



Members

National Securities Depository Limited
National Stock Exchange
Bombay Stock Exchange Limited
Multi Commodity Exchange of India Limited



**COMBINED
ACCOUNT OPENING FORM
DEMAT & TRADING
For
INDIVIDUALS / NON INDIVIDUALS
and CLEARING MEMBER**

DP ID : IN303181

CLIENT ID:

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CLIENT NAME

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CLIENT CODE

BRANCH CODE

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A/C OPENING DATE

KYC NO.

Eastern Financiers Limited (EF) was incorporated in the year 1967 and is the oldest Investment Strategist in Eastern India.

The foundations of our Business ...

- ❖ One of the largest and most trusted Investment Consultants in India.
- ❖ Over 44 years of unbiased, client-specific investment solutions.
- ❖ Team of experienced professionals and sound Investments Strategists to help you reach your financial goals.
- ❖ Choice of a wide variety of instruments 'under one roof'.
- ❖ Personalised services from EF - the trust of over 3 lakh investors.
- ❖ Prompt post-investment services.
- ❖ **EF has been honoured with the CNBC-TV18 award for the "Best Performing Financial Advisor (East)" for nine years.**
- ❖ **EF has been included in their prestigious "Hall of Fame" for the year 2018-19.**

Our Service motto :

"Give us your worries...Take home the returns"

Financial Planning Solutions comprising of :

Mutual Funds

Equity Trading on NSE/BSE

Depository Services

Bonds

Life Insurance*

General Insurance*

Senior Citizen Bonds
GOI Saving Bonds
Capital Gain Bonds

Fixed Deposits

Motor, Health, Home,
Personal Accident (PA),
Travel, etc.

Currency Trading

Equity IPO,s

Commodity Trading

An ISO 9001:2015 certified company

*through its associate company - "EF Insurance Broking Pvt. Ltd."

The Client must ensure the following:

1. Proof of Identity (POI)	<ul style="list-style-type: none"> Copy of PAN Card is mandatory for all applicants (except for applicants residing in the state of Sikkim)
2. Proof of Address (POA)	<ul style="list-style-type: none"> Copy of Aadhar Card is mandatory for all Individual applicants & Authorised Signatories in case of Non-Individuals¹⁴⁵ Copy of Driving Licence, Passport, Voter ID, Ration Card & last 3 months Bank Statement. If correspondence & permanent address are different, then proofs for both should be submitted
3. Bank+MICR/IFS code Proof	<ul style="list-style-type: none"> Proof should contain IFSC Code (11 digits) / MICR Code (9 digits) of Bank If name is not pre-printed on cheque-then submit additional proof containing the Bank A/c number and Name of Client
4. Income Proof	<ul style="list-style-type: none"> Mandatory if you wish to trade in Derivatives (F&O/Currency) segments
5. Demat A/c Proof	<ul style="list-style-type: none"> Client Master List or Latest DP Holding Statement for existing Demat Holders

► **PROOF OF FINANCIAL DETAILS, any one (for clients who wish to trade in F&O & MCX)**

- | | | |
|------------------------------|----------------------------|---|
| 1. Copy of Income Tax Return | 2. Copy of Annual Accounts | 3. Copy of Form 16 (Salary Certificate) |
| 4. Networth Certificate | 5. Demat Holding Statement | 6. Bank Statement for last 6 months |




► **PROOFS FOR NRI (NON RESIDENT INDIAN)**

- PAN card.
- Valid Passport/PIO Card/OCI card as Proof of Identity, Proof of Foreign Address and Indian Address (if any).
- PIS Bank A/c should be either Repatriable Bank A/c for NRE OR Non-Repatriable A/c for NRO status.
- Proof of Demat Account should be only with NRI status.
- Permission for dealing in securities from Authorized Dealer(Bank)/RBI.

► **TO AVOID OBJECTION AND DELAYS:**

- The A/c opening form should be filled in BLACK INK and CAPITAL LETTERS ONLY and do have:
 - Clients Name and Signature at all the required places.
 - Joint Holders/Witness signatures at the required places.
 - N.A. mentioned at all places not applicable to the client.
- White ink is not allowed anywhere on the form. All corrections need to be countersigned with full signature.
- All proofs, photographs and signature on the form should be clearly visible and should be self attested by the client.
- In case of DP account with joint holders, KYC Application Form (KRA Form) & all the proofs (PAN card and address proof) should be provided for Second & Third Holder also.

► **SIGNATURE MARKINGS**

-  **Signature of the Client/First or Sole Holder.**
-  **Signature of Nominee/Guardian/Introducer/Second Holder/Third Holder/Witness**
-  **Signature of EFL Authorized Signatory/The Participant (For office use)**

► PLEASE READ “EFL” AS EASTERN FINANCIERS LTD. WHERE EVER IT APPEARS

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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 for accounts opened using OTP based E-KYC in non-face to face mode.

For office use only Application Type* New Update
 (To be filled by financial institution) KYC Number _____ (Mandatory for KYC update request)
 Account Type* Normal Minor Aadhar OTP based (in non-face to face mode)

1. PERSONAL DETAILS

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	_____	_____	_____	_____
Maiden Name	_____	_____	_____	_____
Father / Spouse Name	_____	_____	_____	_____
Mother Name	_____	_____	_____	_____
Date of Birth*	DD - MM - YYYY	_____	_____	_____
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship	<input type="checkbox"/> IN-Indian	<input type="checkbox"/> Others (ISO 3166 Country Code _____)		
Residential Status	<input type="checkbox"/> Residential Individual	<input type="checkbox"/> Non-Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
PAN*	_____			

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 (any one 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 Aadhar _____
- II. E-KYC Authentication _____
- III. Offline verification of Aadhar _____

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 be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one 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 Aadhar _____
- II. E-KYC Authentication _____
- III. Offline verification of Aadhar _____
- IV. Deemed Proof of Address - Document Type code _____
- V. Self Declaration

Address

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

4. CONTACT DETAILS (All communications will be sent on 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/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we 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 am/We are aware that I/We may be held liable for it. I/We hereby consent to receiving information from CVL / KRA / CERSAI through SMS / Email on the above registered number / Email address. I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our 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. I/We do hereby authorise M/s Eastern Financiarci Ltd. to download / modify my CKYC / KRA details ad and when required for demat and trading purposes only

[Signature / Thumb Impression]

Date : -- 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

KYC DOCUMENT VERIFIED BY CLIENT INTERVIEWED BY

Date -- Emp. Name
 Emp. Code Emp. Designation
 Emp. Branch

[Employee Signature]

IN PERSON VERIFICATION (IPV) CARRIED OUT BY

Date -- Name
 Code Designation
 Name of the Organisation
 [Signature]

INSTITUTION DETAILS

Name
 Code
 [Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

- A Clarification / Guidelines on filling 'Personal Details' section**
- Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
 - One of the following is mandatory : Mother's name, Spouse's name, Father's name.
- B Clarification / Guidelines on filling 'Current Address details' section**
- In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
 - PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
 - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
 - in Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
 - In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
 - List of documents for 'Deemed Proof of Address':
- | Document Code | Description |
|---------------|---|
| 01 | Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill). |
| 02 | Property or Municipal tax receipt. |
| 03 | Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address. |
| 04 | Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation. |
- Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
 - "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
 - 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
 - REs may use the Self Declaration check box where Aadhar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.
- C Clarification / Guidelines on filling 'Contact details' section**
- Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
 - Do not add '0' in the beginning of Mobile number.
- D Clarification / Guidelines on filling 'Related Person details' section**
- Provide KYC number of related person, if available.
- E Clarification on Minor**
- Guardian details are optional for minors above 10 years of age for opening of bank account only
 - However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

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 Application Type* New Update
 (To be filled by financial institution) 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** at the end)
 Date of Incorporation / Formation* DD-MM-YYYY Date of Commencement of business DD-MM-YYYY
 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 (Pol)* (Please refer instruction **B** at the end)

Officially valid 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 of 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)

3.1 Registered Office Address / Place of Business*

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*

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

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* 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

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we 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 am/We are aware that I/We may be held liable for it. I/We hereby consent to receiving information from CVL / KRA / CERSAI through SMS / Email on the above registered number / Email address. I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our 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. I/We do hereby authorise M/s Eastern Fiananciara Ltd. to download / modify my CKYC / KRA details and when required for demat and trading purposes only

[Signature / Thumb Impression]

Date : DD - MM - YYYY

Place :

 Signature / Thumb Impression of Authorised Person(s)

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies Equivalent e-document

KYC DOCUMENT VERIFIED CARRIED OUT BY

Identity Verification Done Date DD - MM - YYYY
 Emp. Name
 Emp. Code
 Emp. Designation
 Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name
 Code

[Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check List / Guidelines for filling Legal Entity / Other than Individuals KYC Application Form

A. Clarification (Guidelines for filling Entry details section)

- Entity constitution type

A - Sole Proprietorship	H - Trust	O - Artificial Judicial Person
B - Partnership Firm	I - Liquidator	P - International Organization or Agency (Foreign Embassy or Consulate Office etc.)
C - HUF	J - Limited Liability Partnership	Q - Not Categorized
D - Private Limited Company	K - Artificial Liability Partnership	R - Others
E - Public Limited Company	L - Public Limited Bank	S - Foreign Portfolio Investors
F - Society	M - Central / State Government Department Agency	
G - Association of Persons (ACP) / Body of Industries (BOI)	N - Section B Companies (Companies Act, 2013)	
- In case of companies and partnerships PAN of the entity is mandatory in case of other entities. FORM 60 may be obtained if PAN is not available.

B. Clarification / Guidelines for filling 'Proof of identity / Full section

- Activity Proof - 1 and Activity proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- Certified copy of document or equivalent e-document of OVD declared through digital KYC process to be submitted.
- Equivalent e-document means and electronic equivalent of a document issued by the issuing authority of such document with its valid digital signature including documents issued to the digital holder account of the client as per rule 9 of the information technology (presentation and remission of information by providing Digital Locker Facility) Rules 2016
- Digital KYC process has to be carried out as stipulated in the PMI Rules 2006
- KYC requirements for foreign Portfolio investors (FPI) will be as specified by the concerned regulator from time to time

C. Clarification / Guidelines for filling "Proof of Address (POA)" Section

- State / UT Code and PIN / Postal Code will not be mandatory for overseas addresses.
- Certified copy of document or equivalent e-document to be submitted.

D. Clarification / Guideline for filling 'Contact Details' section

- Please mention two digit country code and 10 digit mobile number (e.g for Indian mobile number mention 91-9900000000)
- Do not add '0' in the beginning of mobile number

E. Clarification / Guidelines for filling 'Related Person Details' Section

- Personal Details
 - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Proof of Address [POA]
 - POA to be submitted only if the submitted POA does have an address or address as per POI is invalid or not in force.
 - State / U T Code and PIN / Postal code will not be mandatory for overseas addresses.
 - In case of deemed POA such as only bill of document read not be uploaded on CKYCR
 - REs may use the Sell Confirmation check box where Aadhaar authentication has been carried out successfully for a client and client ways to provide a current address different from the address as per the identity information in the Central identities Date Repository.
- If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- Registered Entry (RE) shall redirect (list ii clients) of the Aadhaar number from Aadhaar related date and document such as proof of procession of Aadhaar while uploading on CKYCR

F. Provision for capturing signature of multiple authorised person is to be made by the RE.

KYC - APPLICATION FORM FOR TRADING AND DEMAT A/C - NON-INDIVIDUAL

Please fill this form in ENGLISH and in BLOCK LETTERS. (Use black ink)

A. IDENTITY DETAILS

1	Name of the Applicant												
2	Date of incorporation	D	D	M	M	Y	Y	Y	Y	Place of incorporation			
3	a. Business Commencement date	D	D	M	M	Y	Y	Y	Y	b. Regn. No. (eg. CIN)			
4	PAN, copy attached <input type="checkbox"/>												
5	Status (Please tick any one)	<input type="checkbox"/> Pvt. Ltd. Co.	<input type="checkbox"/> Public Ltd. Co.	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Partnership	<input type="checkbox"/> Charities							
		<input type="checkbox"/> Bank	<input type="checkbox"/> Society	<input type="checkbox"/> Trust	<input type="checkbox"/> Defense Establishment	<input type="checkbox"/> Others							
		<input type="checkbox"/> FII	<input type="checkbox"/> HUF	<input type="checkbox"/> AOP	<input type="checkbox"/> Non Govt. Organisation								
		<input type="checkbox"/> BOI	<input type="checkbox"/> LLP	<input type="checkbox"/> FI	<input type="checkbox"/> Government Body	<i>(Please specify)</i>							

B. ADDRESS DETAILS

1	Correspondence Address											
		City/Town/Village						PIN Code				
		State						Country				
2	Specify proof of correspondence address submitted											
3	Contact Details	Telephone (office)						Telephone (Res)				
		Fax No.						Mobile No.				
		Email ID										
4	Registered Address <i>(if different from above.)</i>											
		City/Town/Village						PIN Code				
		State						Country				
5	Specify proof of registered address submitted											

C. DECLARATION

We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware we may be held liable for it and the same will render our account liable for termination and suitable action.

Place	Signature of Applicant	Date	D	D	M	M	Y	Y	Y	Y
-------	------------------------	------	---	---	---	---	---	---	---	---

FOR OFFICE USE ONLY

	Documents verified with Originals by	Client interviewed by	In-Person Verification done by																					
Staff Name/ AP																								
Designation/ Reg. Code																								
Signature																								
Date	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y

(Original verified) Self Certified Documents copies received (Self Attested) True copies of documents received

Sign/Seal/Stamp of the intermediary

EASTERN FINACIERS LTD.

**DETAILS OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLETIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC)
Form should be filled in English and in Block Letters (Use Black ink only)**

Name of Applicant	PAN								
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S.N.	Particulars	Photograph	Signature with Stamp
------	-------------	------------	----------------------

1	Name	Affix recent passport size Photograph and Sign across it		
	Residential Address			
	Designation			
	PAN			Dt. of Birth
	DIN/UID			Contact No.
	Aadhar No.			PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No

2	Name	Affix recent passport size Photograph and Sign across it		
	Residential Address			
	Designation			
	PAN			Dt. of Birth
	DIN/UID			Contact No.
	Aadhar No.			PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No

3	Name	Affix recent passport size Photograph and Sign across it		
	Residential Address			
	Designation			
	PAN			Dt. of Birth
	DIN/UID			Contact No.
	Aadhar No.			PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No

4	Name	Affix recent passport size Photograph and Sign across it		
	Residential Address			
	Designation			
	PAN			Dt. of Birth
	DIN/UID			Contact No.
	Aadhar No.			PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No

5	Name	Affix recent passport size Photograph and Sign across it		
	Residential Address			
	Designation			
	PAN			Dt. of Birth
	DIN/UID			Contact No.
	Aadhar No.			PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No

First Signatory	Second Signatory	Third Signatory
------------------------	-------------------------	------------------------

Place	Name and signature with Stamp of the Authorised Signatory(ies)	Date	D	D	M	M	Y	Y
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EASTERN FINACIERS LTD.

PART II - TRADING & DEMAT ACCOUNT RELATED DETAILS (FOR INDIVIDUAL & NON INDIVIDUAL)

A BANK ACCOUNT DETAILS

	1st Account/ Primary (To be used in Demat A/s also)	2nd Account	3rd Account
Bank Name			
Branch Name & Address			
Bank Account No.			
Account Type (Saving/Current/Others in case of NRI/NRE/NRO)			
MICR No.			
IFSC Code			

B DEPOSITORY ACCOUNT DETAILS

DP Name			
CDSL/NSDL			
DP ID			
Beneficiary ID (BO ID)			
Beneficiary Name 1			
Beneficiary Name 2			
Beneficiary Name 3			

C 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, MCX


Exchange	Segment	Signature
NSE & BSE	Cash / Mutual Fund	
NSE & BSE	Future & Option	
NSE	Currency Derivatives	
NSE	SLBM	
NSE	Debt	
MCX & NSE	Commodity	

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

IBT/STWT

#If, in future, the client wants to trade on any new segment/new exchange, separate authorisation/letter should be submitted by the Client to EFL.

EASTERN FINACIERS LTD.

▶ FAST 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: _____			
Are You Member of Any Stock Exchange?		Y	N
▶ DEALINGS THROUGH AUTHORIZED PERSON OF OTHER STOCK BROKERS			
<i>If client is dealing through the AP, provide the following details:</i>			
AP Name		Exchange Regn. No.	
Registered Office Address			
Phone		Fax	
Website			
WHETHER DEALING WITH ANY OTHER STOCK BROKER			
<i>(If case dealing with multiple stock brokers, provide details of all)</i>			
Name of Stock Broker		Client Code	
Name of AP, If any		Exchange	
Details of Disputes/Dues Pending from/to such Stock Broker/AP:			
▶ ADDITIONAL DETAILS			
GST Registration Details			
Whether You Wish to Receive Physical Contract Note or Electronic Contract Note (ECN) <i>(Please Specify)</i> :			
Specify Your Email ID, If Applicable			
Whether You Wish to Avail of the Facility of Internet Trading/Wireless Technology <i>(Please Specify)</i>			<input type="checkbox"/> Yes <input type="checkbox"/> No
Number of Years of Investment/Trading Experience			
Whether you wish to receive the standard documents - Rights and Obligations, Risk Disclosure Document. (RDD) and Guidance note <input type="checkbox"/> Physically <input type="checkbox"/> Electronically Please note that these documents are also available in certain vernacular languages on demand.			
Any Other Information			
▶ INTRODUCER DETAILS (OPTIONAL)			
Name of the Introducer			
Status of the Introducer	<input type="checkbox"/> Authorized Person	<input type="checkbox"/> Remisier	<input type="checkbox"/> Employee
	<input type="checkbox"/> Existing Client	<input type="checkbox"/> Other	
Address of the Introducer			
Mobile/Phone No. of the Introducer			 Signature of the Introducer

▶ DEMAT ACCOUNT OPENING FORM					CLIENT ID																		
I/WE REQUEST YOU TO OPEN A DEPOSITORY ACCOUNT IN MY/OUR NAME AS PER THE FOLLOWING DETAILS:																							
(PLEASE FILL ALL THE DETAILS IN CAPITAL LETTERS ONLY)																							
															Date:								
▶ TYPE OF ACCOUNT																							
STATUS				SUB-STATUS																			
<input type="checkbox"/> Individual				<input type="checkbox"/> Individual Resident				<input type="checkbox"/> Individual Director				<input type="checkbox"/> Individual Promoter											
<input type="checkbox"/> NRI				<input type="checkbox"/> NRI-Repatriable				<input type="checkbox"/> NRI-Non Repatriable				<input type="checkbox"/> Other <u>(Please Specify)</u>											
<input type="checkbox"/> Foreign National				<input type="checkbox"/> Foreign National				<input type="checkbox"/> Qualified Foreign Investor															
<input type="checkbox"/> Non-Individual				<input type="checkbox"/> Body Corporate		<input type="checkbox"/> Trust		<input type="checkbox"/> Bank		<input type="checkbox"/> FI		<input type="checkbox"/> FII		<input type="checkbox"/> Mutual Fund		<input type="checkbox"/> CM							
				<input type="checkbox"/> Qualified Foreign Investor				<input type="checkbox"/> Margin		<input type="checkbox"/> HUF		<input type="checkbox"/> Other											
▶ DETAILS OF ACCOUNT HOLDER(S)																							
Name of Sole/First Holder																							
				PAN																			
Name of Second Holder																							
				PAN																			
Name of Third Holder																							
				PAN																			
* Please provide a separate KYC Application Form (KRA Form) for all Joint Holders																							
For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:																							
Name																							
				PAN																			
▶ IN CASE OF NRIs/FOREIGN NATIONALS/FIIs/Others (as may be applicable)																							
RBI Approval Ref. No.									RBI Approval Date														
SEBI Regn. No. (for FIIs)																							
▶ STANDING INSTRUCTIONS																							
I/We authorise you to receive credits automatically into my/our account													<input type="checkbox"/> Yes		<input type="checkbox"/> No								
Account to be operated through Power of Attorney (DDPI)													<input type="checkbox"/> Yes		<input type="checkbox"/> No								
SMS Alert Facility [Mandatory if you are giving Power of Attorney (DDPI). Ensure that the mobile number is provided in the KYC Application Form]							Sole/First Holder				<input type="checkbox"/> Yes		<input type="checkbox"/> No										
							Second Holder				<input type="checkbox"/> Yes		<input type="checkbox"/> No										
							Third Holder				<input type="checkbox"/> Yes		<input type="checkbox"/> No										
MODE OF RECEIVING STATEMENT OF ACCOUNT (TICK ANY ONE)							I/We wish to opt for BSDA				<input type="checkbox"/> Yes		<input type="checkbox"/> No										
<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form [Read Note 5 and ensure that the email ID is provided in KYC Application Form]																							
MODE OF RECEIVING DP CLIENT RIGHTS & OBLIGATIONS (TICK ANY ONE)							<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form																
MODE OF RECEIVING RTA DOCUMENTS, ANNUAL REPORTS, AGM, NOTICES & OTHER COMMUNICATIONS FROM ISSUERS & RTA							<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form																
For Joint Accounts, communication to be sent to <input type="checkbox"/> First Holder <input type="checkbox"/> All Joint Account Holders																							
Standing Instruction Indicator for Auto Pledge Confirmation <input type="checkbox"/> Yes <input type="checkbox"/> No																							
Option to POA clients to receive DIS Book along with account opening or subsequently:																							
a) I/We wish to receive the DIS Book at the time of account opening itself <input type="checkbox"/>																							
b) I/We wish to receive the DIS Book at any later date on request <input type="checkbox"/>																							

Nomination Option	<input type="checkbox"/> I/We wish to make a nomination.	<input type="checkbox"/> I/We do not wish to make a nomination.
[Details are to be provided at FORM 10]		

Mode of Operations for Joint Accounts	<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the holder or survivor(s)
--	----------------------------------	--

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.

▶ GUARDIAN DETAILS (where sole holder is a minor)

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian Name	
PAN No.	
Relationship of Guardian with Minor	

▶ MODE OF OPERATION FOR SOLE/FIRST HOLDER [for Non-individuals] (In case of joint holdings, all the holders must sign)

<input type="checkbox"/> Any One Singly	<input type="checkbox"/> Jointly
<input type="checkbox"/> As per Resolution	<input type="checkbox"/> Other (Please Specify)

▶ CLEARING MEMBERS DETAILS (to be filled up by Clearing Members only)

Name of Stock Exchange	
Name of Clearing Corporation/Clearing House	
Clearing Member ID	
SEBI Registration Number	
Trade Name	
CM-BP-ID (To Be Filled Up By Participant)	

▶ 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 of 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, "Rights and Obligations of the Beneficial Owner and Depository Participant".

Non-Individuals-Authorised Signatories (Enclose a Board resolution for Authorised Signatories)

Sole/First Holder/or Guardian (In case of minor) or First Signatory	Name	
Second Holder or Second Signatory	Name	
Third Holder or Third Signatory	Name	

EASTERN FINACIERS LTD.

▶ **NOTES**

- 1. All communication shall be sent at the address of the Sole/First holder only.**
- 2. For Non-Individual-** In case of additional signatures, separate annexures should be attached to the application form.
3. Thumb Impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- 4. Instructions related to nomination, are as below:**
 - I. 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, 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.
 - II. 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.
 - III. The Nominee 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.
 - IV. 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.
 - V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.
 - VI. 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, 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.
 - VII. 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.
- 5. For receiving Statement of Account in electronic form:**
 - I. Client must ensure the confidentiality of the password of the email account.
 - II. Client must promptly inform the Participant if the email address has changed
 - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice
- 6. Strike off whichever is not applicable.**

Details of TM / DP :

Date	D	D	M	M	Y	Y	Y	Y	DP ID								Client ID							
										UCC														

I/We hereby nominate the following person(s) who shall receive all the assets held in my/our account in the event of my/our demise, as trustee and on behalf of my/our legal heir(s)"

Nomination Details

Nominee	Mandatory Details						Additional Details ****	
	Name of nominee	Share of nominee (%)**	Relation ship	Postal Address	Mobile number & E-mail	Identity Number ***	D.O.B. of nominee (dd-mm-yyyy)	Guardian
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								

1) I/We want the details of my/our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the DP as follows; (please tick, as appropriate)

 Name of nominee(s)

 Nomination: Yes / No

2) I hereby authorize _____ (nominee number _____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He/ She is authorized to encash my assets up to _____% of assets in the account or Rs. _____. **(Optional)** (strike off portions that are not relevant) This nomination shall supersede any prior nomination made by me/us, if any.

 Signature of
 Sole/1st Holder _____

 Signature of
 2nd Holder _____

 Signature of
 3rd Holder _____

3) Signature(s) - As per the mode of holding in demat account(s)

Name(s) of holder(s)		Signature(s) of holder/ thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable) *
Sole/1st Holder (Mr./Ms.)				
2nd Holder (Mr./Ms.)				
3rd Holder (Mr./Ms.)				

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

***Joint Accounts:**

Event	Transmission of Account
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously having nominee	Nominee
Demise of all joint holders simultaneously-not having nominee	Legal heir(s) of the youngest holder

Notes:

**If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division/fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

***Provide only number: PAN or Driving License or Aadhaar (last 4 digits). Copy of the document is not required. However, in case of NRI / OCI PIO, Passport number is acceptable.

****to be furnished only in following conditions/circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular SEBI/HO/OIAE/OIAE IAD-3/P/ON/2025/0027, dated February 28, 2025
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgment from the DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account.
- In case all your nominees do not claim the assets from the DP, then the residual unclaimed asset shall continue to be with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account, in case of your physical incapacitation, at any point of time and not just during opening of account. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the demat account(s) i.e.

- o 'Either or Survivor Accounts any one of the holder can sign
- o 'First holder' Accounts only First holder can sign
- o 'Jointly Accounts all holders have to sign

Transmission aspects

- Dps shall transmit the account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion/updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity, cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor, In this regard, no dispute shall lie against the DP.

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% Share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % Share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

Declaration Form for Opting Out of Nomination

<u>Details of TM/DP:</u>	Date	D	D	M	M	Y	Y	Y	Y
UCC									
DP ID									
Client ID (only for Demat account)									
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 MF Folio/ 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 MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio/demat account..

Name and Signature of Holder(s)*

Signature :			
	1. _____	2. _____	3. _____
Name :	1. _____	2. _____	3. _____

<p>Witness</p> <p>Signature: _____</p> <p>Name: _____</p> <p>Address: _____</p> <p>_____</p>	<p>Witness</p> <p>Signature: _____</p> <p>Name: _____</p> <p>Address: _____</p> <p>_____</p>
---	---

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

▶ OTHER DETAILS FOR INDIVIDUAL ONLY

Gross Annual Income Details :

Income Range per Annum (Please Tick Any One) Below ₹ 1 Lacs ₹ 1-5 Lacs ₹ 5-10 Lacs ₹ 10-25 Lacs More than ₹ 25 Lacs

Occupation (Please tick any one) Private Sector Public Sector Govt. Service Business Agriculturist
 Retired Housewife Student Professional Others _____

Please Tick, If Applicable: Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

Any Other Information

▶ OTHER DETAILS FOR INDIVIDUAL ONLY

Income Details Please Specify :

Income Range per Annum (Please Tick Any One) Below ₹ 20 Lacs ₹ 20-50 Lacs ₹ 50 Lacs-1 Crore Above ₹ 1 Crore

Networth Amount (₹) _____ As on date _____ (Networth should not be older than 1 year)

Please Tick, if Applicable, for Any of Your Authorized Signatories/Promoters/Partners / Karta / Trustees / Whole Time Directors Politically Exposed Person (PEP)
 Related to a Politically Exposed Person (PEP)

Any Other Information

▶ DECLARATION FOR TRADING ONLY

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/we am/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



Signature of the Client/(All) Authorized Signatory(ies)

Place _____

--	--	--	--	--	--	--	--	--	--



TARIFF SHEET

BROKERAGE STRUCTURE

SEGMENT	DELIVERY (%)	MINIMUM (Paisa)	SQUARE OFF (%)	MINIMUM (Paisa)
NSE & BSE CASH				
NSE & BSE FUTURE				
NSE & BSE OPTION				
NSE CURRENCY - FUTURE				
NSE CURRENCY - OPTION				
NSE COMMODITY				
SLBS - FIRST LEG				
SLBS - REVERSE LEG				
MCX				

(Other charges STT, GST, Stamp Charges, Transaction Charges, Clearing Charges, if any shall be levied as per the rate stipulated by the concerned Authority)

SCORES URL Link : <https://scores.gov.in/scores/Welcome.html>

Filing compliant on SCORES - Easy & Quick

- a. Register on SCORES portal
- b. Mandatory details for filing complaints on SCORES
 - i. Name, PAN, Address, Mobile Number, E-mail ID
- c. Benefits:
 - i. Effective Communication
 - ii. Speedy redressal of the grievances

Beneficiary & Corporate Charge Schedule for Depository Services NSDL

Sr. No.	Charge Head	Charges	Minimum
1.	Account Opening	NIL	----
2.	Account Closing	(Closing is subject to clearing of all O/S dues)	----
3.	Account Maintenance	Rs.. 1000/- per annum for Corporate & Rs. 400/- for other than Corporates Service Tax GST as applicable for the current Financial Year.	----
4.	Dematerialisation	Rs. 5/- per Certificate Rs. 40/- for Courier Charges per D'Mat Request	----
5.	Rematerialisation	Rs. 15/- for every 100 shares or part thereof OR Rs. 15/- per certificate whichever is higher + Mailing charges at Actual	Rs. 15.00
6.	Equity Transaction - Sell	0.02% of the value of the transaction for clients trading with EASTERN FINANCIERS LTD. 0.04% of the value of the transaction for outside clients	Rs. 15.00 Rs. 20.00
7.	Equity Transaction - Buy	NIL	----
8.	Pledge Services	0.04% of the value of the shares	Rs. 50.00
9.	Cheque Dishonour Charges	Rs. 100/- per instance.	Rs. 100/-
10.	CAS Charges	For Courier-Rs. 8/- per month For E-mail-Rs. 0.75 per month	Rs. 8/- per month Rs. 0.75- per month
11.	For BSDA Clients	For Holding Valuation form Re. 1/- to Rs. 400000/- (Other than Debt Securities & Upto Rs. 1000000/-for Debt Securities. Rs. 400001/- to Rs. 1000000/- including Debt Securities Above Rs. 1000000/-	NIL Rs. 100/- per annum Rs. 400/- per annum
12.	IDEAS & SPEED-e Charges	IDEAS for CM-Actual to NSDL Billing IDEAS for Individual IDEAS for Corporate Speed-e for Password Based user. Speed-e for Corporate User with e-Token user	- - - NIL Rs. 375/- per Quarter
13.	Margin Pledge	For Initiation Rs 8 For Release Rs 8	

Conditions:
Options for the recovery of the demat service charges
Option:

Customers who have only a depository relationship with us will be required to pay an advance fee of Rs. 1000/- for each demat account which will be adjusted against service charges. The customer will also undertake to replenish the balances immediately when it falls below Rs. 400/-

In case we are unable to recover the service charges due to non-maintenance of inadequate advance fees, OR the demand raised by the DP within 30 (thirty) days from the date of demand, Depository Participant will stop processing the instructions as per Clause 19 & 20 of the Rights and Obligations document. Any request to resume the services will be charged Rs. 100/- and the services will be resumed in a minimum of one working day from the date of receipt of request at Eastern Financiers Ltd. CPU, Lords Branch, Calcutta.

Common Clauses:

The above charges are exclusive of Service Tax/GST which is currently @18.00% per annum and other levies levied by Government bodies / statutory authority from time to time.

Charges/service standards are subject to revision at the Eastern Financiers Ltd.'s sole discretion and as informed by circulars sent by ordinary post

Account Maintenance Charges are levied upfront for a period of one year at the beginning of the period.

Transaction charges will be payable within 10 day of the succeeding month, Charges quoted above are for the services listed. Any service not quoted above will be charged separately..

Pledge services will include individually pledge creation request, closure requisition, pledge invocation receipt, pledge invocation delivery favouring other counterparties only.

All instructions for transfer must be received at the designated branch of Eastern Financiers Ltd.

The transaction charges billed for the month is payable by 10th of succeeding month, GST and cess if any as applicable from time to time. All the charges are subject to change.

****NOTE:**A settlement fee at the rate of ₹ 4.00 per debit instruction in a Client's account shall be charged by the depository to the Client



Signature of First Holder


Signature of Second Holder


Signature of Third Holder

Most Important Terms and Conditions (MITC)

As required by SEBI Circular No. SEBI/HO/MIRSD/MIRSD-POD-1/P/CIR/2023/180 dt.13.11.2023
(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.



Signature of the Client

DECLARATION FOR BASIC SERVICES DEMAT ACCOUNT (BSDA) ANNEXURE I

To,
EASTERN FINANCIERS LIMITED
 IN303181
 "Lords" Suite No 102 & 104
 7/1, Lord Sinha Road
 Kolkata - 700071

Date: _____

With reference to my / our application for opening a depository account, I/ We request you to open my/our depository account as per the following details:

	Name	PAN									
Sole/First Holder											
Second Holder											
Third Holder											

I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA.

I/We are aware that if I/we are eligible to open a depository account as a BSDA, the account shall be opened as a BSDA.

I/We also understand that in case, I/We at any point of time do not meet the eligibility criteria as a BSDA holder, my/our Demat account is liable to be converted to regular account.

I/We also state that if at any time choose to opt out of BSDA i.e. avail the facility of regular account the same will be communicated to the Participant from Sole / First Holder registered email ID.

1 _____ 2 _____ 3 _____

 Signature(s) of Account Holder(s)

FATCA / CRS DECLARATION - INDIVIDUAL

MANDATORY

Applicant Name _____

PART I - Please fill in the country for each of the following :

1. Country of :
 - a) Birth _____ b) Citizenship _____
 - c) Residence for Tax Purposes _____
2. US Person* : Yes No

PART II - Please note :

- a. If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to Part III for signature.
- b. If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent** as issued in the specific country in the table below :
 - i) TIN _____ Country of Issue _____
 - ii) TIN _____ Country of Issue _____
 - iii) TIN _____ Country of Issue _____
- a. In case any of the parameters in **Part I** indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in **Part IV**.
- b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate

Please also fill **Part IV** Self-Certification.

PART III - Customer Declaration (Applicable for all customers)

- (i) Under penalty of perjury, I/we certify that :
 1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof.
(This clause is applicable only if the account holder is identified as a US person)
 2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. (This clause is applicable only if the account holder is a tax resident outside of India)
- (ii) I/We understand that Eastern Financiers Ltd. (EFL) is relying on this information for determining the status of applicant named above in compliance with FATCA/CRS. Eastern Financiers Ltd. is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- (iv) I/We agree that as may be required by domestic regulators/tax authorities EFL may also be required to report, reportable details to CBDT or close or suspend my account.
- (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature :  _____

Name : _____ Date (DD/MM/YYYY) : _____

PART IV - Self-Certification :

To be filled only if-

- (a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or
- (b) US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.

Signature

Document Proof submitted (Please tick document being submitted)

- Passport Election Id Card PAN Card Driving License UIDAI Letter
- NREGA Job Card Govt. Issued ID Card

*** U.S. Person** means,

- (a) an individual, being a citizen or resident of the United States of America;
- (b) a partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
- (c) a trust if,-
 - (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and
 - (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust; or
- (d) an estate of a decedent who was a citizen or resident of the United States of America;

**** Functional Equivalent of TIN**

Many countries do not issue TIN to their taxpayers. However, such countries issue some other high integrity number with an equivalent level of identification (a functional equivalent). Examples of such numbers are-

- Social Security Number
- National Insurance Number
- Citizen Or Personal Identification Code Or Number
- Resident Registration Number

Applicant Name _____

PART I

A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange:
 Yes No

If "No", then proceed to point B. If "yes" please specify name of stock exchange, if you are listed company _____ and proceed to sign the declaration.

B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India : Yes No
If "yes", then please fill of FATCA/ CRS Self certification Form. If "No", proceed to point C.

C. Is the account holder an Indian Financial Institution : Yes No
If "yes", please provide your GIIN, if any _____. If "No", proceed to point D.

D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen : Yes No
If "yes", (then please fill FATCA/ CRS self-certification form)). If "No", proceed to sign the declaration.

CUSTOMER DECLARATION

() Under penalty of perjury, I/we certify that :

1. The applicant is:

- (i) An applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S.,
- (ii) An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)

2. The applicant is an applicant taxable as a tax resident under the laws of country outside India.

- (i) I/We understand that Eastern Financiers Ltd. is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. EFL is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (ii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- (iii) I/We agree that as may be required by domestic regulators/tax authorities EFL may also be required to report, reportable details to CBDT or close or suspend my account.
- (iv) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Name of the Entity _____

Signature 1 _____ Signature 2 _____

Signature 3 _____ (As per MOP)

Date : _____

Signature  _____

Section 4 : Controlling person declaration

If you are classified as “Passive NFFE with Controlling Person(s)” or “Owner documented FFI” or “Specified US person”, please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing country	Controlling person type

Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification Type					
Identification Number					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

Section 5 : Declaration

- (i) Under penalty of perjury, I/we certify that :
 1. The number shown on this form is the correct taxpayer identification number of the applicant, and
 2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America (“U.S.”) or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or
 3. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
- (ii) I/We understand that Eastern Financiers Ltd. is relying on this information for the purpose of determining the status of applicant named above in compliance with CRS/FATCA. Eastern Financiers Ltd. is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.
- (iv) I/ We agree as may be required by Regulatory authorities, Eastern Financiers Ltd. shall be required to report, reportable details to CDBT or close or suspend my account.
- (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

I/We hereby confirm that details provided are accurate, correct and complete



Authorized Signatories and Company Seal (if applicable)

Name _____ Date (DD/MM/YYYY) _____

DECLARATION OF ULTIMATE BENEFICIAL OWNERSHIP

(Mandatory For Non-Individuals)

Investor Name _____ PAN _____

Part I - LISTED COMPANY / ITS SUBSIDIARY COMPANY [If applicable, Part II Not Applicable]

We hereby declare that the Applicant/ Owner of the controlling interest in the applicant

- is a Company listed on a Stock Exchange
- is a majority-owned subsidiary of a Company listed on a Stock Exchange

Name of the holding/ parent company (with % share) _____

Name of such Listed Company (if not the Applicant itself) _____

Stock Exchange where listed _____ Security ISIN _____

Part II - OTHER THAN LISTED COMPANY / ITS SUBSIDIARY COMPANY

Name & Address of the Ultimate Beneficial Owner [UBO]	PAN or any other identification proof where PAN not applicable	Country of tax residency	% of beneficial interest in the Applicant	Whether Politically Exposed?	UBO Code (see instruction next page)
(1)					
(2)					
(3)					

If UBO is already KYC compliant, KYC complied proof to be enclosed. Else PAN or any other valid identity proof and address proof must be attached (self certified by the UBO and certified by the Applicant)

Part III - DECLARATION

We understand that Eastern Financiers Ltd. is relying on this information for the purpose of determining the beneficial ownership of the account. We certify that the information we provided on this form is true and complete to the best of our knowledge and belief. We agree to submit a new form within 30 days if any information or certification on this form gets changed.



Authorised Signatory [with seal]

Date : _____ Place : _____

In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit.

GENERAL INFORMATION & INSTRUCTIONS

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

Ultimate Beneficiary Owner [UBO]:

A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
 - more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
 - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
 - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

C. Exemption in case of listed companies/foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/ MIRSD/ 11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.

UBO Code Description

- UBO-1 : Controlling ownership interest of more than 25% of shares or capital or profits of the Applicant, where the Applicant is a company
- UBO-2 : Controlling ownership interest of more than 15% of the capital or profits of the Applicant, where the Applicant is a partnership
- UBO-3 : Controlling ownership interest of more than 15% of the property or capital or profits of the Applicant, where the Applicant is an unincorporated association or body of individuals
- UBO-4 : Natural person exercising control over the Applicant through other means i.e., exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under UBO-1 to UBO-3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests]
- UBO-5 : Natural person who holds the position of senior managing official [In case no natural person could be identified as above]
- UBO-6 :The settler(s) of the trust
- UBO-7 :Trustee(s) of the Trust
- UBO-8 :The Protector(s) of the Trust [if applicable].
- UBO-9 :The beneficiaries with 15% or more interest in the trust if they are natural person(s)
- UBO-10 : Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership.

AUTHORITY LETTER FOR SETTLEMENT OF RUNNING ACCOUNT OF FUNDS

To
Eastern Financiers Ltd.

DATE:

“LORDS”, Suite No. 102 & 104, 7/1 Lord Sinha Road, Kolkata - 700071

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds on my/our behalf without settling the account on settlement of each transaction. As required by SEBI circular my/ our funds at EOD shall be upstream to CC/CM on daily basis. Further, any request made for release of funds shall be proceed within same day if request is made by 2 P.M, and on the next trading day if request is received after 2 P.M.
2. I/we understand and agree that no interest will be payable to me/us on the funds so retained with you.
3. I/we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard, I/we hereby authorize Eastern Financiers Ltd to act at its discretion of adjusting any credit balance under my/ our various accounts against the debit in any account across segments/Exchange, without taking any further instruction from me/us.
4. Excess margins deposited towards one exchange / segment may be adjusted, on a running basis towards margin requirement / debit balance in same / other exchange / segment, where I/we have the client account.
5. I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
6. I / we hereby authorize you to deposit my / our funds deposited as margin to exchange / Clearing Corporation.
7. I/we may revoke the authorisation at any time by giving a written notice.
8. I/we also agree that the actual settlement of fund shall be done by us, at least once in a quarter or month, as preference given below and the statement of account for the same will be provided to me by **Eastern Financiers Ltd.**
9. I/we agree that fund given towards collaterals/margins in form of bank guarantee (BG)/Fixed Deposit Receipts(FDR) may not be periodically settled.
10. I/we agree that (a) in respect of derivatives market transactions, the Trading member may retain funds calculated in the manner specified below:
 - i) Entire pay-in obligation of funds outstanding at the end of day on date of settlement, across all segments.
 - ii) Member may retain 50% of end of the day (EOD) margin requirement as cash margin, excluding the margin on consolidated crystallized obligation/ Mtm.
 - iii) Apart from 50% cash margin mentioned in point ii above, member may also retain 225% of EOD margin (which includes additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the clients by way of 'margin pledge' created in the Depository system for the purpose of margin and value of commodities (after applying appropriate haircut). The margin liability shall include the end of the day margin requirement in all the segments across exchanges excluding the margin on consolidated crystallized obligation/MTM. The margin liability may also include the margin collected by the Member from their clients as per the risk management policy and informed to the clients.
11. I/we agree/understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.
12. I/we shall bring any dispute arising from the statement of account or settlement so made to the Notice of the Trading Member within 30 working days from the date of receipt of funds statement as the case may be.

PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT (FUNDS)

Settlement Preferences	Monthly	Quarterly
------------------------	---------	-----------

Thanking you,
 Yours truly,



 Signature of the Client

MANDATE TO ISSUE DOCUMENTS IN ELECTRONIC FORMAT

To

Eastern Financiers Ltd.

“LORDS”, Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Date : _____

Dear Sir,

Ref. : Mandate to issue Contract Notes, Daily Margin Statement, Quarterly Statement of Account and any other document in electronic format.

I/We hereby agree and consent to accept the contract notes for transaction carried on by me/us with you and the quarterly statements of funds and securities, (hereinafter referred to as “quarterly statement”), daily margin statement and any other documents in terms of the agreement entered into between us, in electronic form on my/our email ID given here-in-under. My/our non-verification or not accessing the contract notes, daily margin statement and quarterly statement on regular basis shall not be a reason for disputing the contract notes, daily margin statement and quarterly statements at any time. This instruction to issue digital contract notes, daily margin statement and quarterly statements is applicable with immediate effect.

I/We agree that any change in my/our e-mail ID will be communicated to you through a physical letter.

I/We am also aware that copies of the contract notes are also available on the website <http://www.easternfin.com> for which I/we will be provided the user ID and password. I/We also agree that non-receipt of bounce mail notification by you shall amount to delivery at my/our email account. I/We also 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 not limited to failure of email services, 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 to me/us and such dispatch shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever. In case of non-receipt of mails the same shall be intimated to EFL immediately in writing.

Thanking you,

Yours truly,



Signature of the Client

Email Id _____

Client Code _____

VOLUNTARY

DECLARATION FOR MOBILE NUMBER

To
Eastern Financiers Ltd.
"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Date : _____

Dear Sir,

I, _____ do hereby declare that my Mobile Number is _____. Further, I authorize EFL that the same may be used for giving me any information/alert/sms/call.

Or

We, _____ do hereby declare that Mr. _____ having mobile number _____ is authorized on our behalf to receive information/alert/sms/call on our behalf.

I/We undertake to EFL and confirm to use my/our own judgement in taking a call and execute trade in the identified securities according to my/our financial strength/capabilities and shall not hold EFL responsible for any loss suffered by me/us on account of executing or omitting to execute any trades in pursuance of the SMS alerts and/or investment advises sent by EFL. I/We further declare that the above mentioned statement is true and correct.

Thanking you,

Yours truly,



Signature of the Client

ENROLMENT OF AADHAAR NO. WITH DEMAT ACCOUNT & TRADING ACCOUNT

To
Eastern Financiers Ltd.
"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Date : _____

Dear Sir,

I am enclosing a photo copy of Aadhaar Card (self-attested) to get it enrolled and seeded against my Demat Account No. _____ & Trading Account No. _____. I voluntarily give my consent to EASTERN FINANCIERS LTD. to use my Aadhaar details to authenticate from UIDAI and link the Aadhaar Number to all my existing accounts with your Company.

Thanking you,

Yours truly,



Signature of the Client

VOLUNTARY

APPENDIX A - ELECTRONIC CONTRACT NOTE [ECN] - DECLARATION (VOLUNTARY)

To
EASTERN FINANCIERS LTD.
Member : Multi Commodity Exchange of India Ltd.
"Lords", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Dear Sir,

I, _____, a client with **EASTERN FINANCIERS LTD.**, Member of Multi Commodity Exchange of India Ltd. undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is* _____ . This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other language known to me.
- I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same. *(The email id must be written in own handwriting of the client.)

Client Name : _____

Unique Client Code : _____ PAN : _____

Address : _____

Signature of the client :  _____

Date : _____ Place : _____

Verification of the client signature done by :

Name of the designated officer of **EASTERN FINANCIERS LTD.**

For **EASTERN FINANCIERS LTD**


Authorised Signatory Signature

**MY / OUR REQUEST FOR TRADING IN COMMODITY FORWARD CONTRACTS/
COMMODITY DERIVATIVES ON NSE & MCX AS YOUR CLIENT**

To
Eastern Financiers Ltd.
"Lords", Suite No. 102 & 104
7/1, Lord Sinha Road, Kolkata - 700 071

Date : _____

Dear Sir,

I/We, the undersigned, have taken cognizance of NSE & MCX Circular No. MCX/338/2006 and guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by NSE, MCX or SEBI and such position limits will be calculated in accordance with the contents of above stated circulars of NSE and MCX as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/ Trusts in which I or any of above such person is a partner/director/ karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on NSE & MCX through you or through any other member(s) of NSE & MCX to enable you to restrict our position limit as prescribed by the above referred circulars of NSE & MCX as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your clients on NSE & MCX only on the basis of our above assurances and undertaking.

Thanking You,

Yours faithfully,



Signature of Client

REGISTRATION FOR COMMODITY OPTIONS

To
Eastern Financiers Ltd.
"Lords", Suite No. 102 & 104
7/1, Lord Sinha Road, Kolkata - 700 071

Date : _____

Dear Sir,

I/We, Mr. _____ Client Code _____
intend to trade in Commodity options subject to regulatory requirement of the exchange and SEBI from time to time.

I/We further confirm having read and understood the contents of additional Risk Disclosure Documents.

I/We have also been informed that the standard set of documents has been displayed for information on Member's designated website, if any.

We confirm that you have agreed to enter orders in commodity options for me/us as your client on NSE & MCX only on the basis of our above undertaking.

Thanking You,

Yours faithfully,



Signature of Client

VOLUNTARY

GENERAL UNDERTAKINGS

To

EASTERN FINANCIERS LTD.

Member : Multi Commodity Exchange of India Ltd.

"Lords", Suite No. 102 & 104

7/1, Lord Sinha Road

Kolkata - 700 071

Dear Sir,

With reference to my/our registration as your Client for trading in MCX, I/We hereby unconditionally and irrevocably undertake and agree that:

1. EFL may not place my/our order unless required initial margin has been upfront paid to them. I/We will pay additional/maintenance margin as and when required by EFL in respect of positions taken by me/us. Any margin paid will be so reckoned only when in acceptable form (as stipulated by Exchange/SEBI from time to time).
2. Excess Margins deposited towards one exchange may be adjusted, on a running basis, towards margin requirement/debit balance in same / other Exchange where I/We have the client account.
3. EFL shall maintain my/our account on a running account basis to be settled periodically. EFL is also hereby authorised to consider the credit balances in my/our account for the purpose of margins/other obligations due in same/other exchange.
4. Non-fulfillment of either the whole or part of the margin obligations/any other obligation/commitment at any point of time will give EFL the right, without any further notice, to close-out outstanding position, withdraw trading facility, impose penalties, collect appropriate deposits including invoking bank guarantees/ fixed deposit receipts and/or selling out securities deposited towards margins. These measures are exclusive of anything EFL deems fit to take at their discretion to financially safeguard themselves under the circumstances.
5. EFL may pledge securities received from me/ us towards margins to the Commodity Exchange(s) / NCCL /Corporation or their custodian appointed by them for the purpose of margin to facilitate my/ our transaction in the normal course of business. Further, EFL shall release the securities to me/ us on my/ our request only if the same is releasable to me/ us.
6. To accept my/our order placement / modification / cancellation verbally and confirm about the same verbally. Hence, EFL is advised not to send me/us any order confirmation / cancellation / modification / trade confirmation slip, etc.
7. To deliver contract notes/ statement of accounts/ cheques to my /our person /office which will be sufficiently deemed to have been personally delivered to me / us. These may also be sent to me /us by post / courier at my/ our own risk.
8. EFL may charge me/us the cost of holding my/our securities with them as margins.
9. EFL can/may pass on me/us any penalty imposed/loss suffered together with incidental expenses due to my/our violating any of the requirements/stipulations of MCX/SEBI or any other regulatory authority including but not limited to my/our disturbing fair price determination in the market or resorting to unfair trade practices.
10. I/We will be extending all co-operation to EFL in their endeavour towards Anti-Money Laundering. EFL may initiate any enquiry against me/us and/or my/our transactions any time without any legal implication whatsoever against them. I/We understand that information about me/us and my/our transactions may be reported by EFL to FIU/concerned authorities without any intimation to us and have no objection to the same.
11. I/We understand that EFL might be doing proprietary trades and have no objection to the same.
12. EFL and its directors, officers, employees, and agents shall not be responsible or liable for any loss suffered or which may be suffered by me/ us, arising from any delay or failure in the transmission, receipt, execution or confirmation of orders due to any breakdown, interruption or failure of transmission of the Internet, computer network, software, hardware, other computer devices, Internet system and any problem arising from my/our side.
13. EFL and/or its agents will not be liable for losses caused directly or indirectly by government restriction, Exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions beyond its control.
14. I/we undertake to reconcile your Statement of account on receipt with my/our records and will not hold you responsible for differences, if they are not informed to you within reasonable time.
15. EFL may restrict my/our trading as per their risk management and/or due diligence policies or any other reason inspite of my/our having paid full margin. I/We will comply to their requirements then which may include submission of updated documents, undertaking new agreements, etc.
16. I/We shall not hold EFL or any of its employee/official/agent/affiliate responsible or liable for any information, recommendation or advice with respect to any investment/trading decision or transaction, and if so acted upon by me/us, the same shall be at my/our sole risk and cost.
17. Any expenditure incidental to my/our taking or giving of deliveries (of commodities) shall be borne by me /us.

 Signature of Client

DECLARATION / LETTER OF UNDERSTANDING

To
EASTERN FINANCIERS LTD.
"Lords", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Date : _____

Dear Sir,

1. I/We agree not to hold EFL liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion, earthquake, riots, war strikes, failure of systems, failure of internal links, government/regulatory actions or any other contingencies beyond your control.
2. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
3. All fines/penalties and charges levied upon EFL due to my acts/deeds or transactions may be recovered by EFL from my account.
4. Any queries related to my/our contract note shall be brought to the notice of EFL within 24 hours of the receipt of the contract note.
5. I/We hereby authorize EFL not to provide me Order Confirmation/ Modification/ Cancellation slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We hereby request EFL to kindly accept my/our verbal orders/ instructions over phone and execute the same. I/We understand the risk associated with placement of verbal orders and accept the same. In case I wish to withdraw this consent I shall inform EFL in writing and get the same acknowledged by EFL at least one week in advance from the date of withdrawal.
6. I/We will be extending all co-operation to EFL in their endeavour towards Anti Money Laundering. EFL may initiate any enquiry against me/us and/or my/our transactions any time without any legal implication whatsoever against them.
7. I/We understand that information about me/us and my/our transactions may be reported by EFL to FIU/concerned authorities without any intimation to me/us and have no objection to the same.
8. I/We undertake that if I/we fail to deliver any one or more securities to the pool account of EFL in respect of the securities sold by me/us before the pay-in date notified by the Exchange from time to time, such undischarged obligation in relation to delivering any one or more securities shall be deemed to have been closed out at the auction price or close-out price, as may be debited to EFL in respect of the security for the respective settlement, otherwise the close out price on the date of pay-out in respect of the relevant securities, declared by the Exchange. The loss, if any, on account of the close out shall be borne by me/us.
9. I agree to EFL tape-recording the conversation between me and EFL officers in its absolute discretion, whether personally or over the telephone. Such recordings may be relied upon by EFL as and when required and I agree not to challenge the evidentiary value of such recordings.
10. I hereby authorize EFL to debit my account with depository services charges, bank charges on account of dishonor of cheques, stop payment instruction charges, demand draft/ pay order/PGP charges. NEFT/RTGS charges, settlement/ professional charges (for as may be applicable to NRIs), research service/message fee, trading platform charges, application money and processing charges for mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s), money market instruments etc. generally various investment avenues / products, processing fees/charges towards contract note/statement of account etc. and any other such or similar fees / charges as may become applicable from time to time.

Thanking you,

Yours truly,



Signature of the Client

VOLUNTARY



CONSENT LETTER FOR EMAIL AND MOBILE ALERT FACILITIES

To
EASTERN FINANCIERS LTD.
 "Lords", Suite No. 102 & 104
 7/1, Lord Sinha Road
 Kolkata - 700 071

Dated : _____

Sir,

This is with reference to my/our trading account opened with you; I/we request you arrange facility of receiving email and/or mobile alert facility issued by Exchange in compliance with regulation and guidelines issued by concern authorities from time to time.

Email Facility	Service Required - YES <input type="checkbox"/> NO <input type="checkbox"/>
Email ID	
Owned by - Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	
SMS Facility	Service Required - YES <input type="checkbox"/> NO <input type="checkbox"/>
Mobile Number	
Owned by - Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	

* Please specify the Name and PAN detail in case email id and/or Mobile Number is other than that of the client.

In this regards we state the following :

1. This is to further confirm that it will be my/our responsibility that my/our Email ID and/or Mobile Number are active and the relevant Inbox is not full. Further, the trading member will not be held liable for the mails and / or SMS alert not received.
2. I/we undertake that any change in my/our Email ID and/or Mobile Number shall be communicated to you in writing through a physical letter.
3. I/we agree that this authority shall be valid, until it is revoked by me/us at any time by giving a written notice to Eastern Financiers Ltd.



 Signature of Client

VOLUNTARY

FAMILY FLAG DECLARATION OF CLIENTS

Format of Request

[Please tick (✓) wherever applicable]

FIRST HOLDER

DP ID		Client ID	
Name of account holder			
<input type="checkbox"/> Mobile Number			
<input type="checkbox"/> Email ID			

I hereby declare that the aforesaid mobile number or E-mail ID belongs to Me or My family (spouse, dependent children and dependent parents).

Signature of account holder	
Name of account holder	

SECOND HOLDER

DP ID		Client ID	
Name of account holder			
<input type="checkbox"/> Mobile Number			
<input type="checkbox"/> Email ID			


I hereby declare that the aforesaid mobile number or E-mail ID belongs to Me or My family (spouse, dependent children and dependent parents).

Signature of account holder	
Name of account holder	

THIRD HOLDER

DP ID		Client ID	
Name of account holder			
<input type="checkbox"/> Mobile Number			
<input type="checkbox"/> Email ID			

I hereby declare that the aforesaid mobile number or E-mail ID belongs to Me or My family (spouse, dependent children and dependent parents).

Signature of account holder	
Name of account holder	

**VOLUNTARY INFORMATION PROVIDED BY THE CLIENT IN RELATION
TO THE PREVENTION OF MONEY LAUNDERING ACT, 2002**

Name of the Client : _____

If Business / Profession : Nature of business : _____

Industry : _____

Details of my/our Relatives, having account with EASTERN FINANCIERS LTD. :

Name	Relationship	UCC (Client Code)
1.		
2.		

Details of the Corporate / Partnership Firm / Trust etc. where I/We am/are affiliated

Name	Entity Type	Nature of Business	Relationship	UCC (Client Code)
1.				
2.				

I/We hereby submit and agree to submit every year any one of the following documents to EASTERN FINANCIERS LTD., before the due date as prescribed by EASTERN FINANCIERS LTD. :

1. Profit and Loss Account & Capital Account
2. Balance Sheet
3. Self attested copy of Income Tax Return (If return not available, I/we will furnish Form 16)
4. Copy of Form 16 in case of Salary Income
5. Any other document providing financial details of the client

I/We hereby declare that I/We do not fall under Clients of Special Category as defined in Prevention of Money Laundering Act 2002, **OR**

I/We hereby declare that I/We fall under Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 (choose the relevant category as under)

Non Resident Client, High Net-worth Clients, Trust, Charities, Non- Governmental Organisations (NGOs) and organizations receiving donations, Companies having close family shareholdings or beneficial ownership, Politically Exposed Persons, Companies Offering foreign exchange offerings, Clients in high risk countries where existence/ effectiveness of money laundering controls is suspect, Non face to face clients, Clients with dubious reputation as per public information available etc.

I/We confirm that I/We will immediately inform EASTERN FINANCIERS LTD. in case I/We am/are convicted under any grounds or any action is taken against me/us by any authority(ies).

I/We intend to invest in the stock market with : Own Funds Borrowed Funds

(If Borrowed Funds, then please specify below Sources of funds :)

Sources of Borrowed Funds (if any)	Amount (₹)

(Certificated / Opinion Report from the Banker / Financial Institution confirming that there has been no default in the client's account is to be attached, which I/We agree to attach herewith.)

I/We hereby declare that I/We am/are beneficial owner of the Trading/ On-line account opened with EASTERN FINANCIERS LTD., and that I/We am/are investing my/our own funds with EASTERN FINANCIERS LTD.



Client Signature

Client's Name

FOR OFFICE USE ONLY

Risk categorisation of client as per PMLA, 2002 : High Risk Medium Risk Low Risk

VOLUNTARY

ANTI-MONEY LAUNDERING (AML) - COMBATING FINANCING OF TERRORISM (CFT) WHAT YOU MUST KNOW - FAQs

Help us in preventing money laundering / terrorist financing.

Your assistance really matters us.

Ever wondered why the Broker is asking you certain personal information which has hitherto never been called for? Such information can include documents evidencing source of funds/ income tax returns/ bank records etc. By providing this information to the Broker, at the time of account opening and subsequently as and when required, you are actually assisting the efforts in prevention of money laundering / terrorist financing. Here are the details, presented in the form of frequently asked questions (FAQs) to let you know how.

What is Money Laundering?

Money Laundering is the process by which criminals attempt to hide and disguise the true origin and ownership of the proceeds of their criminal activities, thereby avoiding prosecution, conviction and confiscation of the criminal funds. The term Money Laundering is also used when the funds are used for terrorist financing, though the origin of the funds may be legitimate.

Money-laundering has acquired a global character that not only threatens security, but also compromises the stability, transparency, and efficiency of financial systems. Money-laundering techniques are becoming more sophisticated and complex with each passing day.

The objective of AML & CFT Program is to prevent financial intermediaries from being used as a tool for the purpose of Money laundering & terrorist financing and to preserve the integrity of the Financial system.

In response to mounting concern over money laundering, the Financial Action Task Force on money laundering (FATF) was established by the G-7 Summit in Paris in 1989 to develop a co-ordinated international response. One of the first tasks of the FATF was to develop Recommendations, 40 in all, which set out the measures national governments should take to implement effective anti-money laundering programmes.

How much money is laundered per year?

The IMF has stated in 1996 that the aggregate size of money laundering in the world could be somewhere between two and five percent of the world's gross domestic product.

Using 1996 statistics, these percentages would indicate that money laundering ranged between USD 590 billion and USD 1.5 trillion. However it must be said that overall it is absolutely impossible to produce a reliable estimate of the amount of money laundered and therefore the FATF does not publish any figures in this regard.

How is money laundered?

In the initial or placement stage of money laundering, the launderer introduces his illegal profits into the financial system. This might be done by breaking up large amounts of cash into less conspicuous smaller sums that are then deposited directly into a bank account, or by purchasing a series of monetary instruments (cheques, money orders, etc.) that are then collected and deposited into accounts at another location.

After the funds have entered the financial system, the second - or layering - stage takes place. In this phase, the launderer engages in a series of conversions or movements of the funds to distance them from their source. The funds might be channelled through the purchase and sales of investment instruments, or the launderer might simply wire the funds through a series of accounts at various banks across the globe. This use of widely scattered accounts for laundering is especially prevalent in those jurisdictions that do not co-operate in anti-money laundering investigations. In some instances, the launderer might disguise the transfers as payments for goods or services, thus giving them a legitimate appearance.

Having successfully processed his criminal profits through the first two phases the launderer then moves them to the third stage - integration in which the funds re-enter the legitimate economy. The launderer might choose to invest the funds into real estate, luxury assets, or business ventures.

Where does money laundering occur?

Money laundering can occur practically anywhere in the world. Generally, money launderers tend to seek out countries or sectors in which there is a low risk of detection due to weak or ineffective anti-money laundering programmes.

How does money laundering affect business, economic development & society at large?

Money laundering damages the integrity of the financial institution, entire society and undermines democracy and the rule of the law as it rewards corruption and crime.

There is a damping effect on foreign direct investment when a country's commercial and financial sectors are perceived to be subject to the control and influence of organised crime. Fighting money laundering and terrorist financing is therefore a part of creating a business friendly environment which is a precondition for lasting economic development.

The possible social and political costs of money laundering, if left unchecked or dealt with ineffectively, are serious. Organised crime can infiltrate financial institutions, acquire control of large sectors of the economy through investment, or offer bribes to public officials and indeed governments.

The economic and political influence of criminal organisations can weaken the social fabric, collective ethical standards, and ultimately the democratic institutions of society.

How does fighting money laundering help fight crime?

Targeting the money laundering aspect of criminal activity and depriving the criminal of his ill-gotten gains means hitting him where he is vulnerable. Without a usable profit, the criminal activity will not continue.

What should individual governments be doing about it?

A great deal can be done to fight money laundering, and, indeed, many governments have already established comprehensive anti-money laundering regimes. These regimes aim to increase awareness of the phenomenon - both within the government and the private business sector and then to provide the necessary legal or regulatory tools to the authorities charged with combating the problem.

Some of these tools include making the act of money laundering a crime; giving investigative agencies the authority to trace, seize and ultimately confiscate criminally derived assets; and building the necessary framework for permitting the agencies involved to exchange information among themselves and with counterparts in other countries.

What are Local regulations on AML/CFT?

- a) Prevention of Money Laundering Act, 2002 (PMLA) came in to force with effect from July 01.2005 read with the prevention of Money Laundering (Amendment) Act, 2009.
- b) SEBI and FMC Guidelines
- c) Exchanges have also issued Guidelines on PMLA to be followed by all registered intermediary.

How is Money Laundering defined under PMLA 2002?

Section 3 of the Prevention of Money Laundering Act (PMLA) 2002 defines the "Offence of Money Laundering as:

"Whosoever directly or indirectly attempts to indulge or knowingly assists or knowingly is party or is actually involved in any process or activity connected with the proceeds of crime and projecting it as untainted property shall be guilty of the offence of money laundering."

"**Proceeds of crime**" has been defined in Section 2 of the PMLA as the property derived or obtained directly or indirectly by any person, as a result of criminal activity relating to a scheduled offence or the value of such property.

"**Scheduled Offences**", as per section 2 of PMLA, are specified in two parts of the schedule to PMLA. The value involved in offences specified in Part B should be Rs.30 lakhs or more.

What are the obligations of Market Intermediary under PMLA 2002 ?

Section 12 of PML Act 2002, places certain obligations on every banking company, financial institution and market intermediary, which include:

- a) Maintaining a record of prescribed transactions
- b) Furnishing information of prescribed transactions to the specified authority (Financial Intelligence Unit-India (FIU-IND)).
- c) Verifying and maintaining records of the identity of its clients.
- d) Preserving records in respect of ab, c above, for a period of 10 years from the date of cessation of transactions with the clients.

VOLUNTARY FREEZING / BLOCKING OF ACCESS ONLINE TRADING ACCOUNT

POLICY-Version 1.0

1. Introduction

This policy (v 1.0) has been prepared as per the SEBI Circular no. SEBI/HO/MIRSD/POD- 1/P/CIR/2024/4 dated January 12, 2024, BSE Circular no. 20240112-30 dated January 16, 2024, NSE Circular no. NSE/INSP/60277 dated January 16, 2024 and MCX Circular no. MCX/INSP/036/2024 dated January 16, 2024 on the subject "Ease of Doing Investments by Investors - Facility of voluntary freezing/ blocking of Trading Accounts by Clients". Accordingly, this document has been derived from the framework presented by the exchange in response to the aforementioned circulars, via the Exchange Circular no. : BSE20240408-12 dated April 08, 2024, NSE NSE/INSP/61529 dated April 08, 2024 and MCXMCX/INSP/218/2024 dated April 09, 2024 on the subject: "Framework for Trading Members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients". This document is a handbook for the clientele of Eastern Financiers Limited (hereinafter referred to as EF), outlining the process and mode(s) through which they can request to freeze / block & unfreeze/unblock their trading account.

2. Purpose

The procedures outlined herein are per regulatory requirements in the aforementioned circulars. All clients are requested to note that the forthcoming guidelines are issued to facilitate the freezing/blocking of their respective online trading accounts upon explicit requests from the client's end in case they notice any suspicious activity on their trading accounts.

3. Procedure to Freeze/Block the Online Trading Account

3.1 Timelines

In line with regulatory requirements, upon the explicit request from a client to block the online access to their trading account through any of the modes mentioned in the forth coming sections, all efforts will be taken by EF Personnel to fulfill the request as per the below timelines:

Scenario	Timelines for issuing acknowledgement as well as freezing / blocking of the online access of the trading account.
Request received during the trading hours and Within 15 minutes before the start of trading	within 15 minutes
Request received after the trading hours and 15 minutes before the start of trading	Before the start of next trading session

3.2 Mediums

Clients can report suspicious activities on their trading account via the following mediums:

- By mailing on the dedicated email ID: stoptrade@efmail.com
- By calling the dedicated number: +91-9147394959 (between 8:30 am and 5:00pm)

3.3 Verification (Mandatory)

- Requests raised on calls

Clients should call the dedicated number, +91-9147394959, from their registered phone numbers (number registered with EF).

Please note that stringent identity verification will be conducted before considering any client's block requests. Hence, all clients are requested to keep all basic Personal Identification Information (PII) handy to facilitate the smooth and fast processing of requests. It is also recommended that clients keep their UCC code memorized/handy, as this would serve as additional two-factor authentication.

- Requests raised via dedicated Email

Clients are recommended to mail from their registered email address (email ID registered with EF). Clients are requested to give relevant and detailed information regarding the suspicious activity they have noticed on their trading accounts.

3.4 Initial Steps

EF personnel would ask a series of questions (basic checks) to understand the gravity of any request received. These queries would relate to the existing positions in the client's account, inadvertent sharing of login credentials, OTPs, orders, devices used for trading, etc. EF authorized personnel shall communicate to the client the details of the client's existing open positions. Subsequently, the personnel will solicit input from the client regarding their preferred course of action for these positions. Upon the client's directive and subject to successful authentication of the client, EF will proceed to close the client's open positions and cancel all open orders. In such instances, applicable call and trade charges will be imposed.

Clients are requested to make an informed decision based on these suggestions and communicate their decisions clearly and unequivocally so that the EF personnel can proceed with the blocking/freezing of their trading accounts.

Following the basic checks, the client's request and all response, Clients would receive all further updates on their requests on the registered Email id.

4. Procedure to Unfreeze/Unblock the Online Trading Account

- Clients can unfreeze/unblock their online trading accounts by raising a request via any of the modes prescribed under section 3.2.
- Please note that the client must mandatorily complete the Re-KYC procedure successfully to have their trading account unfrozen/unblocked.
- Following the successful completion of the Re-KYC procedure and after carrying out any other necessary due diligence, the client shall be intimated via mail regarding the status of their request.

5. Clarifications

It is clarified that:

- a. Freezing/blocking is only for online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of EF.
- b. The request for freezing/blocking does not constitute a request for marking the client's Unique Client Code (UCC) as inactive in the Exchange records.



Client Signature

CLIENT COMMODITYWISE CATEGORISATION (MANDATORY-ONLY FOR COMMODITY CLIENTS)

EASTERN FINANCIERS LTD. "Lords", Suite No. 102 & 104, 7/1 Lord Sinha Road, Kolkata 700 071, I/We do hereby declare that my/our Commoditywise categorisation as a participant is as follows:

SR. NO.	SYMBOL DESCRIPTION	*FARMER FPOS	* VALUE CHAIN PARTICIPANTS (VCPS)	*DOMESTIC FINANCIAL INSTITUTIONAL INVESTORS	*FOREIGN PARTICIPANTS	*OTHERS
1.	ALUMINIUM					
2.	BARLEY					
3.	BRASS					
4.	CARDAMOM					
5.	CASTOR SEED					
6.	CHANA					
7.	COPPER					
8.	COPRA					
9.	CORIANDER					
10.	COTTON					
11.	COTTONSEED OIL CAKE					
12.	CRUDE OIL					
13.	CRUDE PALM OIL					
14.	GOLD					
15.	DIAMOND					
16.	GUARGUM					
17.	GUARSEED					
18.	ISABGUL					
19.	JEERA					
20.	JUTE					
21.	KAPAS					
22.	LEAD					
23.	MAIZE KHARIF					
24.	MAIZE RABI					
25.	MENTHA OIL					
26.	MOONG					
27.	NATURAL GAS					
28.	NICKEL					
29.	PADDY BASMATI					
30.	PEPPER					
31.	RAPEMUSTARD SEEDS					
32.	RBDPMOLEIN					
33.	RUBBER					
34.	SACK					
35.	SILVER					
36.	SOYABEAN					
37.	SOYA OIL					
38.	STEEL					
39.	SUGAR					
40.	TURMERIC					
41.	WHEAT					

I also give my consent to upload the information to the respective commodity exchanges.

* 1) Farmers/FPOs: It includes participants such as farmers, farmers' co-operatives, Farmers Producers Organisations (FPOs). 2) Value Chain Participants (VCPs): It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs. 3) Domestic Financial Institutional Investors: It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives. 4) Foreign Participants: It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets. 5) Others: All other participants which cannot be classified in the above categories.



Signature of Client

**ACKNOWLEDGEMENT FOR THE RECEIPT OF
DOCUMENTS FOR DEMAT & TRADING ACCOUNT**

From :

Dated : _____

To
EASTERN FINANCIERS LTD.
"Lords", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Dear Sir,

This is to acknowledge and declare that

- I/We have received a photocopy of the KYC (full booklet), duly executed with you, to my/our satisfaction including my / our Unique Client Code (Trading Code).
- I/We have (Physically Electronically) received, read and understood the Rights & Obligations, Risk Disclosure Documents, Guidance Note.
- I/We have received, read and understood the Policies and Procedures.
- I/We have received a photocopy of Power of Attorney (POA) / DDPI.
- The email id noted with you (for ECN and other purposes) is correct.
- I/We have received, read and understood voluntary Freezing / Blocking of online access to the trading account.

Thanking you,

Yours truly,



Signature of the Client

Client Code _____

Client ID _____



EASTERN FINANCIERS LTD

Trusted Investment Partner Since 1967

▶ **EASTERN FINANCIERS LIMITED CIN : U65999WB1986PLC041392**

Registered Office Address :

7/1, Lord Sinha Road, "Lords", Suite No. 102 &104, Kolkata - 700 071
Phone : (033) 4000-6800

Email ID : ig@eflmail.com

Whole Time Directors' Name, Phone No. & Email ID :

Mr. Ajoy Agarwal, (033) 4000-6802, ajayagarwal@easternfin.com
Mr. Abhishek Agarwal, (033) 4010-4503, abhishek@easternfin.com
Mr. Ambrish Agarwal, (033) 4000-6801, ambrish@easternfin.com

Compliance Officer's Name, Phone No. & Email ID :

Ms. Reena Khetan, 4000-6809, reena.k@easternfin.com

SINGLE SEBI REGN. NO. INZ000193733 DT.13.08.2018 (For NSE, BSE & MCX)
SEBI REGN. NO. FOR DP : IN-DP-634-2021

For any grievance/dispute please contact EFL at the above address or email us at the Investor Grievance Email ID : ig@eflmail.com or call us at +91 33 40006800
In case not satisfied with the response, please contact the concerned exchange(s)

NSE ignse@nse.co.in 022 – 2659 8190 **BSE** ig@bseindia.co.in 022 – 2272 1233
MCX grievance@mcxindia.com 022 – 6731 8888
SEBI investorcomplaints@sebi.gov.in 022 – 2644 9000
NSDL relations@nsdl.co.in 022 – 2499 4200

**Clearing Member for NSE-CDS, NSE-COMMODITY & MCX
SMC GLOBAL SECURITIES LTD.**

Registered & Correspondence Office address :
11/6B, Shanti Chambers, Main Pusa Road, New Delhi - 110 005
Phone : (011) 2575-4391, 3011-1000 / 1333, Fax : (011) 2575-4365
E.mail : smc@smcindiaonline.com, Website : www.smctradeonline.com
SEBI Registration No. INZ000199438 dt.12.09.2018

DISCLOSURE INFORMATION OF PROPRIETARY TRADING

To increase transparency in the dealings between us as a Trading Member and you as a Client we do hereby disclose that apart from Client based trading. We also do Proprietary Base Trading (Self Account) in ALL SEGMENTS of ALL EXCHANGES in which we are members.
You are requested to please take a note of the same.



**EASTERN
FINANCIERS LTD**

Trusted Investment Partner Since 1967

Registered Office

"Lords", 7/1, Lord Sinha Road, Suite Nos. : 102 & 104, 210
Kolkata - 700 071, Ph : (033) 4000 6800

E-mail : ig@eflmail.com • **Website** : www.easternfin.com • **CIN** : U65999WB1986PLC041392