



Name of the Trading Member	DIVYA PORTFOLIO PRIVATE LIMITED
Name of the Clearing Member	IL & FS Securities Services Limited
Depository Participant	CDSL
SEBI Regn. No. of DP	IN-DP-CDSL-646-2011, DP ID : 12073400

SEBI REGISTRATION NUMBER		
NSE CM : INB 231246837	NSE F&O: INF 231246837	NSE CDS : INE 231246837
BSE CM: INB 011246833	BSE F&O: INF 011246833	BSE CDS : INE 011246833
		MCX – SX CDS : INE 261246834

Regd. Office	B-402, IIIRD FLOOR, NIT, FARIDABAD-121001 (HARYANA)
Corporate Office	VC-1, PRIME PLAZA, 2 ND FLOOR, SECTOR-3, VAISHALI, GHAZIABAD-201010 TEL. NO. 0120-4229945, 4229946 Email : divya@dplonline.co.in Website : www.dplonline.co.in

Compliance Officer Name	Mr. JANKI LAL SHARMA Phone No.: 0120-4229947 Email : jls@dplonline.co.in
CEO Name	Mr. ASHOK KUMAR DUGAR Phone no.: 0120-4229945 Email : akd@dplonline.co.in

For any grievance/dispute please contact Divya Portfolio Pvt. Ltd. At the above address or email dgrievancies@dplonline.co.in and phone no. 0120-4229947.

In case not satisfied with the response, please contact the concerned exchange at:

1. NSE : ignse@nse.co.in or contact at 022-26598100
2. BSE : is@bseindia.com or contact at 022-22728097
3. MCX-SX : investorcomplaints@mcx-sx.com or contact at 022-67319000

Trading Account Opening Form		
NAME OF THE DOCUMENT	SIGNIFICANCE OF THE DOCUMENT	Page No.
MANDATORY		
Account Opening Form	a.) KYC Form - Document captures the basic information about the constituent and an instruction / check list.	2-5
	b.) Acknowledgement indicating receipt of documents.	3
	c.) Document captures the additional information about the constituent relevant to trading account and an instruction / check list.	6-9
Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	10-12
Voluntary Documents (Mandatory for Online Traders)		
Authorization for Electronic Communication	Where the client authorizes the stock broker to send contract notes and other documents in electronic form	13
Running Account Authorization	Helps the client to enjoy exposures linked to the credit in the trading account.	14
Undertaking	Contains voluntary undertakings by the client with respect to Divya Portfolio Pvt Ltd internal operations during the course of the relationship with Divya Portfolio Pvt Ltd.	15

DOCUMENTS TO BE ATTACHED ALONG WITH THE TRADING FORM

1. 1 Copy of PAN Card.
2. 1 Copy of Address Proof (Driving License, Voter ID, Passport, Original Bank Statement).
3. Passport Size Color Photograph photo on the first page of KYC application form and sign across it.
4. 1 Copy of your Demat Holding Statement or the 'Client Master Report' from your current Demat Account. * Demat Proof is mandatory for trading in cash segment (Not Mandatory for Derivatives)
5. 2 Cheques a. 1 cancelled (Personal - Name to be mentioned on the cheque). If it's not please Attach 1 month Bank Statement. b. 1 cheque favouring "DIVYA PORTFOLIO PVT. LTD." For Rs 250/- for Account Opening. *If you want us to courier you the form, we'll charge you Rs. 300
6. In-Person Verification: The Exchange requires us to perform in-person verification, so you have to be available on a webcam or drop into our office for account opening.

Please Courier us

To,

DIVYA PORTFOLIO PVT.LTD.

Corporate Office: VC-1, Prime Plaza, IInd Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM**A. IMPORTANTPOINTS:**

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. Self attested copy of PAN card is mandatory for all clients, including.
3. Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
4. 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.
5. If any proof of identity or address is in a foreign language, then translation into English is required.
6. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
7. If correspondence & permanent address are different, then proofs for both have to be submitted.
8. Sole proprietor must make the application in his individual name & capacity.
9. 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.
10. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
11. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
12. 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.
13. 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. 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 apostilled 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 paying 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. Additional documents in case of trading in derivatives segments :-

* 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.

1. Copy of ITR acknowledgement.
2. Copy of annual accounts
3. In case of salary income-Salary slip, Copy of form 16.
4. Copy of demat account holding statement.
5. Bank Account statement for last 6 months.
6. Self declaration with relevant supporting documents.
7. Any other relevant documents substantiating ownership of assets
8. Net worth certificate

ACKNOWLEDGEMENT

To,

DIVYA PORTFOLIO PVT.LTD.

Regd. Office: B-402, IIIrd Floor, NIT, Faridabad-121001 (Haryana).

Corporate Office: VC-1, Prime Plaza, IInd Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)

I/We hereby acknowledge the receipt of duly executed copy of KYC, Rights & Obligations, Note – Do’s and Dont’s for trading an the Exchange(s) for Investor, policies and procedure document pursuant to the SEBI Circular dated:-07 Dec. 2009, RDD,DPL Online Tariff sheet, general terms & conditions governing securities trading, undertaking/authorization and all other documents as Trading & DP Account executed by me/us. Further I confirm that the documents for KYC submitted by me are true and correct. I acknowledge that the other details related to my account are as under:

Name of the Applicant.....

[D1] _____

(Signature of Client)

**KNOW YOUR CLIENT (KYC) APPLICATION FOR INDIVIDUAL
DPL ONLINE TRADING APPLICATION FORM**

PHOTOGRAPH

Please affix
the recent passport
size photograph
and sign across it
[D2]

DIVYA PORTFOLIO PVT.LTD.

Regd. Office: B-402, IIIrd Floor, NIT, Faridabad-121001 (Haryana).

Corporate Office: VC-1, Prime Plaza, IIInd Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)

Please fill this form in ENGLISH and in BLOCK LETTERS:

A. IDENTITY DETAILS

1. Name of the Applicant:
(As Appearing in Supporting Identification Documents)
2. Father's/Spouse Name:
3. Gender : Male Female Marital Status : Single Married
4. Date of Birth:...../...../.....
5. Nationality: Indian Other(Please Specify)
6. Status: Resident Individual Non Resident Foreign National
7. Permanent Account Number(PAN):
8. Unique Identification Number (UID) / Aadhaar, if any:.....
9. Specify the proof of identity submitted:.....

B. ADDRESS DETAILS

1. Correspondence Address :
.....
City/Town/Village:..... State :..... Country:.....
Pin Code:.....
2. Contact Details: Tel.: (O)..... Tel. (R)..... Mobile.....
Fax:..... E-mail.....
3. Specify the proof of address submitted for correspondence address:.....

C. PERMANENT ADDRESS DETAILS

4. Permanent Address (If different from above or overseas address, mandatory for Non-Resident applicant)

.....

City/Town/Village :..... State :..... Country:.....

Pin Code :..... Specify the proof of address submitted for correspondence address

.....

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/are 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.

[D3]

Name & Signature of the Director / AuthorizedSignatory(ies)

Date

.....

FOR OFFICE USE ONLY

<input type="checkbox"/> (ORIGINALS VERIFIED) TRUE COPIES OF DOCUMENTS RECEIVED		SEAL/STAMP OF THE INTERMEDIARY
<input type="checkbox"/> (SELF ATTESTED) SELF CERTIFIED DOCUMENT COPIES RECEIVED		
EMPLOYEE SIGNATURE	DATE (DD/MM/YYYY)	

A. TRADING ACCOUNT RELATED DETAILS

	PRIMARY BANK A/C	SECONDARY BANK A/C
BANK NAME		
BRANCH ADDRESS		
ACCOUNT TYPE	SAVINGS <input type="checkbox"/> CURRENT <input type="checkbox"/> OTHERS <input type="checkbox"/>	SAVINGS <input type="checkbox"/> CURRENT <input type="checkbox"/> OTHERS <input type="checkbox"/>
IN CASE OF NRI A/C	NRE <input type="checkbox"/> NRO <input type="checkbox"/>	NRE <input type="checkbox"/> NRO <input type="checkbox"/>
MICR NUMBER		
IFSC CODE		

B. DEPOSITORY ACCOUNT DETAILS

1. DEPOSITORY PARTICIPANT NAME :
2. DEPOSITORY NAME : NSDL CDSL
3. BENEFICIARY NAME :
4. DP ID:..... BO ID:.....

C. TRADING PREFERENCES

	Cash	F&O	Currency Derivatives
NSE	D4(a)	D4(b)	D4(c)
BSE	D4(d)	D4(e)	D4(f)
MCX-SX			D4(g)

#If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter Should Be taken by the broker

D. FINANCIAL & OCCUPATION DETAILS

- Gross Annual Income Details (please specify) : Income Range per annum: Below Rs.1Lac Rs.1Lac to 5Lac Rs.5Lac to 10Lac Rs.10Lac to 25Lac Rs.25Lac to 1Crore >1Crore
- Net Worth (Net worth should not be older than 1 year) Amount Rs.....
 as on (date) (Compulsory for Non-Individuals)
- Occupation : Private Sector Public Sector Government Service Business Professional
 (Please tick anyone and give brief details) Agriculturist Retired Housewife Student Others _____ Please Specify

■ Please tick, if applicable (Note: Incase of Non-individuals please tick, if applicable for any of your authorized signatories/Promoters/Partners/Karta/Trusteeswholetimedirectors):

- Politically Exposed Person (PEP) Related to Politically Exposed Person(PEP)

■ Any other information:.....

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 :

F. DEALINGS THROUGH SUB-BROKES AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details:

Sub-broker's Name:

SEBI Registration number:.....

Registered office address:

Ph:.....Fax:.....Email.....

Website..... Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of stock broker:.....

Name of Sub-Broker, if any:.....

Client Code:..... Exchange:.....

Detailsof disputes/dues pending from/to such stock broker/sub- broker:

G. INTRODUCER DETAILS (optional)

Name of the introducer:.....
(SURNAME) (Name) (MIDDLE NAME)

Status of the Introducer:Sub Broker/Remisier/Auth. Person/Existing Client:Client id.....

Address and Ph. No. of the Introducer :.....

Sign. of the Introducer.....

H. ADDITIONAL DETAILS

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

.....

Specify your Email id, if applicable: Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):.....

.....Number of years of Investment/Trading Experience:

G. NOMINATION DETAILS

I/We wish to nominate I/We do not wish to nominate

Name of the Nominee:.....

Relationship with the Nominee :.....

PAN of Nominee :..... Date of Birth of Nominee :.....

Address and Ph. No. of the Nominee :.....

If Nominee is a minor, details of guardian :

Name of the Guardian:.....

Address and Ph. No. of Guardian:.....

.....

Sign of Guardian.....

WITNESSES (Only applicable in case the account holder has made nomination)

Name _____ Name _____

Signature _____ Signature _____

Address _____ Address _____

DECLARATION

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

Place _____

Date _____

[D5] _____
(Signature of all clients/All authorized Signatories)

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

	Documents verified with Originals	ClientInterviewedBy	In-Person Verification Done by
Name of the Employee			
EmployeeCode			
Designation of the Employee			
Date			
Signature			

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

(Signature of authorized signatory)

Date _____

Seal /Stamp of the Stock Broker

TARIFF PLANS

1. TRADITIONAL PLANS

<u>SEGMENT</u>	<u>% WISE BROKERGE INTRADAY</u>	<u>% WISE BROKERAGE DELIVERY</u>	<u>MINIMUM</u>
NSE CASH			
NSE FUTURES			
NSE OPTIONS			
NSE CURRENCY FUTURES			
NSE CURRENCY OPTIONS			
BSE CASH			
BSE CURRENCY FUTURE			
BSE CURRENCY OPTIONS			

2. PER LOT/TRADE/ORDER PLAN: PRO PLANS

<u>SEGMENT</u>	<u>INTRADAY</u>	<u>DELIVERY</u>	<u>MINIMUM</u>
NSE CASH			
NSE FUTURES			
NSE OPTIONS			
NSE CURRENCY FUTURES			
NSE CURRENCY OPTIONS			
BSE CASH			
BSE CURRENCY FUTURE			
BSE CURRENCY OPTIONS			

3. ZERO BROKERAGE: FREEDOM PLANS

<u>Plan Amount</u>	<u>Plan Validity</u>	<u>Allowed Segments</u>	
	MONTHLY (Maximum Brokerage as stipulated by the exchange will be levied until reaches Plan amount)	NSE All Segments	
		BSE All Segments	
	YEARLY	NSE All Segments	
		BSE All Segments	
	LIFE TIME (5 Years)	NSE All Segments	
		BSE All Segments	

TERMS & CONDITIONS:-

- Digital contract Notes and all other statements would be sent via email.
- Physical copies of Contract Notes shall be charged Rs. 20/- per Contract. Courier Charges extra.
- Call & Trade; Rs 20/- per order will be charged extra.
- NSE Charges, Transaction charges and statutory Levies will be charged as stated.
- Terms and conditions are subject to change.
- Freedom & Pro Plans are applicable for internet trading only.

7. Please read the Disclaimer and Terms & Conditions.

For detailed explanation of schedule of charged visit our website www.dplonline.co.in

The terms and conditions of DPL online plans have been read and understood by me, I wish to avail the plans below provided by DPL Online for my trading account subject to the terms and conditions mentioned above. I declare that I have read and understood the terms and conditions governing the DPL Online.

MISCELLANIOUS CHARGES

1. Cheque Dishonour charges Rs 200/- each instance.
2. Fund Transfer charges Rs 8/- each transfer on transfer through payment gateway only.
3. Service Tax will be applied on above charges.

Yours faithfully,

CLIENT NAME	
CLIENT'S SIGNATURE [D6] (DD/MM/YYYY)	DATE
FOR OFFICE USE ONLY	
CLIENT'S TRADING ACCOUNT NUMBER	

AUTHORIZATION FOR ACCOUNT MODIFICATION

If I/ we were to add/ modify/ remove any of my detail including brokerage plans with Divya Portfolio Pvt. Ltd, I/ we authorize you to carry it out based on my request sent through an email to support@dplonline.co.in from my registered email address or intimation through an interface provided by you, where to I have been allowed secured access.

If you feel the need to do so, then at your own discretion, you may put in place appropriate mechanism to confirm the request before or after its execution by way of a call from a recorded line, or otherwise, personal meeting, SMS or other such other mode as you may deem fit.

CLIENT'S NAME

CLIENT'S SIGNATURE [D7]DATE (DD/MM/YYYY)

AUTHORISATION FOR ELECTRONIC COMMUNICATION

To,
DIVYA PORTFOLIO PVT. LTD. **Date:** _____
Regd. Office: B-402, IIIrd Floor, NIT, Faridabad-121001 (Haryana)
Corp. Office: VC-1, Prime Plaza, IInd Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)

Sub: Authorisation for Electronic Communication
Dear Sir,

I/We understand that I/We have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt for receipt of contract notes in electronic form as well as all other communications including but not limited to account statement, holding statement, trade, order confirmations and any other notices also electronically.

I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account on your record for sending the contract notes and other communications to me/us.

1.

2.

I/We agree not to hold you responsible for late / non-receipt of contract notes sent in electronic form and any other communication for any reason including but no limited to failure of email servers, loss of connectivity, email in transit etc. I/We agree that the Log Reports of your dispatching software shall be a conclusive proof of dispatch of Contract Notes and any other electronic communication to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt / delayed receipt for any reason whatsoever.

I/We also agree that non-receipt of bounced mail notification by the stock broker shall amount to delivery at my/our e-mail id.

Please treat this authorisation as written ratification of my/our verbal directions / authorizations given and carried out by you earlier. I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our directions given above.

I/We agree to inform you any change in my email in future either in physical mode by regd. post or by hand delivery or through an email from my email id registered with you.

Thanking you.

Yours faithfully,

Signature with date [D8] _____

Client Name _____

RUNNING ACCOUNT AUTHORIZATION**To,****DIVYA PORTFOLIO PVT. LTD. Date: _____****Regd. Office: B-402, IIIrd Floor, NIT, Faridabad-121001 (Haryana)****Corp. Office: VC-1, Prime Plaza, IIInd Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)**

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment an/or Interest Rate Future segment in order to facilitate east of operations and upfront requirement of margin for trade. I/We authorize you as under:

1. I am aware that payout / dividend received / credited from the exchange(s) against settlement of the transaction as per settlement cycle is available within 1 working day of the payout from the Exchange. It is difficult for the me to make available the required funds on every pay-in of obligation / margin obligation, hence I required you to maintain my account on a running basis and retain the payout received / credit balance in may account for my future obligation / margin obligation or other liabilities unless I instruct otherwise.
2. I hereby further authorize you to debit / credit / transfer the amounts between the various segments either on the same Exchange and / or Exchanges to meet my/our obligation or various dues payable to you / Exchange(s).

If payment of funds is required, I shall request you in writing or through the web option for funds withdrawal on the web login. Further it may be noted that if required I may revoke this authorization at any time after giving request is writing.

3. I/We request you to settle my fund and securities account except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt atleast

Once in every calendar quarter or

Once in a calendar month

4. 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 future margin / settlement obligations computed in manner specified by the exchange.
5. In case, at the time of settlement of account I/We hereby consent to retain fund upto Rs. 10,000 in cash market segment for all exchanges. 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,****Signature with date [D9] _____****Client Name _____****Client Code _____**

To
DIVYA PORTFOLIO PVT. LTD.
B-402, III RD FLOOR, NIT,
Faridabad,Haryana-121001

SUB : UNDERTAKING / AUTHORISATION

With respect to Member- Constituent Relationship and Mandatory and Voluntary (optional) Documents executed between us, I/We do hereby authorize DIVYA PORTFOLIO PVT. LTD. to do the following:

1. Order Placement Instructions

I understand that you require written instructions from me for placing / modifying / cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting/calling/Emailing the Call centre / branch specified for the said purpose by DIVYA PORTFOLIO PVT. LTD. in case of breakdown of internet connectivity or other similar reasons.

I hereby request you to kindly accept my, my authorized representative or mandate holder's verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other modes. I indemnify DIVYA PORTFOLIO PVT. LTD. and its employees against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

2. ERRORS AND OMISSIONS

I understand and agree that inadvertent errors may occur, while executing orders placed by me, In such circumstances DIVYA PORTFOLIO PVT. LTD. shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold DIVYA PORTFOLIO PVT. LTD. responsible beyond this and claim additional damages/loss.

I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by DIVYA PORTFOLIO PVT. LTD.

3. NO MARKET MANIPULATION

I understand not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchange. In case I am found to be indulging in such activities DIVYA PORTFOLIO PVT. LTD. has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

4. NOT TO ACT AS UNREGISTERED SUB BROKER

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients In case I wish to deal for other clients also, I undertake to apply to SEBI through DIVYA PORTFOLIO PVT. LTD. to obtain a sub broker registration.

In case DIVYA PORTFOLIO PVT. LTD. perceives that I am acting as an unregistered sub broker, DIVYA PORTFOLIO PVT. LTD. has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to DIVYA PORTFOLIO PVT. LTD. without

the requirement of any notice from DIVYA PORTFOLIO PVT. LTD. Further, DIVYA PORTFOLIO PVT. LTD. has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify DIVYA PORTFOLIO PVT. LTD. from any loss/damage/claim arising out of such activity.

5. NOT DEBARRED BY ANY REGULATOR

I confirm and declare that there is no bar on me imposed by any Exchange or any Regulatory and/or Statutory authority to deal in securities directly or indirectly. I agree to inform DIVYA PORTFOLIO PVT. LTD. in writing, of any regulatory action taken by any Exchange or Regulatory/Statutory authority on me in future. In case I fail to inform the same and DIVYA PORTFOLIO PVT. LTD. on its own comes to know of such action DIVYA PORTFOLIO PVT. LTD. has the right to suspend/close my trading account and refuse to deal with me. Also, DIVYA PORTFOLIO PVT. LTD. can at its sole discretion, close all the open positions and liquidate collaterals to the extent of debit balances, without any notice to me.

6. PMLA DECLARATION

I declare that I have read and understood the provisions of the PMLA Act, 2002, which were also explained to me by DIVYA PORTFOLIO PVT. LTD. officials. I further declare I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that;

a. I do not have any links with any known criminal

b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

7. INDEMNIFICATION

I hereby indemnify and hold DIVYA PORTFOLIO PVT. LTD. its Directors and employees harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the DIVYA PORTFOLIO PVT. LTD. directly or indirectly, relating to bad delivery of shares/securities/transfer documents introduced or that may be introduced or through me during the course of my dealing/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

INDEMNITY OF JOINT HOLDINGS

I hereby agree to indemnify and hold the DIVYA PORTFOLIO PVT. LTD. harmless from any claims, demands, actions, proceedings, losses, damages, liabilities, charges, and/ or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

8. MUTUAL FUND SERVICES SYSTEMS (MFSS) FACILITY

I am interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange. For the purpose of availing the MFSS facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of MFSS and I/We further confirm that the details contained in same remain unchanged as on date.

I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further

agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Scheme subscribed by me.

9. **NRI DECLARATION**

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Remittance (FIRC) to DIVYA PORTFOLIO PVT. LTD. every time the investment is made.

Yours faithfully

[D10] _____

Client Signature

Applicant Name: _____

Date: _____

A. THIRD-PARTY PAYMENTS

DIVYA PORTFOLIO PVT. LTD. shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitted a written request along-with adequate proof thereof as per Performa prescribed by DIVYA PORTFOLIO PVT. LTD. DIVYA PORTFOLIO PVT. LTD. shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by DIVYA PORTFOLIO PVT. LTD. and the credit for the same has been given in the client's ledger DIVYA PORTFOLIO PVT. LTD. shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case DIVYA PORTFOLIO PVT. LTD. reserves the right to liquidate any of the open positions and/ or any of the collaterals received/ held on behalf of the client. DIVYA PORTFOLIO PVT. LTD. , its Directors and employees shall not be responsible for any consequential damages or losses.

B. NO DEALING IN CASH

DIVYA PORTFOLIO PVT. LTD. as a policy neither accepts any funds for funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub-Broker/Remisier/Employee/Authorized Person of DIVYA PORTFOLIO PVT. LTD.

C. DISCLOSURE OF PROPRIETARY TRADING BY DIVYA PORTFOLIO PVT. LTD.

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003, DIVYA PORTFOLIO PVT. LTD. discloses to its clients about its policies on proprietary trades. DIVYA PORTFOLIO PVT. LTD. does proprietary trades in the cash and derivatives segment at NSE, BSE.

D. DELIVERIES

The client shall ensure that the shares are properly transferred to the designated demat account of DIVYA PORTFOLIO PVT. LTD. for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchange/ DIVYA PORTFOLIO PVT. LTD. In case the client fails to transfer the shares on time to DIVYA PORTFOLIO PVT. LTD. DIVYA PORTFOLIO PVT. LTD. shall not be responsible for any loss/damages arising out of such delayed transfers.

E. SQUARING OFF POSITIONS & SALE/ LIQUIDATION OF COLLATERAL MARGINS

The client shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds and / or delivery of the shares.

In case the client fails to settle the transactions within the settlement date, then DIVYA PORTFOLIO PVT. LTD. has the right to square off the open and/or unpaid positions, at an appropriate time, as it deems fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed DIVYA PORTFOLIO PVT. LTD. its Directors and Employees shall not have implied consent and authorization of the client in favour of DIVYA PORTFOLIO PVT. LTD.

After such square off of open positions by DIVYA PORTFOLIO PVT. LTD. as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balances, DIVYA PORTFOLIO PVT. LTD. shall have the right to liquidate the shares and other securities of the client (keep as collateral/margin) to the timing of liquidation of shares and securities held in

collateral/margin and the shares and securities that need to be sold or liquidated. Divya Portfolio Pvt. Ltd. its Directors and employees shall not be responsible for any loss or damages arising out of such selling.

[D 11] _____
Client Signature

Please Check the Following documents Before Submitting the Form:-

- Passport-size photo and sign across it.
- Signed all places marked **D1 to D11**.
- Photocopy of PAN card, self-attested.
- Photocopy of last 6 months bank statement or Income Tax returns or salary slip or any other income proof, self-attested.
- Cancelled cheque from the bank you wish to link to your trading account.
- Account opening cheque of Rs. 250 payable to DIVYA PORTFOLIO PVT Ltd. or Rs. 200 if you have printed the application on your own.

KINDLY COURIER THIS FORM

To,
DIVYA PORTFOLIO PVT.LTD.
Corporate Office:
VC-1, Prime Plaza, IInd Floor, Sector-3, Vaishali-201010, Ghaziabad (U.P.)



Divya Portfolio Private Limited

Supplementary KYC Information & FATCA-CRS Declaration - Individuals

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

PAN*

Folio No. **If PAN is not available*

Name Gender M F O

Type of address given at KYC KRA Residential Residential or Business Business

Place of Birth

Country of Birth

Nationality

Gross Annual Income Details in INR Below 1 Lakh 1 - 5 Lacs 5 - 10 Lacs 10 - 25 Lacs 25 Lacs - 1 Crore > 1 Crore

Net Worth in INR. In Lakhs ₹. Net Worth as on

Occupation Details Business Professional Public Sector Housewife Retired Others [Please specify] Private Sector Government Service Agriculturist Student Forex Dealer

Politically Exposed Person [PEP] Yes Related to PEP Not Applicable

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

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country [#]	Tax Identification Number [%]	Identification Type (TIN or Other, please specify)

[#]To also include USA, where the individual is a citizen / green card holder of The USA
[%]In case Tax Identification Number is not available, kindly provide its functional equivalent \$

Certification
I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I / We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Signature

Date
Place

For investor convenience, Divya Portfolio is collecting this mandatory information for updating across all participating Karvy Serviced Mutual Funds (list in the cover email / letter) where you are already an investor or would become an investor in future.

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

Divya Portfolio Private Limited
Corporate Off- VC - 1 Prime Plaza, II Floor, Sec-3 Vaishali, Ghaziabad - 201010
Ph. : 0120-4229945, 4229946, Fax.: 0120-4229947
E-mail : divyaport@divyaportfolio.co.in website: www.divyaportfolio.co.in

FATCA & CRS Terms & Conditions
Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. It is important that you respond to our request, even if you believe you have already supplied any previously requested information.