSITORY ACCOUNT(S) DETAILS

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

C. OTHER DETAILS

Gross Annual Income Details (please specify)	Income Range per annum ☐ Below ₹1 Lac ☐ ₹1-5 Lac ☐ ₹5-10 Lac ☐ ₹10-25 Lac ☐ ₹25 Lac -1 Crore ☐ More than ₹1Crore Net- worth* Amount (₹)......................... As on (date) (____/____/20___) (Net worth should not be older than 1 year)
Occupation (please tick any one and give brief details):	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others................................
Please tick, if applicable	☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)
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. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE				NSE & BSE
All Segments	Cash/Mutual Fund	F&O	Currency	Debt	Commodity Derivatives
	✍ (10a)	✍ (10b)	✍ (10c)	✍ (10d)	✍ (10e)

If you do not wish to trade in any of segments / Mutual Fund, please mention here ________________________________

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 AUTHORISED PERSON AND OTHER STOCK BROKERS

If client is dealing through the authorised person, provide the following details:

Auth. Person's Name					
SEBI Registration Number					
Registered office address					
				PIN Code	
Website		Phone		Fax	
Whether dealing with any other stock broker/authorised person (if case dealing with multiple stock brokers/authorised persons, provide details of all)					
Name of stock broker					
Name of Auth. Person (if any)					
Client Code		Exchange			
Details of disputes/dues pending from/to such stock broker/authorised person					

G. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	☐ Physical Contract Note ☐ 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	

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others (attach annexure if require)

Name (1)				Please affix the recent passport size photograph of Authorised Signatory and sign across it
Designation				
PAN		DIN (For Directors) / UID (for Others)		
Residential Address				
	City/Town/Village		Pin Code	
	State		Country	
Relationship with Applicant (i.e. promoters, whole time directors etc.)				
Whether Politically Exposed	☐ PEP (Politically Exposed Person)	☐ RPEP (Related to Politically Exposed Person)	☐ NO	

Name (2)					Please affix the recent passport size photograph of Authorised Signatory and sign across it
Designation					
PAN		DIN (For Directors) / UID (for Others)			
Residential Address					
	City/Town/Village		Pin Code		
	State		Country		
Relationship with Applicant (i.e. promoters, whole time directors etc.)					
Whether Politically Exposed	☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO				

H. INTRODUCER DETAILS

Name of the Introducer			
PAN of Introducer			
Status of the Introducer	☐ Sub-broker ☐ Remisier ☐ Authorized Person ☐ Existing Client ☐ 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 informed that 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
1.	✍ (11)
2.	
3.	

Date: DD / MM / YYYY

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 CHANGE)

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 ₹)
Future			
Option			

*In case of option index only.

CURRENCY DERIVATIVES SEGMENT

Brokerage	in %	Minimum Paise	Brokerage per lot (in ₹)
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, ₹ 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.)

✍ (12) ______________________

Client Signature

FATCA & CRS Declaration - Individual

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 ☐ > Crore

New Worth **Amount Rs**.. Net Worth as on D D M M Y Y Y Y

(Net worth should not be older than 1 year)

Occupation Details ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service ☐ Public Sector ☐ Agriculturist

☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others Pl. Specify

Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐

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).

(13)

Sole/First Holder Signature Second Holder Signature Third Holder Signature

Date: D D M M Y Y Y Y Place:

For Investor convenience, **ARCH FINANCE LTD.** (AFL) collecting this mandatory information for updating across all Group Companies of AFL 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 AFL branch or you can dispatch the hard copy to-

ARCH FINANCE LTD.

Registered Office : 81, 1st Floor, Darya Ganj, New Delhi-110002 | Ph.: 8595233233 | Fax: 011-43710055

E-mail : care@archfin.com

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

FATCA & CRS Declaration - Non Individual

PAN | | | | | | | | | | Trading | | | | | | | | DP Code | | | | | | | |

Name | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Please tick the applicable tax resident declaration -

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

(If yes, please provide country/ies is which the entity is a resident for tax purposes and the associated Tax ID number below)

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

In case Tax Identification Number is not available, kindly provide its functional equivalent.
In case TIN or its functional equivalent it not available, please provide Company Identification number of Global Entity Identification Number or GIIN, etc.

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

PART A *(to be filled by Financail Institutions or Direct reporting NFEs)*

1. We are a, Financial institution (Refer 1 of Part C) ☐
or
Direct reporting NFE (refer 3(vii) of Part C) ☐
(please tick appropriate)

GIIN ____________________

Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

Name of sponsoring entity ____

____

GIIN not available
(please tick as applicable)

☐ **Applied for** ☐ Not obtained - Non-participating F1

☐ Not required to apply for - please specify 2 digits sub-category ☐ (Refer 1 A of Part C)

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

1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)

Yes ☐ (If yes, please specify only one stock exchange on which the stock is regularly traded)

Name of stock exchange ________________________________

2. Is the Entity a related entity of a publicly traded company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)

Yes ☐ (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)

Name of listed company ________________________________

Nature of relation: ☐ Subsidiary of the Listed Company or

☐ Controlled by a Listed Company

Name of stock exchange ________________________________

3. Is the Entity an active NFE (Refer 2c of Part C)

Yes ☐ Nature of Business ________________________________

Please specify the sub-category of Active NFE ☐ (Mention code - refer 2c of Part C)

4. Is the Entity a passiveNFE (Refer 3(ii) of Part C) Yes ☐ Nature of Business ________________________________

UBO Declaration *(Mandatory for all entities except, a Publicity Traded Company or a related entity of Publicly Traded Company)*

Category (Please tick applicable category) ☐ Unlisted Company ☐ Partnership Firm ☐ Limited Liability Partnership Company

☐ Unincorporated association / body of individuals ☐ Public Charitable Trust ☐ Religious Trust ☐ Private Trust

☐ Other (please specify____________________________)

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification number of EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FF's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN#			
Address	Zip State: ___ Country: ___	Zip State: ___ Country: ___	Zip State: ___ Country: ___
Address Type	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office
Tax ID%			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	☐ Service ☐ Business ☐ Others___	☐ Service ☐ Business ☐ Others___	☐ Service ☐ Business ☐ Others___
Nationality			
Father's Name			
Gender	☐Male ☐ Female ☐Others	☐Male ☐ Female ☐Others	☐Male ☐ Female ☐Others
Date of Birth	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y
Percentage of Holding(%)$			

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

\# If UBO is KYC compliant, KYC proof to be enclosed, Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

% In case Tax Identification Number is not available, kindly provide functional equivalent

$ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

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. 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)

Name

Designation

(14)

Signature of the Client :

Date: D D M M Y Y Y Y

Place:

For Investor convenience, ARCH FINANCE LTD. (AFL) collecting this mandatory information for updating across all Group Companies of AFL 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 AFL branch or you can dispatch the hard copy to-

ARCH FINANCE LTD.

Registered Office : 81, 1st Floor, Darya Ganj, New Delhi-110002 | Ph.: 8595233233 | Fax: 011-43710055

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

INTERNET & WIRELESS TECHNOLOGY BASED TRADING LETTER

To,

ARCH FINANCE LTD.

Registered Office : 81, 1st Floor, Darya Ganj, New Delhi-110002 | Ph.: 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

✍ (15) ____________________

Client Signature

Client Name: ________________________________

Client Code: ________________________________

Arch Finance Ltd.

Registered Office : 81, 1st Floor, Darya Ganj, New Delhi-110002
Ph.: 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):

a) SMS alerts ☐ b) 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 AFL 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 AFL 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 AFL to give effect to my/our desires/ requirements. In view of the above I/We authorise AFL 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 AFL 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 would further like to mention that AFL 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 AFL.

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

Continued on next page......

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.

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.

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 ✍ (16)   Date D D M M Y Y Y Y

Client Name

Client Code

Date: ____________________

To,

ARCH FINANCE LTD.

Registered Office : 81, Darya Ganj, 1st Floor, New Delhi-110002 | Ph.:011-43710000 | Fax: 011-43710055
E-mail : archfin@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 Depository Account DP ID..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-rnail.

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 uncertain factors 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: ______________________________

✍ (17) ____________________

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: ______________________________

✍ (18) ____________________

Client Signature

Client Code: ______________________________

Client Code : ....

Dear Client,
To,
(1) **Arch Finance Ltd.**
[Member of the National Stock Exchange of India Ltd., Bombay Stock Exchange Ltd. (NSE, BSE)]
Regd. Office: 81, 1st Floor, Darya Ganj, New Delhi-110002
(2) Arch Finance Ltd.
[Depository Participant (NSDL, CDSL)]
Regd. Office: 81, 1st Floor, Darya Ganj, 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.. ....(hereinafter referred to as the "Client").

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: ______________________

✍ (19) ______________________
Client Signature

Client Name: ___________________________________

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: ____________________

✍ (20) ____________________
Client Signature

Client Name: ______________________________

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.

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

DP ID	IN303403	CLIENT ID	
CLIENT NAME			

S.No.	PURPOSE	Signature of Client
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	(13) ______ Sole/First Holder Signature ______ Second Holder Signature ______ Third Holder Signature
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member(CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	(13) ______ Sole/First Holder Signature ______ Second Holder Signature ______ Third Holder Signature
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	(13) ______ Sole/First Holder Signature ______ Second Holder Signature ______ Third Holder Signature
4.	Tendering shares in open offers through Stock Exchange platforms	(13) ______ Sole/First Holder Signature ______ Second Holder Signature ______ Third Holder Signature

ARCH
CREATING VALUES

ARCH FINANCE LIMITED

SEBI Regn. No. : **NSE-CM, NSE-F&O, NSE-Currency Derivative**
INZ000206539, Member ID : 09698

SEBI Regn. No. : **BSE-CM, BSE-F&O, BSE-Currency Derivative**
INZ000206539, Member ID : 3257

NSDL DP ID : **IN303403 SEBI Regn. No.: IN-DP-575-2021**

Regd. Office : 81, 1st Floor, Darya Ganj, New Delhi-110002
Phone No. : 011-43710000 • Fax : 011-43410055
E-mail : care@archfin.com • URL : www.archfin.com

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

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

CLIENT SIGNATURE