



Pragya Securities Pvt Ltd

227 / 228 - Kailas Plaza, V. B. Lane, Ghatkopar (East), Mumbai - 400 075.

Phone : 6728 3333 • Investor Grievance email Id : lgrd@paplonline.com

DP ID	1	2	0	2	8	1	0	0	Client ID	0	0					Internal Reference No.	
Trading Code							Group					Family			Date		
KYC Number (CERSAI)																	

Full Signature required where “XX” marked & initial required where “X” marked.

The Following documents are to be submitted by applicants & should be self certified :

- One passport size photographs signature below Photo.
- Clear Photocopy of PAN Card for all holders are required
- Proof of Address (Any one) for all holders.
 - * Driving Licence * Telephone Bill (Not more than 3 months)
 - * Passport * Voter's ID Card * Aadhaar Card
 - * Bank Pass Book / Bank Statement (Statement must not be older than 3 months & must be verified by Bank Manager.
 - * Valid Leave & Licence Agreement / Agreement for Sales. (Registered)
- 1) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) ii) Photocopy of the Bank Statement having name and address of the BO and not more than 4 months old, (or) iii) Photocopy of the Passbook having name and address of the BO, (or) iv) Letter from the Bank.
 - * In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it should be self-certified by the BO.
- Introduction By existing Account Holder.
- In case Minor Nominee, photocopy of Birth Certificate require.
- In case of HUF A/c. all above documents are required in Additional HUF PAN card & Declaration.
- All Signature in black ink only.
- All KYC Documents are to be self attested.
- Bank Proof * Photocopy of Cancelled Cheque.
 - * Photocopy of Bank Pass Book or Latest statement.
- In case of Minor Holder, Photograph of guardian has to be affixed along with minor's photograph.

- Note :**
- The applicant, in case of individual or Authorised person, In case of others should appear in person before the designated official of DP for “in person” verification and bring the original copy of relevant documents.
 - Names of all the holders should be mentioned in the same pattern as it appears on PAN card.

Instructions for Applicants

1. If the Clearing member is a Sole Proprietor or an Individual, then the Corporate Account Opening Form should be filled in.
2. Signatures can be in English, Hindi or any of the other languages contained in the 8th schedule of the constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal.
3. Details of the Names, Address and Tel. No. e.t.c. of the magistrate / Notary Public / Special Executive Magistrate are to be provided in case of any attestation done by them.
4. In case of additional signatures, separate annexures should be attached to the application form.
5. In case of applications under a Power of Attorney. the relevant Power of Attorney or the certified and duly notarised copy thereof, Name of the POA, Signature of the POA, must be lodged with the DP alongwith the application.
6. All correspondence / queries shall be addressed to the **first/Sole Applicant** only.
7. Suffix refers to **Mr. X Junior** or **Mr. X Senior** or **Lord Y I** or **Lord Y II** etc.
8. Where the holder is a minor, person lawfully entitled to act on behalf of the minor should sign the nomination.
9. Strike off whichever is not applicable.
10. The Following documents are to be submitted by applicants.

1. One recent passport size photograph signature across the Photo.
2. Clear Xerox of PAN Card for all holders are required.
3. Proof of Address (Any one) for all holders.
 - Driving Licence • Electricity Bill (Not more than 2 months)
 - Passport • Voter's ID Card • Telephone Bill (Not more than 3 months) • Aadhaar
 - Bank Pass Book / Bank Statement (Statement must not be older than 3 months & must be verified by Bank Manager.
 - Valid Leave & Licence Agreement / Agreement for Sales.
4.
 - i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
 - ii) Photocopy of the Bank Statement having name and address of the BO and not more than 4 months old, (or)
 - iii) Photocopy of the Passbook having name and address of the BO, (or)
 - iv) Letter from the Bank.
 - In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it should be self-certified by the BO.
5. Introduction By existing Account Holder.
6. In case Minor Applicant / Nominee, Birth Certificate require.
7. In case of HUF A/c. all above documents are required in Additional HUF PAN card & Declaration.
8. All Signatures should be preferably in black ink only.
9. Bank Proof • Copy of cancelled Cheque.
 - Copy of Bank Pass Book or Latest statement.



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ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT

For Individuals

Application No.		DP Internal Reference No		Date					2	0		
DP ID	1	2	0	2	8	1	0	0	Client ID	0	0	

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

Please fill all the details in **BLOCK LETTERS** in English

Holder's Details

Sole / First Holder's Name	PAN											
	UID											
	UCC											
	Exchange Name & ID											
Second Holder's Name	PAN											
	UID											
Third Holder's Name	PAN											
	UID											

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 mention above.

Type of Account (Please tick whichever is applicable)

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

Guardian Details (In case of minor, Photograph of guardian has to be affixed along with minor's photograph.)

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
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Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
-------------------------------	--

Gross Annual Income details	Income Range per annum	☐ Upto Rs. 1 Lac	☐ Rs. 1 Lac to Rs. 5 Lac
	☐ Rs. 5 Lac to Rs. 10 Lac	☐ Rs. 10 Lac to Rs. 25 Lac	☐ More than Rs. 25 Lac

Net worth as on Date				2	0			Rs. _____ (Net worth should not be older than 1 year)
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Occupation	☐ Private / Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculture
	☐ Retired ☐ Housewife ☐ Student ☐ Others Specify _____

Please tick, if applicable	☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)
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Any other information	
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— Please Tear Here —

Application No.

Acknowledgment Receipt

Date :-

We hereby acknowledge the receipt of the Account Opening Application Form :-

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

Occupation

Depository Participant Seal and Signature

Basic Services Demat A/c	Yes / No	RGESS A/c	Yes / No	Pledge Standing Instruction	Yes / No
Annual Report receive	Physical / Electronic / Both Physical & Electronic			Share E-mail ID with RTA	Yes / No

I / We request you to send Electronic Transaction - cum - Holding Statement at the e-mail ID _____	☐ Yes	☐ No
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Mode of Operation in case of Joint Holders Demat Account :-	☐ Sole Holder
	☐ Jointly
	☐ Anyone or Survivor
Communication Preference	☐ First Holder
	☐ All Holders

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
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I / we request to add / Delink Unique Client Code (UCC)	Unique Client Code (UCC)	Exch ID	Segment ID	CM ID	TM ID
		NSE / BSE	ALL/CASH/F&O/CDX	M51075/160	08961/160

Bank Code (9 digit MICR cod)																				
Bank Name						Branch														
Bank Address																				
City			State				Country			Pin										
Account No.																				
Account Type	☐ Saving					☐ Current					☐ Others (Specify) _____									

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book 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 options (ii), (iii) and (iv) above, MICR code of the branch should be present / munitioned on the document,

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	Mobile No. +91 _____ [(Mandatory, if you are giving Power of Attorney (POA) (if POA is not granted & you do not wish to avail of this facility, cancel this option.)	☐ Yes ☐ No
easi	To register for easi, please visit our website : www.cdslindia.com easi allow a BO to view his ISIN balances, transactions and value of the portfolio online.)	☐ Yes ☐ No

By an Existing demat account holder of Pragya Securities Pvt Ltd									
Introducer's Name									
DP ID	1	2	0	2	8	1	0	0	Client ID
Signature of the introducer					Signature of the DP Official				

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature	XX		

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date					2	0		
------	--	--	--	--	---	---	--	--

DP ID	1	2	0	2	8	1	0	0	Client ID	0	0						
First Holder's Name																	
Second Holder's Name																	
Third Holder's Name																	

To,
PRAGYA SECURITIES PVT LTD
227 / 228 - Kailas Plaza, V. B. Lane, Ghatkopar (East), Mumbai-400 075.

Dear Sir / Madam

I/We hereby state that : [Select one of the options given below]

☐ **Option 1 :**

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account through I/we have issued a Power of Attorney (POA)/ executed PMS agreement in favour of / with **PRAGYA SECURITIES PVT LTD** (Name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange traders [Settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours faithfully

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	XX		

OR

☐ **Option 2 :**

I/We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with **PRAGYA SECURITIES PVT LTD** (Name of attorney / Clearing member / PMS manager) for executing delivery instructions for setting stock exchange traders [Settlement related transaction] effected through such Clearing Member / by PMS manager. However, the Delivery instruction Slip (DIS) Booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	XX		

..... Please Tear Here

Acknowledgment Receipt

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET Form :-

DP ID	1	2	0	2	8	1	0	0	Client ID	0	0						
Name of the Sole / First Holder																	
Name of the Second Joint Holder																	
Name of the Third Joint Holder																	

Annexure - 2.4

Terms and Conditions-cum-Registration / Modification Form For receiving SMS Alerts form CDSL [SMS Alerts will be sent by CDSL to BOs for all debits]

Definitions :

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in india under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of Dps who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts. which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

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

Receiving Alerts :

1. The depository shall send the alerts to the mobile phone number provided by the BO while registered for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change. the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and / or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and / or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name. email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to / transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees :

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

Disclaimer:

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

Liability and Indemnity :

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

Amendments:

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

Governing Law and Jurisdiction :

Providing the Service as outline above shall be governed by the laws of india and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I / We Consent to CDSL providing to the service provider such information pertaining to account / transactions in my/our account as is necessary for the purposes of generating SMS alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/we further undertake to pay fee / charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the Bos would be required to take up the matter with their DP.

I/We am / are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I / We provide the following information for the purpose of **REGISTRATION / MODIFICATION** (Please cancel out what is not applicable).

BOID	1	2	0	2	8	1	0	0	Client ID	0	0						
------	---	---	---	---	---	---	---	---	-----------	---	---	--	--	--	--	--	--

Sale / First Holder's Name :												
Second Holder's Name :												
Third Holder's Name :												
Mobile Number on which messages are to be sent	+91											

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of : _____

Email ID: _____

(Please write only ONE valid email ID on which communication; if any, is to be sent)

XX

Signature

Sole / First Holder

Second Holder

Third Holder

Place : _____

Date : _____

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

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
19. Based on the instructions of the beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository, Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

20. In event beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, The DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5 & 6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996.
1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing / Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating instructions.
24. The DP of the depository shall have the right freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.
25. The Joint holders are aware that in case of any statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority.

Redressal of investor grievance

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

Authorized representative

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

Law and Jurisdiction

28. In addition to the specific rights set out in this document, the DP and the beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
29. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/her account, that may be in force from time to time.
30. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
31. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circular/notices issued there under by the depository and/or SEBI.
32. Any changes in the rights and obligations which are specified by SEBI / Depositories shall also be brought to the notice of the clients at once.
33. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Authority Letter

Dated :

To,

PRAGYA SECURITIES PVT LTD

Pragya Commodity Brokers Pvt. Ltd.

227 / 228 - Kailas Plaza, V. B. Lane,

Ghatkopar (East), Mumbai - 400 075.

Dear Sir/Madam,

Sub : - Authority Letter

We all the member of HUF hereby authorise_____ Karta of HUF.

To carry out the investments and trading in shares and securities in the primary market as well as secondary market of cash and derivatives segment of the recognized stock exchanges and commodity exchanges through your company in the name and on behalf of our huf and to sign the necessary paper / documents / agreements / contracts etc. required for this purpose. The account shall be operated by karta mentioned above and we all the family member shall be jointly and or severally responsible to honour the obligations of the operations in this account.

Thanking you.

Family Member.

Signature

DECLARATION

I, Mr. _____ Karta of HUF, residing at

Declare herewith that, there are following member of our HUF family.

Sr. No.	Full Name	DOB	Age	Sex	Relations

That whatever we have stated herein above is true & correct to the best of our own knowledge.

Signature x _____