



# CLIENT REGISTRATION FORM

**Account Opening Form | Non-Individual**

Broking / Depository & Distribution

**360 ONE Distribution Services Limited**

## KYC Section

This Section has to be filled only if clients are not KRA / CKYC compliant.

OR

Any modification has to be done in Existing KRA / CKYC details.

## Instructions/Guidelines for filling KYC Application Form

### A. General Instructions

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. KYC number of applicant is mandatory for update/change of KYC details.
3. For particular section update, please tick (P) in the box available before the section number and strike off the sections not required to be updated.
4. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per KRA.
5. If any proof of identity or address is in a foreign language, then translation into English is required.
6. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
7. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
8. Sole proprietor must make the application in his individual name & capacity.
9. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/and overseas address proof is mandatory.
10. In case of Merchant Navy NRI's, Mariners declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
11. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
12. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.

### B. Clarification /Guidelines on filling 'Identity Details' section

1. Name: Please state the name with Prefix (Mr./Mrs./Ms./Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

### C. Clarification/Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

1. Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction, However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

### D. Clarification / Guidelines on filling 'Proof of Identity [Pol]' section. if PAN Card copy is not enclosed/For PAN exempt Investors

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if 'Z— Others (any document notified by the central government)' is ticked.
3. Others includes — Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.
4. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
5. For FPI, Power of Attorney given by FPI to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken.
6. The proof of address in the name of the spouse may be accepted.
7. POA for Resident Individual Constituent opting for only Equity Segment under Saral KYC Form would be obtained vide SEBI CIR/MIRSD/1/2015 dated March 04, 2015.

### E. Clarification / Guidelines on filling 'Proof of Address [PoA] section

1. PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3. Others includes — Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.
4. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
5. For FPI, Power of Attorney given by FPI to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken.
6. The proof of address in the name of the spouse may be accepted.
7. POA for Resident Individual Constituent opting for only Equity Segment under Saral KYC Form would be obtained vide SEBI CIR/MIRSD/1/2015 dated March 04, 2015.

### F. Clarification / Guidelines on filling 'Contact details' section

1. Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
2. Do not add 'O' in the beginning of Mobile number.

### G. Clarification / Guidelines on filling 'Related Person details - Proof of Identity [Pol] of Related Person' section

1. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

### H. For receiving statement of account in electronic Form:

1. Client must ensure the confidentiality of the password of the Email account/Mobile.
2. Client must promptly inform 360 ONE Distribution Services Ltd. (360 ONE DSL) if the email address has changed.
3. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, 360 ONE Distribution Services Ltd. may also terminate this facility by giving 7 days prior notice.

## PART - I - KYC AND ACCOUNT OPENING FORM - FOR NON - INDIVIDUAL

## 1. IDENTITY DETAILS

PAN (MANDATORY) \_\_\_\_\_

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

Date of Incorporation \_\_\_\_\_ Place of incorporation \_\_\_\_\_

Registration No. (e.g. CIN) \_\_\_\_\_ Date of Commencement of Business \_\_\_\_\_

Status \_\_\_\_\_  
Please tick (any one) ☐ Private Limited Company ☐ Public Limited Company ☐ Body Corporate ☐ Partnership ☐ Trust/Charities/NGO Bank  
☐ FPI \_\_\_\_\_ ☐ HUF ☐ AOP ☐ BOI ☐ Government Body ☐ Non-Government Organization  
☐ Defense Establishment ☐ Society ☐ LLP ☐ Other \_\_\_\_\_

Nature of Business ☐ Manufacturer ☐ Services ☐ Trading ☐ Consultancy ☐ Others \_\_\_\_\_Client Category ☐ VCP ☐ Exporter ☐ Hedger ☐ Importer ☐ Financial Participant ☐ TraderCommodities ☐ Arbitrager ☐ Commercial Participant ☐ Non Commercial ParticipantPlease Tick, if applicable ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (RPEP) ☐ NAWhether you wish to avail the internet trading facility ☐ Yes ☐ No

## 2. CORRESPONDENCE ADDRESS

Line 1 \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_ City /Town/Village \_\_\_\_\_

District \_\_\_\_\_ Zip/Post Code \_\_\_\_\_ State/UT Code  as per Indian Motor Vehicle Act, 1988State/UT \_\_\_\_\_ Country \_\_\_\_\_ Country Code  as per ISO 3166

## 3. REGISTERED ADDRESS (If different from above)

Line 1 \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_ City /Town/Village \_\_\_\_\_

District \_\_\_\_\_ Zip/Post Code \_\_\_\_\_ State/UT Code  as per Indian Motor Vehicle Act, 1988State/UT \_\_\_\_\_ Country \_\_\_\_\_ Country Code  as per ISO 3166

Proof of address to be provided by Applicant. (Please submit self certified copy of ANY ONE of the following valid documents)

☐ Telephone Bill ☐ Land Line ☐ Latest Electricity Bill ☐ Latest Bank A/c Statement/Passbook ☐ Registered Lease/Sale Agreement of Office Premises☐ Any other proof of address document (as listed in additional documents page) \_\_\_\_\_ (Not more than 3 Months old.)

Document No. \_\_\_\_\_ Date of Issue \_\_\_\_\_ Place of Issue \_\_\_\_\_

Issuing Authority \_\_\_\_\_ Validity/Expiry date of proof of address submitted. \_\_\_\_\_

## 4. TYPE OF ACCOUNT (FOR DEMAT)

☐ Body Corporate ☐ FI /FPI ☐ Mutual Fund ☐ Trust ☐ HUF ☐ AOP ☐ Bank ☐ CM ☐ Others (Please specify) \_\_\_\_\_

## 5. GST Registered (Goods and Services Tax)

☐ Yes ☐ No (Note : Proof of GST registration is required if selected YES)

GSTIN No (if GST Registered) \_\_\_\_\_ The Goods and Service Tax Number (GSTN) is correct and 360 ONE DSL will not be responsible for verification of GSTN. If the GSTN not provided, it will be considered as unregistered and will be unable to claim the input tax credit on the fees and charges paid.

## 6. CONTACT DETAILS

Tel (Off) \_\_\_\_\_ Tel (Res) \_\_\_\_\_ Fax No. \_\_\_\_\_

Mobile \_\_\_\_\_ Email \_\_\_\_\_

**7. GROSS ANNUAL INCOME**

- a) Income range per annum ☐ Below Rs.1,00,000 ☐ Rs.1,00,001 to Rs.5,00,000 ☐ Rs.5,00,001 to Rs.10,00,000  
☐ Rs.10,00,001 to Rs.25,00,000 ☐ Rs.25,00,001 to Rs.1,00,00,000 ☐ More than Rs.1,00,00,000
- b) Net worth Rs. (Cr.) (Mandatory) \_\_\_\_\_ As on \_\_\_\_\_ (Net worth should not be older than one year)

**8. OTHER DETAILS** (Please see guidelines)

1. Name, PAN, DIN/UID, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors (Please use the Annexure to fill in the details)
2. a) DIN of whole time directors: (Please use the Annexure to fill in the details)  
b) Aadhaar number of Promoters/Partners/Karta: (Please use the Annexure to fill in the details)

**APPLICANT DECLARATION**

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes there in, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/ directions issued by any governmental or statutory authority from time to time. I/We hereby authorise you to kindly update/modify KRA/CKYC basis the documents submitted and also to update the account details basis any changes done on KRA/CKYC. The purpose of collection/usage of Aadhaar number including demographic information is to comply with applicable laws/rules/regulations and provision of the said data is mandatory as per applicable laws/rules/regulations.

I/We hereby provide my/our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (iii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA. I/We hereby provide my/our consent for sharing/disclosing of the Aadhaar number(s) including demographic information with SEBI registered intermediaries for the purpose of updating all my/our accounts with my/our PAN. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

I/We hereby also give my/our consent to download my/our KYC Records from the Central KYC Registry (CKYCR) & KYC Registration agency (KRA), only for the purpose of verification of my/our identity and address from the database of CKYC & KRA Registry. I/We understand that my/our KYC record includes my/our KYC records /Personal information such as my/our name, address, date of birth, PAN number etc. Further kindly treat this as a one-time consent from me/us for downloading my/our KYC records from the Central KYC Registry (CKYCR)/KYC Registration agency (KRA) as & when the same would be required for any investment purposes or for any modifications to be done in my/our accounts.

Signature / Thumb Impression of Authorised Signatory

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

Date : \_\_\_\_\_

Place : \_\_\_\_\_

**Details OF Promoters/Partners/Karta/Trustees/Whole Time Director and Authorised Signatory  
Forming a part of Know Your Client (KYC) KYC Application Form Non-Individual - ANNEXURE**

Name of Applicant _____					PAN of the Applicant _____		
Sr. No.	Name	Relationship with applicant (promoters, beneficiary whole-time directors, etc.)	PAN	Residential. / Registered. address	DIN of whole-time directors / Aadhaar number	Whether politically exposed	Photograph
1					DIN	<input type="checkbox"/> (PEP)	Please affix a recent passport size photograph
					Aadhaar	<input type="checkbox"/> (RPEP)	
						<input type="checkbox"/> NA	
2					DIN	<input type="checkbox"/> (PEP)	Please affix a recent passport size photograph
					Aadhaar	<input type="checkbox"/> (RPEP)	
						<input type="checkbox"/> NA	
3					DIN	<input type="checkbox"/> (PEP)	Please affix a recent passport size photograph
					Aadhaar	<input type="checkbox"/> (RPEP)	
						<input type="checkbox"/> NA	
4					DIN	<input type="checkbox"/> (PEP)	Please affix a recent passport size photograph
					Aadhaar	<input type="checkbox"/> (RPEP)	
						<input type="checkbox"/> NA	
5					DIN	<input type="checkbox"/> (PEP)	Please affix a recent passport size photograph
					Aadhaar	<input type="checkbox"/> (RPEP)	
						<input type="checkbox"/> NA	
I/We hereby provide my /our consent in accordance with Aadhaar (Targeted Delivery of Financial and Other Subsidies, Benefits and Services) Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (iii) updating my/our Aadhaar number(s) in accordance with the Aadhaar (Targeted Delivery of Financial and Other Subsidies, Benefits and Services) Act, 2016 (and regulations made thereunder) and PMLA.						Signature	



# CLIENT REGISTRATION FORM

**Account Opening Form | Non-Individual**  
Broking / Depository & Distribution

**360 ONE Distribution Services Limited**



# Account Opening Form – Additional Details

## Broking / Depository & Distribution

### 360 ONE Distribution Services Limited

REGD. OFF. : 360 ONE Centre, Kamala City, Senapati Bapat Marg, Lower Parel Mumbai 400 013, India.  
 Designated Director : Anu Jain  
 Email : brokingcompliance@360.one  
 TEL. : (+91-22) 4876 5600

Compliance Officer : Jatin Sanghani  
 Email : 360.compliance@360.one  
 CORP. OFF. : 8th Floor, 360 ONE Centre, Kamala City, Senapati Bapat Marg,  
 Lower Parel (W), Mumbai 400 013, India.  
 TEL. : (+91-22) 4876 5225  
 EMAIL : clientservicing@360.one  
 Investor Grievance : IG@360.one  
 WEBSITE : www.360.one

#### 360 ONE Distribution Services Ltd.

SEBI Reg. No. INZ000296339

Member of the National Stock Exchange of India Limited ("NSE") and  
 BSE Limited ("BSE") on the Cash, F&O, CDS, WDM, SLBS

Member Code NSE: 90070 BSE: 6633  
 Member of Multi Commodity Exchange of India Ltd (MCX) &  
 National Commodity & Derivatives Exchange Limited (NCDEX)  
 Member Code MCX: 55860 NCDEX: F01239  
 Depository - NSDL & CDSL - SEBI Reg. No. IN-DP-573-2021. CIN: U66120MH1995PLC228043  
 Research Analyst: SEBI Regn. No. INH000011431

PLEASE READ THIS DOCUMENT CAREFULLY BEFORE AGREEING TO ITS CONTENTS AND  
 ENSURE ALL THE DETAILS PROVIDED ARE CORRECT

Login ID <input type="text"/>	CRN <input type="text"/>
Depository Service <input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL
CDSL - Client ID <input type="text"/>	NSDL - Client ID <input type="text"/>

For Account Opening Team Purpose

Process	Employee Code & Name	Process	Employee Code & Name
Pre-Audit Maker		Date Entry Maker	
Pre-Audit Checker		Date Entry Checker	



SR. NO.	NAME OF THE DOCUMENT	BRIEF SIGNIFICANCE OF THE DOCUMENT
<b>SECTION-A - MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI AND EXCHANGES</b>		
1.	Risk Profiler	Risk Profiling of the client
2.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading and demat account.
3.	Declaration / Consent	Client Declaration / Consent
4.	Rights & Obligations of Stock Brokers, Sub-Broker & Clients	Document stating the Rights & Obligations of stock broker / trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology-based trading).
5.	Rights & Obligations of Beneficial Owner & Depository Participant	Rights and Obligations of Beneficial Owner and Depository Participant asprescribed by SEBI and Depositories.
6.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.
7.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.
8.	Policies and Procedures	Documents describing significant policies and procedures of 360 ONE Distribution Services Limited (360 ONE DSL) related to Trading Account of the client.
<b>SECTION-B - VOLUNTARY DOCUMENTS - AS PROVIDED BY STOCK BROKER/ DEPOSITORY PARTICIPANT / DISTRIBUTOR</b>		
1.	Terms & Conditions FATCA/CRS	Terms & Conditions Instruction / Notes for FATCA Declaration
2.	Authorisation Letter/Standing Instructions	A. Running Account Authorisation B. Authorisation for Receipt of Contract Notes and Other documents in Digital Mode C. Authorisation for Online Trading Software Password.
3.	Terms & Conditions for Distribution of Securities	Terms & Conditions for Distribution of Securities
4.	Acknowledgement	Client Acknowledgement Copy
<b>ADDITIONAL DOCUMENTS - VOLUNTARY</b>		
	Power of Attorney & DDPI	Voluntary and Limited purpose POA for operational requirements.

Included in Client Copy

For any grievance / dispute please contact stock broker 360 ONE Distribution Services Limited at the above address or email id- IG@360.one and Phone no. 91-22 48765600. In case not satisfied with the response, please contact the concerned exchange(s) at backoffice@nse.co.in, Phone No. 1800220051/bsehelp@bseindia.com, Phone No. 022 61363100/ grievance@mcxindia.com, Phone No. 022 6731 8888 / askus@ncdex.com, Phone No. 022 6640 6613.

You can also lodge your grievances with SEBI at <https://scores.gov.in> for any queries, feedback or assistance, please contact SEBI on Toll-free helpline at 1800 22 7575 / 1800 266 7575.

**NOTES**

1. Copy of cancelled cheque leaf/ pass book/ bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
2. Demat master or recent holding statement issued by DP bearing name of the client.

Please note that the mode of payment should be only by way of account payee crossed cheques/Demand draft in favour of "360 ONE Distribution Services Ltd. - (Client's Login id)". No cash receipts payments will be entertained for any transactions made by the client. 360 ONE DSL will not be responsible for any kind of claims raised by the clients regarding payment made in cash. Mobile number is compulsory for opening of Demat/ Trading account with 360 ONE DSL.

**OTHER INFORMATION ABOUT 360 ONE DSL****LIST OF DESIGNATED BANKS**

1. HDFC BANK
2. ICICI BANK

**LIST OF DESIGNATED DEPOSITORY PARTICIPANTS**

1. 360 ONE Distribution Services Ltd.

NOTE: 360 ONE DSL reserves the right to make any modifications in the above lists.

**DISCLOSURE OF PROPRIETARY TRADING BY BROKER TO CLIENT:**

We refer to circular no. SEBI / MRD / SE / Cir.42 / 2003 dated 19/11/2003 issued by Securities and Exchange Board of India in connection with the above and in terms of the said circular we disclose that we have undertaken proprietary trading, arbitrage as well as investment business on our account in addition to Client based business

I have applied for availing below services
<input type="checkbox"/> Distribution Services offered by 360 ONE Distribution Services Limited
<input type="checkbox"/> Broking / Demat Services offered by 360 ONE Distribution Services Limited

### NON-INDIVIDUAL

<b>Name of Non-Individual</b>		PAN	Mandatory
<b>Non-Individual Occupation</b>			
Nature of Business	<input type="checkbox"/> Manufacturer <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____		
Please Tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> NA		
<b>GROSS ANNUAL INCOME</b>			
Income range per annum	<input type="checkbox"/> Below Rs.1,00,000 <input type="checkbox"/> Rs.1,00,001 to Rs.5,00,000 <input type="checkbox"/> Rs.5,00,001 to Rs.10,00,000 <input type="checkbox"/> Rs.10,00,001 to Rs.25,00,000 <input type="checkbox"/> Rs.25,00,001 to Rs.1,00,00,000 <input type="checkbox"/> More than Rs.1,00,00,000 Net worth Rs. (Cr.) (Mandatory) _____ As on _____ (Net worth should not be older than one year)		
We are KRA/CKYC compliant <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Please update our details as per existing KRA records in our new account opening			
<input type="checkbox"/> Please update our details as per existing CKYC records in our new account opening			

### GST REGISTERED (GOODS AND SERVICES TAX)    ☐ Yes    ☐ No

GSTIN No (if GST Registered) \_\_\_\_\_

**Note:** Proof of GST registration is required if selected YES The Goods and Services Tax Number (GSTN) is correct and 360 ONE DSL will not be responsible for verification of GSTN. If the GSTN not provided, it will be considered as unregistered and will be unable to claim the input tax credit on the fees and charges paid.

### CONTACT DETAILS

<b>NAME OF CONTACT PERSON</b>		
	<b>Mobile</b>	<b>Email</b>
One time call verification		
Day end transaction confirmation		
Transaction Authorisation		

I/We declare these details to be correct as per my/our signature affixed on page 21 of this form.

**ADDITIONAL / MANDATORY DETAILS**

First Signatory Name		PAN	
Second Signatory Name		PAN	
Third Signatory Name		PAN	

**EXISTING DEPOSITORY ACCOUNT DETAILS**

NSDL		CDSL	
DP Name		DP Name	
DP ID	IN	Beneficiary Account No	

**POA / EXISTING BANK ACCOUNT DETAILS**

Bank Name			
Address			
Bank A/c No		IFSC Code	
MICR Code		Type of A/c	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> Others
PIS Permission Number		Date	

**DEPOSITORY SERVICE**

I/We wish to open Depository Account with				<input type="checkbox"/> CDSL: 12083300	<input type="checkbox"/> NSDL: IN304158	
Name					PAN	

For HUF, Association of persons (AOP), Partnership Firm, Unregistered Trust, etc, although the account is opened in the name of the natural persons, the name and PAN of the HUF, AOP, Partnership Firm, Unregistered Trust etc. should be as mentioned above

I/We wish to open Basic Services Demat Account (BSDA) ☐ Yes    ☐ No

**STANDING INSTRUCTIONS / MODE OF OPERATIONS (FOR DEMAT ACCOUNT)**

a. Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes <input type="checkbox"/> No
b. I/We authorise you to receive credits automatically into my/our account	<input type="checkbox"/> Yes <input type="checkbox"/> No
c. I/We wish to receive dividend/interest directly to my/our bank account given herein through ECS	<input type="checkbox"/> Yes <input type="checkbox"/> No
d. Account Statement Requirement	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly (Default option is monthly)
e. I would like to receive the Annual Report	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in physical)
f. I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (if not marked, default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
g. I/We like to share the email id with the RTA that (if not marked, the default option would be 'Yes')	<input type="checkbox"/> Yes <input type="checkbox"/> No
h. I/We do not require the Delivery Instruction Slip (DIS) for the time being, since I/We have issued Power of Attorney in favour of 360 ONE Distribution Services Ltd. for settling through 360 ONE Distribution Services Ltd.	<input type="checkbox"/> Yes <input type="checkbox"/> No However, the DIS booklet should be issued to me/us immediately on my/our request at any later date.
i. I would like to receive the below documents through	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic Mode 1. Rights and Obligations            2. Uniform Risk Disclosure documents            3. Do's and Don't's            4. All other communications

I/We declare these details to be correct as per my/our signature affixed on page 21 of this form.

<b>TYPE OF ACCOUNT – NON-INDIVIDUAL</b>					
<input type="checkbox"/> Body Corporate	<input type="checkbox"/> FI	<input type="checkbox"/> FII	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> Bank
<input type="checkbox"/> CM	<input type="checkbox"/> HUF	<input type="checkbox"/> Other, please specify _____			
<b>PROOF OF FINANCIAL DETAILS (MANDATORY IN CASE OF DERIVATIVES/ CURRENCY) ANY ONE</b>					
<input type="checkbox"/> Copy of ITR acknowledgement	<input type="checkbox"/> Copy of annual accounts	<input type="checkbox"/> Copy of Form 16	<input type="checkbox"/> Net worth certificate		
<input type="checkbox"/> Bank account statement for last 6 months	<input type="checkbox"/> Copy of Demat account holding statement				
<b>ADDITIONAL DETAILS (PAST ACTIONS IF ANY)</b>					
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:					
<b>Particulars</b>	<b>Name of Authority</b>			<b>Month &amp; Year of Action</b>	
<b>DEALINGS THROUGH STOCK BROKERS AND OTHER SUB-BROKERS</b>					
Whether dealing with any other stockbroker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)					
Stockbroker's Name & Code					
Registered office address					
SEBI Registration number				Website	
Sub-broker's Name & Code					
Registered office address					
SEBI Registration number				Website	
Status Of Introducer	<input type="checkbox"/> Sub-Broker <input type="checkbox"/> Authorised Person <input type="checkbox"/> Remisier <input type="checkbox"/> Existing Account Holder <input type="checkbox"/> Bank Official <input type="checkbox"/> 360 ONE Employee <input type="checkbox"/> Any Other Person				
Introducer's Name					
Address					
City		Country			
State		PAN		Tel	
First		PAN			
Organization Name					

**I/We declare these details to be correct as per my/our signature affixed on page 21 of this form.**

## Non-Individual Self-Certification for Non- Individual - FATCA/CRS

Name of the Client \_\_\_\_\_

PAN \_\_\_\_\_

Date of Incorporation \_\_\_\_\_

## FATCA/CRS Declaration Form

## 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 the 360 One Distribution Services Limited is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The 360 One Distribution Services Limited 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 the 360 One Distribution Services Limited 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
- (v) I/We hereby confirm that details provided are accurate, correct & complete.

Name of the Entity \_\_\_\_\_

Signature 1

Signature 2

Signature 3

Date : \_\_\_\_\_

(As per MOP)

**Part II. Self-Certification Form (Entity) for Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standards (CRS)**

Section 1: Entity information \_\_\_\_\_

Name of Entity \_\_\_\_\_

Customer ID (if existing) \_\_\_\_\_

Entity Identification Type ☐ T ☐ G ☐ C ☐ E ☐ O

Entity Constitution Type \_\_\_\_\_

Entity Identification No \_\_\_\_\_

Entity Identification Issuing Country \_\_\_\_\_

Country of Residence for Tax Purpose \_\_\_\_\_

**Other Services**

Select proper option from Drop down list

OTHER SERVICES CODE	DESCRIPTION
<input type="checkbox"/> CAT1	Foreign Exchange / Money Changer Services
<input type="checkbox"/> CAT2	Gaming / Gambling / Lottery Services
<input type="checkbox"/> CAT3	Money Laundering / Pawning
<input type="checkbox"/> CT12	Foreign Exchange / Money Changer Services & Gaming / Gambling / Lottery Services
<input type="checkbox"/> CT23	Gaming / Gambling / Lottery Services & Money Laundering / Pawning
<input type="checkbox"/> CT13	Foreign Exchange / Money Changer Services & Money Laundering / Pawning
<input type="checkbox"/> CALL	If All 3

**Tax Identification Type**

Select proper option from Drop down list

Code	Description
<input type="checkbox"/> TIN	Tax ID Number
<input type="checkbox"/> GIIN	Global ID Number
<input type="checkbox"/> CIN	Company ID Number
<input type="checkbox"/> TINEQ	Other Equivalent ID Number
<input type="checkbox"/> TNA	Not Provided

**NA (Not Provided)**

For exempted category select NA and select the proper option from the drop down -

DESCRIPTION
<input type="checkbox"/> Entity's Country of Incorporation / Tax Residence is US but Entity is not a Specified US person
<input type="checkbox"/> FFI - GIIN Application Pending
<input type="checkbox"/> NFFE - GIIN Application Pending
<input type="checkbox"/> FFI - GIIN Not Required
<input type="checkbox"/> NFFE - GIIN Not Required
<input type="checkbox"/> Non-Participating FFI
<input type="checkbox"/> FATCA Exempt NFFE
<input type="checkbox"/> Others

**Section 2: Classification of Non-Financial entities**

I/We (on behalf of the entity) certify that the entity is:

- a) An entity incorporated and taxable in US (Specified US person) ☐ Yes ☐ No  
 If "Yes", please provide your U.S. Taxpayer Identification Number (TIN) TIN
- b) An entity incorporated and taxable outside of India (other than US) ☐ Yes ☐ No  
 If "Yes", please provide your TIN or its functional equivalent TIN   
 Provide your TIN issuing country \_\_\_\_\_
- c) Please provide the following additional details if you are not a Specified US Person : \_\_\_\_\_



### FATCA / CRS classification for Non-financial entities (NFFE)

- ☐ Active NFFE
- ☐ Passive NFFE without any controlling Person
- ☐ Passive NFFE with Controlling Person(s): ☐ US ☐ Others \_\_\_\_\_
- ☐ Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus bank is not required to do the reporting)
- Please provide GIIN number: \_\_\_\_\_

### Section 3: Classification of financial institutions (including Banks)

I/We (on behalf of the entity) certify that the entity is :

a. An entity is a U.S. financial institution

☐ Yes ☐ No

If "Yes",

(i) Please provide your Taxpayer Identification Number (TIN)

TIN

(ii) Please provide GIIN, if any \_\_\_\_\_

If "No", please tick one of the following boxes below:

Please provide the Global Intermediary Identification number (GIIN) or other information where

- ☐ Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement ("IGA") Jurisdiction \_\_\_\_\_
- ☐ Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction \_\_\_\_\_
- ☐ Participating FFI in a Non-IGA Jurisdiction \_\_\_\_\_
- ☐ Non-reporting FI \_\_\_\_\_
- ☐ Non-Participating FI \_\_\_\_\_
- ☐ Owner-Documented FI with specified US owners \_\_\_\_\_

### 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:

#### UBO-1 / Senior Managing Official (SMO)

Name of the UBO / SMO#.	_____		
Correspondence Address	_____		
UBO / SMO PAN#.	_____		
For Foreign National, TIN to be provided]	_____		
Controlling person type	_____		
UBO / SMO Country of Tax Residency#.	_____		
UBO / SMO Taxpayer Identification Number / Equivalent ID Number#.	_____		
UBO / SMO Identity Type	_____		
UBO / SMO Place & Country of Birth#	Place of Birth _____	Country of Birth _____	
UBO / SMO Nationality	_____		
UBO / SMO Date of Birth [dd-mmm-yyyy] #	_____		
UBO / SMO PEP#	<input type="checkbox"/> PEP.	<input type="checkbox"/> Related to PEP.	<input type="checkbox"/> Not a PEP.
UBO / SMO Address Type	<input type="checkbox"/> Residence	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office.
UBO / SMO Occupation	<input type="checkbox"/> Public Service	<input type="checkbox"/> Private Service	<input type="checkbox"/> Business <input type="checkbox"/> Others
Occupation Type	_____		
SMO Designation#	_____		
UBO / SMO KYC Complied**.	Please attach the KYC acknowledgement.		
If not complied, please complete KYC process independently and then submit the proof.			

### UBO-2 / Senior Managing Official (SMO)

Name of the UBO / SMO#.	<hr/>		
Correspondence Address	<hr/>		
UBO / SMO PAN#.	<hr/>		
For Foreign National, TIN to be provided]	<hr/>		
Controlling person type	<hr/>		
UBO / SMO Country of Tax Residency#.	<hr/>		
UBO / SMO Taxpayer Identification Number /	<hr/>		
Equivalent ID Number#.	<hr/>		
UBO / SMO Identity Type	<hr/>		
UBO / SMO Place & Country of Birth#	Place of Birth <hr/>	Country of Birth <hr/>	
UBO / SMO Nationality	<hr/>		
UBO / SMO Date of Birth [dd-mmm-yyyy] #	<hr/>		
UBO / SMO PEP#	<input type="checkbox"/> PEP.	<input type="checkbox"/> Related to PEP.	<input type="checkbox"/> Not a PEP.
UBO / SMO Address Type	<input type="checkbox"/> Residence	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office.
UBO / SMO Occupation	<input type="checkbox"/> Public Service	<input type="checkbox"/> Private Service	<input type="checkbox"/> Business <input type="checkbox"/> Others
Occupation Type	<hr/>		
SMO Designation#	<hr/>		
UBO / SMO KYC Complied**.	<b>Please attach the KYC acknowledgement.</b>		
If not complied, please complete KYC process independently and then submit the proof.			

### UBO-3 / Senior Managing Official (SMO)

Name of the UBO / SMO#.	<hr/>		
Correspondence Address	<hr/>		
UBO / SMO PAN#.	<hr/>		
For Foreign National, TIN to be provided]	<hr/>		
Controlling person type	<hr/>		
UBO / SMO Country of Tax Residency#.	<hr/>		
UBO / SMO Taxpayer Identification Number /	<hr/>		
Equivalent ID Number#.	<hr/>		
UBO / SMO Identity Type	<hr/>		
UBO / SMO Place & Country of Birth#	Place of Birth <hr/>	Country of Birth <hr/>	
UBO / SMO Nationality	<hr/>		
UBO / SMO Date of Birth [dd-mmm-yyyy] #	<hr/>		
UBO / SMO PEP#	<input type="checkbox"/> PEP.	<input type="checkbox"/> Related to PEP.	<input type="checkbox"/> Not a PEP.
UBO / SMO Address Type	<input type="checkbox"/> Residence	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office.
UBO / SMO Occupation	<input type="checkbox"/> Public Service	<input type="checkbox"/> Private Service	<input type="checkbox"/> Business <input type="checkbox"/> Others
Occupation Type	<hr/>		
SMO Designation#	<hr/>		
UBO / SMO KYC Complied**.	<b>Please attach the KYC acknowledgement.</b>		
If not complied, please complete KYC process independently and then submit the proof.			

#### UBO-4 / Senior Managing Official (SMO)

Name of the UBO / SMO#.	<hr/>		
Correspondence Address	<hr/>		
UBO / SMO PAN#.	<hr/>		
For Foreign National, TIN to be provided]	<hr/>		
Controlling person type	<hr/>		
UBO / SMO Country of Tax Residency#.	<hr/>		
UBO / SMO Taxpayer Identification Number /	<hr/>		
Equivalent ID Number#.	<hr/>		
UBO / SMO Identity Type	<hr/>		
UBO / SMO Place & Country of Birth#	Place of Birth <hr/>	Country of Birth <hr/>	
UBO / SMO Nationality	<hr/>		
UBO / SMO Date of Birth [dd-mmm-yyyy] #	<hr/>		
UBO / SMO PEP#	<input type="checkbox"/> PEP.	<input type="checkbox"/> Related to PEP.	<input type="checkbox"/> Not a PEP.
UBO / SMO Address Type	<input type="checkbox"/> Residence	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office.
UBO / SMO Occupation	<input type="checkbox"/> Public Service	<input type="checkbox"/> Private Service	<input type="checkbox"/> Business <input type="checkbox"/> Others
Occupation Type	<hr/>		
SMO Designation#	<hr/>		
UBO / SMO KYC Complied**.	<b>Please attach the KYC acknowledgement.</b>		
If not complied, please complete KYC process independently and then submit the proof.			

#### UBO-5 / Senior Managing Official (SMO)

Name of the UBO / SMO#.	<hr/>		
Correspondence Address	<hr/>		
UBO / SMO PAN#.	<hr/>		
For Foreign National, TIN to be provided]	<hr/>		
Controlling person type	<hr/>		
UBO / SMO Country of Tax Residency#.	<hr/>		
UBO / SMO Taxpayer Identification Number /	<hr/>		
Equivalent ID Number#.	<hr/>		
UBO / SMO Identity Type	<hr/>		
UBO / SMO Place & Country of Birth#	Place of Birth <hr/>	Country of Birth <hr/>	
UBO / SMO Nationality	<hr/>		
UBO / SMO Date of Birth [dd-mmm-yyyy] #	<hr/>		
UBO / SMO PEP#	<input type="checkbox"/> PEP.	<input type="checkbox"/> Related to PEP.	<input type="checkbox"/> Not a PEP.
UBO / SMO Address Type	<input type="checkbox"/> Residence	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office.
UBO / SMO Occupation	<input type="checkbox"/> Public Service	<input type="checkbox"/> Private Service	<input type="checkbox"/> Business <input type="checkbox"/> Others
Occupation Type	<hr/>		
SMO Designation#	<hr/>		
UBO / SMO KYC Complied**.	<b>Please attach the KYC acknowledgement.</b>		
If not complied, please complete KYC process independently and then submit the proof.			

### UBO-6 / Senior Managing Official (SMO)

Name of the UBO / SMO#.	<hr/>		
Correspondence Address	<hr/>		
UBO / SMO PAN#.	<hr/>		
For Foreign National, TIN to be provided]	<hr/>		
Controlling person type	<hr/>		
UBO / SMO Country of Tax Residency#.	<hr/>		
UBO / SMO Taxpayer Identification Number /	<hr/>		
Equivalent ID Number#.	<hr/>		
UBO / SMO Identity Type	<hr/>		
UBO / SMO Place & Country of Birth#	Place of Birth <hr/>	Country of Birth <hr/>	
UBO / SMO Nationality	<hr/>		
UBO / SMO Date of Birth [dd-mmm-yyyy] #	<hr/>		
UBO / SMO PEP#	<input type="checkbox"/> PEP.	<input type="checkbox"/> Related to PEP.	<input type="checkbox"/> Not a PEP.
UBO / SMO Address Type	<input type="checkbox"/> Residence	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office.
UBO / SMO Occupation	<input type="checkbox"/> Public Service	<input type="checkbox"/> Private Service	<input type="checkbox"/> Business <input type="checkbox"/> Others
Occupation Type	<hr/>		
SMO Designation#	<hr/>		
UBO / SMO KYC Complied**.	<b>Please attach the KYC acknowledgement.</b>		
If not complied, please complete KYC process independently and then submit the proof.			

### UBO-7 / Senior Managing Official (SMO)

Name of the UBO / SMO#.	<hr/>		
Correspondence Address	<hr/>		
UBO / SMO PAN#.	<hr/>		
For Foreign National, TIN to be provided]	<hr/>		
Controlling person type	<hr/>		
UBO / SMO Country of Tax Residency#.	<hr/>		
UBO / SMO Taxpayer Identification Number /	<hr/>		
Equivalent ID Number#.	<hr/>		
UBO / SMO Identity Type	<hr/>		
UBO / SMO Place & Country of Birth#	Place of Birth <hr/>	Country of Birth <hr/>	
UBO / SMO Nationality	<hr/>		
UBO / SMO Date of Birth [dd-mmm-yyyy] #	<hr/>		
UBO / SMO PEP#	<input type="checkbox"/> PEP.	<input type="checkbox"/> Related to PEP.	<input type="checkbox"/> Not a PEP.
UBO / SMO Address Type	<input type="checkbox"/> Residence	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office.
UBO / SMO Occupation	<input type="checkbox"/> Public Service	<input type="checkbox"/> Private Service	<input type="checkbox"/> Business <input type="checkbox"/> Others
Occupation Type	<hr/>		
SMO Designation#	<hr/>		
UBO / SMO KYC Complied**.	<b>Please attach the KYC acknowledgement.</b>		
If not complied, please complete KYC process independently and then submit the proof.			

## UBO-8 / Senior Managing Official (SMO)

Name of the UBO / SMO#.	<hr/>		
Correspondence Address	<hr/>		
UBO / SMO PAN#.	<hr/>		
For Foreign National, TIN to be provided]	<hr/>		
Controlling person type	<hr/>		
UBO / SMO Country of Tax Residency#.	<hr/>		
UBO / SMO Taxpayer Identification Number /	<hr/>		
Equivalent ID Number#.	<hr/>		
UBO / SMO Identity Type	<hr/>		
UBO / SMO Place & Country of Birth#	Place of Birth <hr/>	Country of Birth <hr/>	
UBO / SMO Nationality	<hr/>		
UBO / SMO Date of Birth [dd-mmm-yyyy] #	<hr/>		
UBO / SMO PEP#	<input type="checkbox"/> PEP.	<input type="checkbox"/> Related to PEP.	<input type="checkbox"/> Not a PEP.
UBO / SMO Address Type	<input type="checkbox"/> Residence	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office.
UBO / SMO Occupation	<input type="checkbox"/> Public Service	<input type="checkbox"/> Private Service	<input type="checkbox"/> Business <input type="checkbox"/> Others
Occupation Type	<hr/>		
SMO Designation#	<hr/>		
UBO / SMO KYC Complied**.	<b>Please attach the KYC acknowledgement.</b>		
If not complied, please complete KYC process independently and then submit the proof.			

### Instruction for FATCA & CRS

- 1) In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA/CRS Indicia observed (ticked)		Documentation required for Cure of FATCA/CRS indicia
		If customer does not agree to be Specified U.S. person/reportable person status
1	U.S. place of birth	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND 3. Any one of the following documents: a. Certified Copy of "Certificate of Loss of Nationality or. b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
2	Residence/mailling address in a country than India	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; and 2. Documentary evidence (refer list below)
3	Telephone number in a country other than India (and no telephone number	1. Self-certification (in attached format) that the account holder is neither a in India provided) citizen of United States of America nor a resident for tax purposes; and 2. Documentary evidence (refer list below)
4	Standing instructions to transfer funds account maintained in a country other	1. Self-certification (in attached format) that the account holder is neither a citizen of than to an India United States of America nor a resident for tax purposes; and 2. Documentary evidence (refer list below)

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body\*
2. Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)

\*Government or agency thereof or a municipality

- 2) It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers.

If TIN/ Functional Equivalent available	Any document evidencing TIN issued by an authorised government body
No TIN is yet available	An explanation and attach it to the form.

## Instruction for FATCA / CRS Declaration & Controlling Person / Ultimate Beneficial Owner

- a. Financial Institution / Foreign Financial Institution [FFI] – Means any non-US financial institutions that is a – (1) Depository institution – accepts deposits in the ordinary course of banking or similar business; (2) Custodian institution - as a substantial portion of its business, hold financial assets for the accounts of others; (3) Investment entity – conducts a business or operates for or on behalf of a customer for any of the activities like trading in money market instruments, foreign exchange, foreign currency, etc. or individual or collective portfolio management or investing, administering or managing funds, money or financial assets on behalf of other persons; or an entity managed by this type of entity; or (4) Insurance company – entity issuing insurance products i.e. life insurance; (5) Holding or Treasury company – entity that is part of an expanded affiliate group that includes a depository, custodian, specified insurance company or investment entity
- b. Direct Reporting NFFE – a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS
- c. GILIN not required category:

Code	Sub-category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors and Investment Managers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

- d. Listed Company - A company is publicly traded if its stock are regularly traded on one or more established securities markets (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)
- e. Related Entity - an entity is a "Related Entity" of another entity if one controls the other, or the two entities are under common control (where control means direct or indirect ownership of more than 50% of the vote or value in an entity)
- f. Non-financial foreign entity [NFFE] – Non-US entity that is not a financial institution [including a territory NFFE]. Following NFFEs are excluded from FATCA reporting – (a) Publicly traded corporation / listed companies; (b) Related Entity of a listed company; and (c) Active NFFE
- g. Active NFFE – Any one of the following –

Code	Sub-Category
01	Less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and < 50% of the assets held by NFE are assets that produce or are held for the production of passive income
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for NFE status if the entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	Any NFE is a 'non for profit' organization which meets all of the following requirements: <ul style="list-style-type: none"> <li>It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labour organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;</li> <li>It is exempt from income tax in India;</li> <li>It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> </ul>



Code	Sub-Category
	<ul style="list-style-type: none"> <li>The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and</li> <li>The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof.</li> </ul>

- h. Passive NFE - means any NFE that is not (i) an Active NFE or listed / publicly traded entity or entity related to the listed / publicly traded entity, or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations or (iii) the gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity - (Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)
- i. Passive Income – portion of gross income that consists of dividends, interest, rents and royalties (other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFE), income equivalent to interest / amount received from pool of insurance contracts, annuities, excess of gains over losses from the sale or exchange of property / from transactions (including futures, forwards or similar transactions) in any commodities but not including (i) any commodity hedging transaction, determined by treating the entity as a controlled foreign corporation or (ii) active business gains or losses from the sale of commodities but only if substantially all the foreign entity's commodities are property, excess of foreign currency gains over losses, net income from notional principal contracts, amounts received under cash value insurance contracts, amounts earned by insurance company in connection with its reserves for insurance and annuity contracts
- j. Controlling Persons means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations.
- k. Non-Participating FFIs [NPFFIs] – an FFI other than participating FFI, a deemed-complaint FFI, or an exempt beneficial owner
- l. Specified US Persons – Any US Person other than i). A publicly traded corporation; ii). A corporation that is a member of the same expanded affiliated group; iii). A tax exempt organization; iv). an individual retirement plan; v). the United States or an agency or instrumentality of the United States; vi). Any state [including District of Columbia and United States possession] or State Authorities; vii). A bank, viii). A real estate investment trust; ix). A regulated investment company; x). an entity registered with the SEC under the Investment Company Act of 1940; xi). A common trust fund; xii). A tax exempt trust; xiii). A registered dealer; xiv). A registered broker
- m. Expanded affiliated group – One or more chains of members connected through ownership (50% or more, by vote or value) by a common parent entity if the common parent entity owns stock or other equity interests meeting the requirements in at least one of the other members
- n. Owner documented FFI – AN FFI meeting the following requirements – (a) FFI is an FFI solely because it is an investment entity; (b) FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company; (c) FFI does not maintain a financial account for any non-participating FFI; (d) FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in the circumstances, and (e) The designated withholding agent agrees to report to the IRS (or, in case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any US specified persons and (2) Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a US person, an exempt beneficial owner, or an exempted NFE

Code	Sub-Category
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
B	The United States or any of its agencies or instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan

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 controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/ 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.

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 10% & above of shares or capital or profits of the juridical person, where the juridical person is a company;
  - more than 10% of the capital or profits of the juridical person, where the juridical person is a partnership;
  - more than 15% & above 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 10% 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

D. KYC requirements Beneficial Owner(s) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to 360 ONE Distribution Services Limited. KYC acknowledgement proof is to be submitted for all the listed Beneficial Owner(s).

E. Controlling Person Type [CP/UBO] Codes:

CP/UBO	Code Description	CP/UBO	Code Description
C01	CP of legal person-ownership	C08	CP of legal arrangement-trust-other
C02	CP of legal person-other means	C09	CP of legal arrangement-trust-other-settlor equivalent
C03	CP of legal person-senior managing official	C10	CP of legal arrangement-trust-other-trustee-equivalent
C04	CP of legal arrangement-trust-settlor	C11	CP of legal arrangement-trust-other-protector equivalent
C05	CP of legal arrangement-trust-trustee	C12	CP of legal arrangement-trust-other-beneficiary -equivalent
C06	CP of legal arrangement-trust-protector	C13	CP of legal arrangement-trust-other-other-equivalent
C07	CP of legal arrangement-trust-beneficiary	C14	Unknown

# Mandatory column.

\*\* In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country.

Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.

Participating Mutual Fund(s) / RTA may call for additional information/documentation wherever required or if the given information is not clear / incomplete / correct and valid declaration should be submitted again with all the required information.

### Declaration

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false, untrue, misleading, or misrepresenting, I/We am/are aware that I/We may be liable for it including any penalty levied by the statutory/legal/regulatory authority. I/We hereby confirm the above beneficial interest after perusing all applicable shareholding pattern and MF/RTA/other registered intermediaries can make reliance on the same. I / We hereby confirm that no natural person other than those declared above, directly or indirectly holds more than the percentage of beneficial interest as specified in point A (i) above in the entity, or is able to exercise control of the entity through other means. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities.

### Signature with Relevant Seal:

Authorized Signatory	Authorized Signatory	Authorized Signatory
Name: _____	Name: _____	Name: _____

Place: \_\_\_\_\_

Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

## Instructions on Controlling Persons / Ultimate Beneficial Owner

As per PMLA guidelines and relevant SEBI circulars issued from time to time, non-individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/ 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.

### 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 10% of shares or capital or profits of the juridical person, where the juridical person is a company.
  - more than 10% of the capital or profits of the juridical person, where the juridical person is a partnership or who exercises control through other means."

For the purpose of this clause, "Control" shall include the right to control the management or policy decision.

- 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 10% 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.

Provided that in case of a trust, the reporting entity shall ensure that trustees disclose their status at the time of commencement of an account-based relationship or when carrying out transactions as specified in clause (b) of sub-rule (1) rule 9.

### 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, there is no need for identification and verification of the identity of any shareholder or beneficial owner of such companies and hence exempted from UBO declaration provided other requisite information is provided. 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 and other circulars issued from time to time, for the purpose of identification of beneficial ownership of the client.

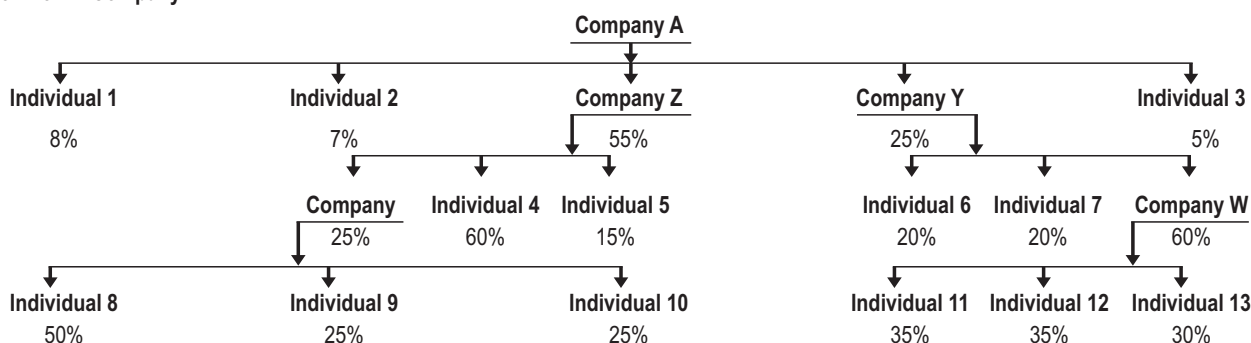
### D. KYC requirements

Beneficial Owner(s) / Senior Managing Official (SMO) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the UBO(s) / SMO(s).

In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country.

## Sample Illustrations for ascertaining beneficial ownership:

### Illustration No. 1 - Company A



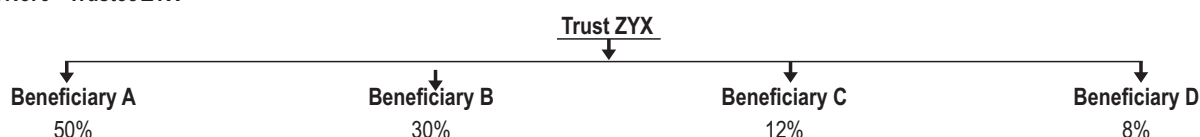
For Applicant A, Individual 4 is considered as UBO as it holds effective ownership of 33% in Company A. Hence details of Individual 4 must be provided with KYC proof, Shareholding pattern of Company A, Z & Y to be provided along with details of persons of Company Y who are senior managing officials and those exercising control.

### Illustration No. 2 – Partner ABC



For Partnership Firm ABC, Partners 1, 2, 3 and 4 are considered as UBO as each of them holds  $\geq 10\%$  of capital. KYC proof of these partners needs to be submitted including shareholding.

### Illustration No. 3 – Trustee ZYX



For Trust ZYX, Beneficiaries A, B and C are considered as UBO as they are entitled to get benefitted for  $\geq 10\%$  of funds used. KYC proof for these beneficiaries needs to be submitted. Additionally, if they have nominated any person or group of persons as Settlor of Trust / Protector of Trust, relevant information to be provided along with the proof indicated.

## Declaration Form of Non-Profit Organization (NPO)

(Mandatory for Trusts/Society/Section 8 companies)

Investor Name										
PAN										

☐ I/We hereby confirm that above stated entity / organization is falling under **"Non-profit organization" [NPO]** which has been constituted for religious or charitable purposes referred to in clause (15) of section 2 of the Income-tax Act, 1961 (43 of 1961), and is registered as a trust or a society under the Societies Registration Act, 1860 (21 of 1860) or any similar State legislation or a Company registered under the section 8 of the Companies Act, 2013 (18 of 2013).

☐ Enclosed relevant documentary proof evidencing the above definition.

We further confirm that we have registered with DARPAN Portal of NITI Aayog as NPO and registration details are as follows:

Registration Number of DARPAN portal	
--------------------------------------	--

If not, please register immediately and confirm with the above information. In absence of receipt of the Darpan portal registration details, MF/AMC/RTA will be required to register your entity on the said portal and/or report to the relevant authorities as applicable.

☐ I/We hereby confirm that the above stated entity / organization is NOT falling under Non-profit organization as defined above or in PMLA Act/Rules thereof.

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it for any fines or consequences as required under the respective statutory requirements and authorize you to deduct such fines/charges under intimation to me/us or collect such fines/charges in any other manner as might be applicable. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries or any other statutory authorities to facilitate single submission / update & for regulatory purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities.

Signature with relevant seal:

Signature of the 1 <sup>st</sup> Authorised Signatory

Signature of the 2 <sup>nd</sup> Authorised Signatory

Signature of the 3 <sup>rd</sup> Authorised Signatory

DATE \_\_\_\_\_

PLACE \_\_\_\_\_

**RISK PROFILER**

This questionnaire endeavours to bring out your current attitude towards Risk, or the "Chance of Loss" and your view of how an investment should perform over the next decade. It will suggest what type of strategy you should adopt towards your investments. Since these answers will be used as inputs in your long-term asset allocation, we urge you to invest some time in understanding and answering each question.

**We recommend that you answer the questionnaire without any inputs from your 360 ONE DSL Representative**

(Please tick any 1 option among those presented)

**RISK ASSESSMENT:**

1. My understanding of investments and financial products is best described as (single select, 1st option default, mandatory)		2. Which of the following statements would be representative of your risk appetite?	
<input type="checkbox"/>	A I do not understand anything about investment products	<input type="checkbox"/>	A I would not be comfortable losing more than 10%
<input type="checkbox"/>	B I have fair knowledge of investment products including managed solutions, MFs, etc.	<input type="checkbox"/>	B I would not be comfortable losing more than 25%
<input type="checkbox"/>	C I understand complex products also (eg. Derivatives, start-up investing, etc.)	<input type="checkbox"/>	C I would be comfortable losing more than 25%
3. What is the source of your income?		4. As a percentage of your overall financial portfolio, what would be the extent of your current borrowings:	
<input type="checkbox"/>	A Inheritance/ Gift / Sale of business	<input type="checkbox"/>	A 0-10%
<input type="checkbox"/>	B Interest & dividends on existing investments/ rental income	<input type="checkbox"/>	B 10-50%
<input type="checkbox"/>	C Salaried / Self employed/professional income / regular business income / Royalty	<input type="checkbox"/>	C >50%

Client categorization based on risk assessment and investment objectives questionnaire: <input type="checkbox"/> Conservative - Score <=40 <input type="checkbox"/> Moderate - Score >40 -80 <input type="checkbox"/> Aggressive - Score >80.)	No. of A		X 10 =	
	No. of B		X 20 =	
	No. of C		X 30 =	
			Total	

Disclaimer: This assessment is built on the theoretical correlation between risk tolerance, investment term, liquidity needs and attitude towards risk. Should the client not feel comfortable with the outcome of this assessment, his/her specific requirements will take precedence.

Client Declaration: I/we hereby confirm that I/we have read, reviewed and understood the above-mentioned risk assessment questionnaire and agree to my categorization, based on investment objectives and risk assessment.

**I/We declare these details to be correct as per my/our signature affixed on page 21 of this form.**

**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, NCDEX, BSE & NSE
All Segments	Cash / Mutual Fund	F&O	Currency	Debt	Commodity Derivatives
Signature				NA	

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

Note – Currently we are not active in below mentioned segments & hence we will not be enabling clients for these segments.

1) BSE Commodity Derivatives

2) NSE Commodity Derivatives

3) Debt – NSE & BSE

If in future, you want to trade on any new segment / new exchange, separate authorisation/ letter should be submitted to 360 ONE DSL.

<b>Investment/Trading Experience &amp; Preference (Commodities)</b>		
<input type="checkbox"/> No Prior Investment Experience	<input type="checkbox"/> Years in Commodities	<input type="checkbox"/> Years in other Investment Related Fields
<b>Name of the Exchange</b>	<b>MCX</b>	<b>NCDEX</b>
Date of consent for trading on concerned Exchange		



## AUTHORISATIONS TO 360 ONE DISTRIBUTION SERVICES LIMITED

### A. RUNNING ACCOUNT AUTHORIZATION

☐ Yes

☐ No

#### Authorisation to 360 ONE Distribution Services LTD.

- a) I would like to keep securities purchased by me pledged with you as collateral, at my discretion, for giving me exposure limits in my trading account/margin obligation. I also authorise you to pledge these shares/securities with the Clearing Member/ Exchange/Custodian, at your discretion for my trading activities only. In case any of the shares/securities are sold in subsequent settlements, you may take this as a standing instruction to adjust against my previous purchase positions in any of Exchanges.
- b) In case there is a debit balance in my account, you are authorized to sell at any point of time the shares/ securities held by me/ held on my behalf, at your sole discretion. Any profit or loss made on such transactions will be to my account as it would have occurred on normal purchase/sale made by me. I also agree to pay the balance amount, if any after deducting credit of sale of shares.
- c) I also request you not to issue cheques /make payments settlement wise unless specifically demanded by me, as paying and payout are very close and therefore exchange of cheque becomes unnecessary paper work.
- d) I/We understand and agree that no interest will be payable to me/us on the amounts or securities so retained with you.
- e) I further authorize you to set off/ adjust any of my debits/dues in any segment of any Exchange with credits of any other segment(s) of any Exchange(s) in my account within the period of settlement of my account (Securities and Funds) adopted by me.
- f) The Securities lying in client beneficiary account on my/our behalf and/or credit balances lying in my/our ledger account of any segments of any Exchanges can be considered as margin for the any segments of any Exchanges.
- g) I/We understand that this authorization shall remain valid until revoked by me/us. I/we undertake to clear all my dues arising during the validity of this authorization else the member shall recover all my/our dues in my/our ledger till date. I also undertake to clear all my dues to you before serving revocation of this authorisation else the member will recover all my dues in my ledger till date and then effect the revocation.
- h) I /We further wish to have settlement of my account (funds & securities):- (Tick anyone option):- ☐ **Once in Quarter** ☐ **Once in Month**  
I/We understand that settlement amount shall be subject to retention of requisite securities/ funds towards outstanding obligations and margins in my account calculated in the manner specified by SEBI/ Exchange and details mentioned in the "Statement of Account" at the time of settlement. I/We authorise you to send the statement of account on funds and securities as on the date of settlement to my internet trading account or e-mail id registered with you. I /We understand that I /We can obtain a copy of the same from any of your Branch offices. I/We understand and authorize that you will not release the payout in case the balance after necessary retention is up to Rs.10000/- in any of the quarters, till my revocation in writing as I/We will be doing regularly trading with you. I also undertake to bring any dispute arising from Statement of accounts or settlement so made to your notice within seven working days from the date of receipt of funds/securities or Statement as the case may be. So kindly maintain my account as a running account basis for funds and securities.

### B. AUTHORIZATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE

☐ Yes

☐ No

I/We hereby consent to receive from 360 ONE Distribution Services Ltd. the digital contract notes, bills, ledgers, transaction statements, demat statement of accounts/ holding statement(s)/bills/other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the rules made thereunder to my below mentioned email id (said email id).

E-mail Id : \_\_\_\_\_ I/We further hereby agree that the 360 ONE Distribution Services Ltd. shall fulfill the legal obligation, if the above documents are sent electronically to the said e-mail id and I/We am/are aware that I/we will not receive the statements / documents in paper form. In this regard, I/we further confirm and agree that:

- (i) The above is my/ our personal E-mail id. I/ We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the abovementioned e-mail account. 360 ONE DSL shall not be liable to or responsible for any breach of secrecy. I/We am/are aware that the statements/ documents may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised. I/We will be solely responsible for the security of the information provided on my/ our aforesaid e-mail id.
- (ii) E-mails sent to any of the above mentioned e-mail account shall be deemed to be duly delivered to the me/us. However, emails bounced back on account of errors/systems issue attributable to any act of 360 ONE DSL will not be considered as duly delivered.
- (iii) 360 ONE DSL shall not take cognizance of out-of-office/ out of station auto replies and I/We shall be deemed to have received such electronic mails.
- (iv) Such Statements shall be deemed to have been delivered on the day when the e-mail is sent by 360 ONE DSL.
- (v) I/We further agree that 360 ONE DSL may at its sole discretion also provide / discontinue such statements in physical form.
- (vi) 360 ONE DSL shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof.
- (vii) 360 ONE DSL shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from 360 ONE DSL.
- (viii) I/We shall inform 360 ONE DSL by way of a letter in writing duly signed by me or inform through internet platform if there is any change in the Email given above.
- (ix) I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified under the relevant agreements entered into with 360 ONE DSL. My/Our non-verification or not accessing the Statement on regular basis shall not be a reason for disputing the same at any time.
- (x) I/We reinstall inform in writing in prescribed format to 360 ONE DSL to discontinue the said facilities. I/We and 360 ONE DSL shall have the right to terminate such service provided a written notice is given at least 10 days in advance to the other party.



I/We shall immediately inform 360 ONE DSL about change in email address, if any. I/We further agree that 360 ONE DSL will not be responsible for non receipt of documents sent via electronic delivery due to change in/incorrect email address/correspondence address as mentioned or any other reason which inter alia include technical reasons or malfunction of my/our computer system/server/internet connection etc. Further I/We agree and undertake to indemnify 360 ONE DSL and its group companies, that they will not be held liable/ responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation cases, complaints, actions, etc that may arise in future on account of my/ our above authorization request.

**C. AUTHORISATION FOR ONLINE TRADING SOFTWARE PASSWORD**

☐ **Yes**
☐ **No**

I wish to use online Trading Software in this regards Following:-

- I. Please send my system-generated, internet account first time as well as subsequent, password on the registered mobile numbers. Also, if I ever need to reset the Password later, the same should also be sent by SMS on the above given mobile number. As soon as I receive the system generated Password, I shall login and change it for security reasons. I am aware that system-generated Password will automatically expire in 72 hours from the time of sending.
- II. In the event that I do not receive the Password on SMS within 24 hours of opening of account or request for reset of Password, I shall contact the Customer Service Department of the 360 ONE DSL immediately and request for re-setting of my Password
- III. I have been explained that I shall set my new Password as may be easy to remember for me, but should not be easy to decipher for anybody else and should be preferably alpha-numeric and not my or any family member's name/ surname.
- IV. I am fully aware of the risk of electronic loss/ theft and agree to be solely liable and responsible for the same as well as for any unauthorized use/ misuse of the Password. I understand 360 ONE DSL will not be responsible or liable in any manner whatsoever for the same.

**DECLARATION**

- i. I am aware that the mobile number shall be updated in all your records and databases including trading and demat account.
- ii. I declare that the registered number is my personal mobile number and is always in my safe custody. I shall keep 360 ONE DSL informed of any change in my mobile number immediately for updating the same in databases. I am aware that without intimation for change in mobile number, 360 ONE DSL would not be able to send my Password over new mobile number and also would not be able to update in records and databases.
- iii. I am aware that in case of change in my mobile number anytime after opening of this account, it is mandatory for me to submit the photocopy of a latest/last two months Mobile bill for postpaid connection. If I have prepaid connection then I have to visit personally to the Branch/FANs along with my ID proofs (E.g.: Pan Card or Driving License) and get the documents verified by the branch officials.
- iv. I will be solely responsible for the security of the information provided on my aforesaid mobile number. Further,
- v. I agree and undertake to indemnify 360 ONE DSL and its group companies, that they will not be held liable/responsible for any losses, claims, damages, cost and liabilities etc. caused to me due to misuse of this information or pursuant to any litigations, non- litigation cases, complaints, actions, etc. that may arise in future on account of my above authorization request.
- vi. SMS Alerts Facility by depository: I/We consent to CDSL/NSDL providing to the service provider such information pertaining to account/transactions in my/ our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number. I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ We further undertake to pay fee/charges as may be levied by the depository from time to time. I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

**I/We declare these details to be correct and provide authorisation for above points per my/our signature affixed on page 21 of this form.**

## DEPOSITORY CHARGES

A/c Maintenance Charges*	<input type="checkbox"/> Yearly Rs. 1,000/- + Applicable Taxes
Credit Charges	NIL
Debit Charges	NIL

Broking Services			Other Charges	
BROKERAGE (CASH)	STANDARD RATE	QUOTED RATE		Standard charges
Intra-day	0.05%		Statutory charges at the time of account opening	Nil
Delivery: (Normal) settlement	0.50%		Advance/Deposit	Nil
Exchange Trade for Trade and Z group scrip	0.75%		Annual Maintenance Charges	Rs. 1000 p.a.
Brokerage (Futures)	0.05%		Early Pay In	Rs.15 per ISIN request
Brokerage (Options) Minimum	1% of Premium or Rs. 100/- per lot whichever is higher		On Market**	Rs.15 per ISIN request
Minimum Brokerage	0.05 per share or 0.05% whichever is higher		Margin Pledge / Margin Unpledged	Rs.15 per ISIN request
Auction Charges	1.00%		Transaction OFF Market Internal (Debit)**	Rs.15 per ISIN request
Currency Brokerage (Futures)	Rs. 25 per lot		Transaction OFF Market Outside* (Debit)	Per ISIN 0.01% of Txn Value (Min Charges Rs.30/- and Maximum Rs.5000)
Currency Brokerage (Options)	Rs. 10 per lot		Pledge Creation Internal	Rs.50 per ISIN request
<b>BROKERAGE (COMMODITIES)</b>	<b>STANDARD RATE</b>	<b>QUOTED RATE</b>	Pledge Creation Outside*	Per ISIN-0.01% of Txn Value (Min Charges Rs.50/- and Maximum Rs.5000)
First Leg	0.05%		Pledge Invocation	Rs.50 per ISIN request
Square Off	0.05%		Remat	At Actuals
Minimum Per Unit	Rs. 0.05%		NDU	At Actuals
Delivery Normal Settlement	0.25%		Demat	Rs. 100 per Certificate (Fixed Rs.100 per DRF )
Options	Rs. 100/- per lot		Inter Depository Debit (NSDL to CDSL & Vice Versa)	Per ISIN 0.01% of Txn Value (Min Charges Rs.30/- and Maximum Rs.5000)

\* Outside - Target DP is other than 360 ONE DP.

\*\* NSDL and CDSL charge settlement fee at the rate of ₹ 4.00 and ₹ 3.50 respectively per debit instruction to Depository Participant.

The annual maintenance charges for Basic Services Demat account (BSDA) will be NIL & all other charges will remain the same as per above tariff.

## Notes:

Delayed Payment Charges - Any amount which are overdue from the client towards trading either in cash or derivative segments or on account of any other reason, the Client will be charged delayed payment charges at the rate of 18% per annum or such other rate as may be determined by the Stock Broker.

- The above charges are exclusive of Applicable Taxes, Securities Transaction Tax, other charges and stamp duty. The same shall be charged to the Client's account on actual basis.
- Charges/service standards are subject to revision at sole discretion of 360 ONE Distribution Services Ltd. and as informed by communication available on website or sent by ordinary post/ E- mail.
- Statutory and other levies being charges related to the execution and/ or settlement of transactions shall be separately chargeable as in force from time to time.
- Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- Management reserves the right to freeze, discontinue or suspend any account if required.
- In case of expiry of future contracts and exercise and assignment of option, Derivatives Settlement Charges may be levied.
- In case of buy / sell of same security during the day, the brokerage will be levied on higher side of the transaction amount/ price for both intra- day and delivery transactions.
- Brokerage is also applicable on Expiry / Exercise / Assignment of Options Contract
- Demat charges shall be applicable for mutual fund transactions.

I/we have read & understood all documents & I/we hereby sign all of them as mentioned below

1.KYC Information, Additional/Mandatory Details, Mobile / Email Declaration & FATCA/ CRS / UBO

2.Investment Risk Profile

3. Terms and Conditions

4. Applicant Declaration / Consent

5. Authorisations

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
SIGNATURE			

## APPLICANT DECLARATION / CONSENT

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/ our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it I/We hereby authorize 360 ONE Distribution Services Limited to disclose, share, remit in any form, mode or manner, all/ any of the information provided by me/ us, including all changes, updates to such information as and when provided by me/ us to associates of 360 ONE Group, issuers, brokers, banks and other relevant parties ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities/agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/ us of the same, Further, I/We authorize to share the given information to other Authorised Parties to facilitate single submission / updation & for other relevant purposes, I/We also undertake to keep you informed in writing about any changes / modification to the above information in future promptly, i.e., within 30 days and also undertake to provide any other additional information as may be required at your end, As may be required by domestic or overseas regulators / tax authorities, I/We authorize the Authorised Parties to withhold and pay out any sums from your account or close or suspend your account(s) without any obligation of advising me of the same. I/We hereby authorise you to kindly update/modify KRA/CKYC basis the documents submitted and also to update the account details basis any changes done on KRA/CKYC. The purpose of collection/usage of Aadhaar number including demographic information is to comply with applicable laws/rules/regulations and provision of the said data is mandatory as per applicable laws/rules/regulations.

I/We hereby provide my/our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/ authenticating and (iii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA. I/We hereby provide my/our consent for sharing/disclosed of the Aadhaar number(s) including demographic information with SEBI registered intermediaries for the purpose of updating all my/our accounts with my/our PAN.

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes there in, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby declare that I am not making this application for the purpose of contravention of any Act. Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time.

I/We hereby declare that I/we are Fit & Proper person as per regulation 20 of SECC regulation 2012 for executing transactions in the securities of the listed exchanges.

I hereby consent to receiving information from Central KYC/ KRA Registry through SMS/Email on the above registered number /email address.

I/We confirm having read/been explained and understood the contents of the document on policy and procedures and the tariff sheet. I/We confirm having received a copy of the following documents and further confirm having read and understood the contents of these documents:- Rights and Obligations of Stock Rights and Obligations of Stock Brokers/Commodity Brokers, Sub-Brokers and Clients as prescribed by SEBI and Stock Exchanges

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories Risk disclosure Document for Capital and Derivatives Segment Guidance Note- Do's and Do n'ts for Trading on the Exchange (s) for Investors Policies and Procedures applicable to clients.

I/We do hereby agree to be bound by such provisions as outlined in these documents.

I/We further understand that any change in the said documents including the "Policies and Procedures" shall be made available on the website of 360 ONE DSL and I/ We shall keep myself updated of the same.

In case non resident account, I/We also declare that I/We have complied and will continue to comply with FEMA regulation.

I/We hereby consent to receiving information from central KYC Registry through SMS/Email on the above registered number / email address.

I/We hereby agree that 360 ONE DSL may assign/transfer entire or part of its broking, depository participant and/or distribution services, to its associate or group companies, without prior consent of the client.

I/We agree that the Broking account will be opened in the name of the first applicant only.

The instruction/authorization received from the account holder(s)/authorized representative as per mode of holding stated in Schedule 1 to the Power of Attorney on shall be executed by the attorney.

☐ I/ We consent to opt in for the IWA- 360 ONE Wealth WhatsApp Channel covering services like viewing of portfolio statements, query management, updates on product offerings and such other services as may be offered from time to time. I/ We understand that WhatsApp is a communications service provided by a third party, and 360 ONE Wealth will not be responsible for confidentiality and storage of data on this application. I also understand that I can unsubscribe from this service at any time.

I/We hereby also give my/our consent to download my/our KYC Records from the Central KYC Registry (CKYCR) & KYC Registration agency (KRA), only for the purpose of verification of my/our identity and address from the database of CKYC & KRA Registry. I/We understand that my/our KYC record includes my/our KYC records /Personal information such as my/our name, address, date of birth, PAN number etc. Further kindly treat this as a one-time consent from me/us for downloading my/our KYC records from the Central KYC Registry (CKYCR)/KYC Registration agency (KRA) as & when the same would be required for any investment purposes or for any modifications to be done in my/our accounts.

**I/We declare these details to be correct and provide declaration for above points per my/our signature affixed on page 21 of this form.**

Date:

To

The Depository Department  
**360 ONE Distribution Services Limited**  
Mumbai.

Dear Sir,

Subject: Registration of Power of Attorney on my /our Depository (DP) Account \_\_\_\_\_ maintained with **360 ONE Distribution Services Limited** (The "Company")

I, / We have granted a Power of Attorney to **360 ONE Distribution Services Limited** to allow operations in my / our above-mentioned account with you. The attested copy of POA is enclosed. I / We will inform the Company immediately in writing, incase the POA is revoked by me / us. Till such time the Company can continue to act on the POA.

I/We agree that any action taken by the Company shall be in good faith. I/We state that the Company shall not held liable for any direct or indirect loss, damage, costs, claims and expenses whatsoever resulting as consequence or caused or contributed by any event or relating to its action in relation to this Power of Attorney

Kindly arrange to register the subject POA in your records.

Thanking You,

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
<b>SIGNATURE</b>			

Voluntary and Limited purpose Power of Attorney (POA) in favour of 360 ONE DSL for operational requirements as per client authorization/ instruction.

**POWER OF ATTORNEY (POA) IN FAVOUR OF 360 ONE DISTRIBUTION SERVICES LTD. (360 ONE DSL)**

This POA is made by the persons listed in Schedule 1 in favour of "360 ONE Distribution Services Ltd. (360 ONE DSL)", a company incorporated under the provisions of the Companies Act, 1956 in India and having its registered office at address 360 ONE Centre, Kamala City, Senapati Bapat Marg, Lower Parel Mumbai 400 013 (hereinafter referred to as '360 ONE DSL, an expression deemed to mean and include its successors and assigns) WHEREAS 360 ONE Distribution Services Ltd is a member of the National Stock Exchange of India Limited ("NSE"), Bombay Stock Exchange Limited ("BSE"), NCDEX and MCX bearing SEBI registration nos. INZ000296339.

AND WHEREAS 360 ONE Distribution Services Ltd. (360 ONE DSL) is Participant with the National Securities Depository Limited (hereinafter referred to as "NSDL") and with Central Depository Services (India) Limited (CDSL) having SEBI registration number – IN-DP-573-2021.

AND WHEREAS 360 ONE Distribution Services Ltd. (360 ONE DSL) is registered with Association of Mutual Funds in India (AMFI) as Mutual Fund Distributor having Registration no. ARN-181727. AND WHEREAS 360 ONE DSL offers distribution of Initial Public Offers/Follow on Public Offers, Offer for Sale, Mutual Funds, Alternate Investment Funds, Bonds/Debts, National Pension Scheme and other financial products;

AND WHEREAS I/We wish to avail / I/We am/ are a client availing of the services offered by 360 ONE DSL and has entered into necessary documents/ agreement(s) ("Client Agreements") with 360 ONE DSL for transacting in securities with/ without On- Line trading/ E-broking & web-based facilities and/ or services through its website www.360.one or any other website used for offering said Services.

AND WHEREAS for facilitating smooth operations of the said services being availed from 360 ONE DSL by me/ us, I/ We am/ are desirous of appointing an attorney and confer upon it powers hereinafter stated. NOW THESE PRESENTS WITNESS that I/ we, do hereby, jointly, and severally nominate, constitute and appoint "360 ONE Distribution Services Ltd. (360 ONE DSL)" being a Stock-Broker and Depository Participant registered with Securities and Exchange Board of India ("SEBI"). I/We, do hereby, jointly and severally nominate, constitute and appoint "360 ONE Distribution Services Ltd." as distributor of various financial products, acting through any of its directors, officers and/ or agents, as my/ our true and lawful Constituted Attorney

(hereinafter referred to as the said Attorney) for me/ us, in my/our name and on my/ our behalf and at my/ our risk and costs to do, exercise and perform all or any of the following acts, deeds and things:

1. To credit my/our client designated demat accounts with any securities that are to be delivered to me/us/borrowed by me/us.
2. Generally, to do all such acts, deeds, matters and things as may be necessary for or incidental to ensure that all payments and obligations for transactions undertaken by me/us under the agreements are duly and properly completed.
3. To operate the Bank Account on my/our behalf in connection with the Distribution Account and perform the following functions:
  - i. To withdraw or transfer any sums from the Bank Account towards any transactions/ obligations to the Stock Exchanges/360 ONE WAM Limited and its subsidiaries & associates acting in the capacity of the Stock Brokers / 360 ONE DSL, irrespective of debit or credit balance in my ledger statement of distribution / distribution account;
  - ii. To set-off any sum of monies from the Bank Account against any outstanding amount payable by me/us to 360 ONE DSL;
  - iii. To prepare sign and submit all the forms, statements and declarations as may be required in respect of the Bank Account and collect cheque books/leaves/bank statement from the bank in respect of the Bank Account opened in connection with the distribution services account opened with under the power of attorney to 360 ONE DSL.
  - iv. to execute all instructions given by me / us in relation to the operation of the bank accounts.
4. Pursuant to my/ our instruction, to make necessary applications on my/ our behalf to any officials or authorities in India, including but not limited to, the Central Government, and/or the Reserve Bank Of India, Income Tax Authority, Stock Exchanges, SEBI in connection with my/ our purchase/ sale/ transfer holding and continuing to hold securities, and to represent me in all respects before such authority/ies and establish without encumbrance the ownership of securities in my name..

Pursuant to instructions received from me/us, to make investments in various securities and financial products i.e. Mutual Funds, Alternate Investment Funds, Bonds/Debts, National Pension Scheme, PMS and other financial products from the credit balance available in ledger statement of distribution account and/or redeem the investments from the above towards meeting my obligations/ledger debits towards facilitating my investments/disinvestments and in this regard 360 ONE DSL is authorized:

- i. To enable/execute the transactions through my designated Broking account/Demat account/Bank account/360 ONE DSL ledger account/IPO, Bonds & Debts Account/Direct Investment account from time to time.
  - ii. To sign/execute/submit necessary application/ instructions/forms /intimation as may be required by the respective Fund Houses/ Institutions/Banks/Issuers/Companies or other entities for purchase, sell, redemption or transfer of Securities etc. through physical or electronic or internet platforms from time to time.
5. The term "Securities" shall include shares, scrips, stocks, bonds, warrants, options, futures, derivatives, convertible debentures, nonconvertible debentures, securitized debt instruments, fixed return investment, equity linked instruments or other marketable Securities of a like nature in or of any incorporated company or other body corporate, negotiable instruments including usance Bills of Exchange, deposits or other money market instruments, commercial paper, certificate of deposit, units issued by Unit Trust of India and units issued by Mutual Funds Alternative Investment Funds (AIFs), commodity warehouse receipts, mortgage backed or other asset backed Securities issued by any institution or body corporate cumulative convertible preference shares issued by any incorporated company and- Securities issued by any incorporated company and Securities issued by the Central Government or a State Government for the purpose of raising public loan and having one of the forms specified in Clause (2) of Section 2 of the Public Debt Act, 1944, any other new form of capital or money market instruments that may be issued in the future by any incorporated company/firm/institution or Government.
  6. Pursuant to my/ our instruction or instruction of my/our Authorised Representative, to apply for various products like Public issues of securities including debentures, rights, offer of shares, tendering shares in open offers etc.
  7. Pursuant to instructions received from me / us from the persons (of the POA (general or specific) to apply for various products and securities including Mutual Funds, Alternative Investment Funds, Structured Products, Public issues of securities including shares, debentures, rights, offer for sale, tendering shares in open offers etc. Pursuant to instructions received from me / us the persons of the POA to acquire by subscribing to or by purchase of securities or any other investment products and to sell, transfer and endorse the same or redeem the same or otherwise deal in the securities and/or any other investment products including but not limited to Initial Public Offerings, Further Public Offerings, Buy Back Offers, Right Issues either through internet using identification number issued by any Authority from time to time or otherwise, and/or to sign and to execute all transfer deeds whether as transferor or transferee and such other instruments, applications and papers as may be necessary for acquiring or transferring/ redeeming the same, marking pledge/lien on such securities and/or for transferring the investments in the units of Mutual Funds from one scheme to another or between Mutual Funds and/or otherwise as may be required to deal in the securities or other investment products.
  8. Pursuant to my/ our instruction or instruction of my/ our Authorised Representative, to make applications for or to renounce and sign renunciation forms in respect of bonds/ debentures, right shares and additional shares of any Company/ Body/ Authority and to receive and hold such rights or additional shares bonds or debentures.
  9. Pursuant to our instructions, to issue orders and instructions for acquisitions and disposal of investments for and on behalf of myself/ourselves and to purchase or otherwise acquire, sell or otherwise dispose off and invest in securities.
  10. To sign the necessary forms and other documents if any and to file the same with the company/ies, MF's, AIFs concerned for purchase, sell, redemption or otherwise transfer of such securities / AIFs and transferring it in my/ our name.
  11. To forward all such applications placed through the website to the online-IPO module of the concerned Exchange or owner/ issuer of Investment Product.
  12. To receive statements and other documents pertaining to the above units/ securities and to acknowledge receipt of the same.
  13. To do all such acts and things as may be necessary to effect the subscription/ purchase/ redemption or any other transaction in any securities and/ or Investment Product for which services are availed from 360 ONE DSL.
  14. To debit the purchase price of such securities or any other fees/charges etc. due to 360 ONE DSL and to discharge all obligation in this regard on my/ our behalf to 360 ONE DSL, in my account with the designated bank
  15. To execute the share transfer requests given by me/us through the website or any other medium and process the documents authenticated by authorized signatories empowered to do so in this regard.
  16. To operate and to give delivery/ receive instructions, borrowing and lending instructions, pledge instructions, pledge closure and to do all such other things that may be necessary in the course of business relating to operation of client designated demat account(s) or towards the obligation for transactions done telephone, through 360 ONE DSL on NSE, BSE and any other Exchange, under my/ our instructions.
  17. To execute the share transfer requests given by me/us through the website or any other medium and process the documents authenticated by authorized signatories empowered to do so in this regard.
  18. To square off at its discretion my/ our position of transactions which are inadequately funded in terms of margins or to bring them in line with exposure limits.
  19. To demand, receive and give good and effectual receipt(s) and discharge(s) for all or any dividends, interest, bonuses or any other sum(s) and/ or income arising from the shares, debentures, units and other investments and to sign and endorse pay orders, dividend/ interest warrants or certificates, receive all debts, sums of money, principal, interest, dividend or other dues of whatever nature or account which are now or at any time due and payable and belong to me/us.
  20. For the purpose of the aforesaid to sign contracts, agreements, transfers, acceptances, receipts, or other instruments, documents and forms, to accept and carry out correspondence with such person(s) or authority/ authorities or department(s) and to do all such lawful acts requisite for effecting the same.
  21. To correspond with and give notice to the corresponding Asset Management Company/Body Corporate/Registrar & Transfer Agent of securities including but not limited to giving instructions with regard to nomination/change in investment plans/any other changes that maybe necessitated/instructed by me/us.
  22. To comply and/ or cause to be complied with all statutory and other requirements attached to or arising out of these premises and for these



purpose to take such steps and actions necessary or proper, including signing of affidavits, indemnity, declarations, legal documents, deeds and writings required.

23. To send consolidated summary of my/our scrip wise buy and sell positions taken with average rates by way of SMS/ e-mail at my/our registered mobile no./email id as provided by me/us through contract note or any other intimation, on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.
24. To arrange to return to me/ us the securities that may have been received by 360 ONE DSL erroneously or those securities that 360 ONE DSL is not entitled to receive from me/us
25. For all or any of the purpose aforesaid to appoint from time to time a representative and to revoke such representation but so that the appointment of any such representative shall not affect or prejudice the rights or powers of the Attorney to act hereunder and the Attorney may continue to do so notwithstanding such appointment
26. To temporarily invest, without my/our consent, the credit balance which is lying idle in my/our ledger and/or bank statement of distribution account, in liquid assets including units of liquid, money market and ultra-short- term schemes of mutual funds and also redeem/sell the said temporary investment(s);
27. To redeem the units of any investment in liquid, money market and ultra-short-term schemes of mutual funds and also redeem/sell the said temporary investment(s) for purpose of payment of any fees, dues, obligations and charges due to 360 ONE DSL, its subsidiaries and associates.
28. To instruct the bank to transfer the funds and debit my / our bank account(s) mentioned hereunder to meet with the following requirements
  - i. Towards meeting the settlement obligations / margin requirements in connection with the trades executed by me/us in connection with the trades executed by me/us through 360 ONE WAM Limited and its subsidiaries & associates acting in the capacity of the Stock Brokers,
  - ii. To recover any outstanding amount due/debit balance as reflecting in my ledger statement arising in connection with the trades executed by me/us through 360 ONE WAM Limited and its subsidiaries & associates acting in the capacity of the Stock Brokers.
  - iii Towards the payment for subscription of financial products/ facilities/ services through 360 ONE DSL like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares etc.
  - iv. To pay any other monies/fees/charges/cost expenses etc. due payable to 360 ONE DSL for availing/subscribing to facilities/services availed by me/us.
  - v. To invest available credit balance in any of financial products as per my/our instruction to 360 ONE DSL.
  - vi. To transfer funds by debiting my / our bank account as per my/our instructions.
29. To prepare, complete, sign and submit all forms, statements and declarations as may be required in respect of operating of the bank account(s).
30. To make, draw, sign, endorse, negotiate, accept and release as the case may be cheques, drafts, pay orders, telegraphic transfers/direct transfers on the internet or other securities for payment of money whether debit or credit in my/our account(s) with the 360 ONE DSL.
31. To make, sign and execute all forms and documents as required to operate depository account with depository participant and to issue

instructions relating to dematerialization or rematerialising of securities, freezing of accounts, to block and/or debit the account, to give delivery/receipt instructions, pledge instruction, pledge closure instructions, lending and borrowing instructions, and to do all such other things that may be required in the course of business relating to the depository account opened on my/our behalf including closure of the account if deemed necessary or expedient. Subject to Exchange Control Regulations in India to demand, receive and give good and effectual receipt(s) and discharge(s) for all or any dividends, interest, bonuses or any other sum(s) and/or income from the shares, debentures, units and other investments and to sign and endorse pay orders, dividend or other dues of whatever nature or account which are now or at any time may be due and payable and belong to me/or us on any account(s).

32. To enter into and execute such deeds, documents and writings as may be required for the purposes of operating the bank account.
  33. To prepare, complete, sign and submit all forms, documents, statements and declarations as may be required in respect of the operating the bank account(s).
  34. To receive and deposit the monies realized from sale of the securities or any other financial products and all interest/ dividends in my/our behalf in my/our bank account;
  35. 360 ONE DSL may invest/redeem the available credit balance in my /our ledger account/demat account/bank account in such other securities and financial products, as instructed by me/us;
  36. To do or omit to do all such acts and things as 360 ONE DSL may in its discretion consider to be necessary or desirable in order to exercise its powers hereunder or to comply with any laws, orders, rules, regulations or directions of any government or regulatory or other authorities.
  37. My/ Our Attorney 360 ONE DSL shall not be liable for any loss that may result from failure/ inability of electronic connectivity or rejection of my/ our application for any reason whatsoever. My / our Attorney 360 ONE DSL shall not be liable for any transaction processed on the basis of information provided by 360 ONE DSL to the issuers / owners of securities or investment products in the applications or otherwise based on the information provided by me/ us.
  38. To attend, vote and otherwise act as attorney or proxy at meetings of the members, creditors, debentures holders of any company in which Securities are acquired or held pursuant to this authority for and on my/our behalf and/or per my/our instructions.
  39. To buy/sell foreign exchange on my/our behalf and to sign all documents related to repatriating the fund from my/our account.
  40. It is hereby clarified and declared that the Attorney being a body. corporate, the power herein above granted may be exercised by any of its agents or employees to whom the Attorney may delegate any of the powers aforesaid and accordingly the Attorney may appoint and remove any sub-agent or Attorney from time to time as it may consider appropriate.
  41. The Attorney shall have the sole authority and power to operate the said Account with the Bank and I/we hereby declare and undertake not to operate such Account during the currency of this Power of Attorney in any manner whatsoever My/ Our Attorney 360 ONE DSL shall not be liable for any loss that may result from failure/ inability of electronic connectivity or rejection of my/ our application for any reason whatsoever.
  42. I/We hereby agree that all such acts done by my/ our above- mentioned attorney shall be deemed to be acts done by me/ us and if necessary, shall be ratified by me/ us on the instructions of the said attorney.
- AND I/ We hereby agree that 360 ONE DSL shall exercise such powers /authorities conferred under the above Power of Attorney only pursuant



to the instructions in that behalf given by me/ us or my/ our Authorised Representative, which may be given orally, over telephone, through the internet, electronically or in any other manner acceptable to 360 ONE DSL and such instructions shall be conclusive and binding on me/ us.

360 ONE DSL shall be entitled to assign this power of attorney to any of its affiliated entities, associates, group companies, as the case may be, in the event of transfer of business to any of such entities, and Client confirms that it agrees to such assignment.

My/ Our "Authorised Representative" for the purpose this Power of Attorney shall mean Mr./Ms. \_\_\_\_\_ such other person appointed by me/ us and intimated by me/ us in writing to the Attorney from time to time.

AND I / We hereby agree that all such acts done by my / our abovementioned attorney shall be deemed to be acts done by me / us and if necessary, shall be ratified by me/ us on the instructions of the said attorney.

AND I / WE DO HEREBY CONFIRM AND DECLARE THAT this

Power of Attorney shall be valid, effective and operative and shall remain in force till the termination of the Member-Client Agreement and/ or any other agreement(s) that I / We have entered into with 360 ONE DSL I/We may revoke this Power of Attorney at any time by giving a notice to 360 ONE DSL in writing and the cessation of this authority shall not affect or impair any act thereto done in exercise of these presents.

Such notice shall be duly signed by me/ us and should be received at : 360 ONE Centre, Kamala City, Senapati Bapat Marg, Lower Parel Mumbai 400 013. I/ We hereby undertake to ensure that prior to the revocation of this power of attorney all amounts of debit balances including penalties and other charges & expenses till the date of revocation due to the Attorney as per its records are paid/cleared in full.

This document shall be subject to the jurisdiction of the Courts in Mumbai. MADE and executed at \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_

#### Schedule 1

	Name	Age	Address
<b>Sole/First Authorised Signatory</b>			
<b>Second Authorised Signatory</b>			
<b>Third Authorised Signatory</b>			

Annexure Enclosed - Schedule 2

IN WITNESS WHEREOF I/We have hereunto set and subscribed my/our respective hands to these presents the day and the year herein above written Signed and Delivered by

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
<b>SIGNATURE</b>			

CLIENT'S WITNESS FOR POWER OF ATTORNEY (for and on behalf of the Client)

<b>Witness 1 - Name</b>		<b>Witness 2 - Name</b>	
<b>Address</b>		<b>Address</b>	
<b>Signature</b>		<b>Signature</b>	

We hereby agree to exercise the powers conferred upon us in terms of the clauses mentioned hereinabove.

For **360 ONE DISTRIBUTION SERVICES LTD.**

Date : \_\_\_\_\_

**Schedule - 2 360 ONE DSL Designated Demat A/c with 360 ONE Distribution Services Ltd**

Sr No	Depository	Category	DP Name	DP ID	Client/BO Id
1	CDSL	CM POOL	360 ONE DISTRIBUTION SERVICES LTD	12083300	00000042
2	CDSL	CM POOL	360 ONE DISTRIBUTION SERVICES LTD	12083300	00000038
3	CDSL	CM PRINCIPAL	360 ONE DISTRIBUTION SERVICES LTD	12083300	00000023
4	CDSL	CM POOL	360 ONE DISTRIBUTION SERVICES LTD	12083300	00000116
5	NSDL	CM POOL	360 ONE DISTRIBUTION SERVICES LTD	IN304158	10000012
6	NSDL	CM POOL	360 ONE DISTRIBUTION SERVICES LTD	IN304158	10000004
7	NSDL	CLIENT UNPAID SECURITIES PLEDGE ACCOUNT TM/CM	360 ONE DISTRIBUTION SERVICES LTD	IN304158	10244639
8	CDSL	CLIENT UNPAID SECURITIES PLEDGE ACCOUNT TM/CM	360 ONE DISTRIBUTION SERVICES LTD	12083300	00004412
9	NSDL	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT	360 ONE DISTRIBUTION SERVICES LTD	IN304158	10156592
10	NSDL	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT	360 ONE DISTRIBUTION SERVICES LTD	IN304158	10159101
11	NSDL	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT	360 ONE DISTRIBUTION SERVICES LTD	IN304158	10156584
12	NSDL	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT	360 ONE DISTRIBUTION SERVICES LTD	IN304158	10164650
13	NSDL	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT	360 ONE DISTRIBUTION SERVICES LTD	IN304158	10156605
14	NSDL	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT	360 ONE DISTRIBUTION SERVICES LTD	IN304158	10164668
15	CDSL	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT	360 ONE DISTRIBUTION SERVICES LTD	12083300	00003229
16	CDSL	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT	360 ONE DISTRIBUTION SERVICES LTD	12083300	00003096
17	CDSL	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT	360 ONE DISTRIBUTION SERVICES LTD	12083300	00003136
18	CDSL	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT	360 ONE DISTRIBUTION SERVICES LTD	12083300	00003214
19	CDSL	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT	360 ONE DISTRIBUTION SERVICES LTD	12083300	00003140
20	CDSL	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT	360 ONE DISTRIBUTION SERVICES LTD	12083300	00003081

**360 ONE DISTRIBUTION SERVICES LIMITED**

Demat Debit and Pledge Instruction (DDPI) is required for the purpose of enabling stock exchange settlement and margin pledges. DDPI enables you not to give DIS / pledge slips for stock exchange settlement / margin pledge transactions.

**DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)**

Issued to 360 ONE Distribution Services Ltd:

S. No.	Purpose
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through 360 ONE Distribution Services Ltd (Stock Broker)
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms
4.	Tendering shares in open offers through Stock Exchange platforms

\* the same may be eSigned or signed physically

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
<b>SIGNATURE</b>			

## TERMS AND CONDITIONS FOR AVAILING THE SERVICES OF DISTRIBUTION OF SECURITIES/ FINANCIAL PRODUCTS AND DIRECT INVESTMENT PRODUCTS OFFERED BY 360 ONE DSL

360 ONE Distribution Services Ltd. being the stock broker is in the business of providing Trading cum Demat Services to its clients. In additions, 360 ONE DSL is also engaged in marketing and distribution of mutual funds, registered with the Association of Mutual Funds in India (AMFI) as a Mutual Fund Distributor and involved in distribution of various other securities and financial products including products offered by its affiliates or group companies. 360 ONE DSL provides online/offline facility to apply/purchase/ redeem/sale/buyback or otherwise deal in the units of Mutual Funds and other securities including transaction services opted in Account Opening Form (hereinafter referred to as 'transactions').

The Client wishes to avail of the facilities/services through 360 ONE DSL on the following terms and conditions set forth herein below. The terms and conditions contained herein are binding on the Client. The Client has agreed to obtain facilities/services from the 360 ONE DSL after fully understanding the entire terms and conditions. The terms and conditions shall be subject to amendment, if any from time to time at the sole discretion of 360 ONE DSL and such amendments shall bind on the client. For the purpose of the present Terms and Conditions, National Stock Exchange of India Limited and the Bombay Stock Exchange Limited shall be known as the Stock Exchanges.

- 1) The Client has option to authorize 360 ONE DSL by executing a Power of Attorney in favour of the 360 ONE DSL to execute instructions of the Client or its authorized representative with regard to the transactions including but not limited to acquire by subscribing to or by purchase of securities and to sell, transfer, endorse the securities (including but not limited to Initial Public Offerings, Buy back offers, right issues etc.) or redeem the same either through Online (using the identification number issued by any Mutual Fund from time to time) or otherwise and/or to sign and execute all transfer deeds whether as transferor or transferee and such other instruments, application and papers as may be necessary for the purpose of acquiring, transferring/ redeeming the same, marking pledge/lien on such securities and/or for transferring the investments in the units of Mutual Fund from one scheme to another or between mutual Funds, to make application for, or to renounce and sign renunciation forms in respect of bonds/debentures, right shares and additional shares of any company/Body/Authority and to receive and hold such rights or additional shares, bonds or debentures.
- 2) All instructions given by the Client/its authorized representative shall be binding on the Client and 360 ONE DSL may furnish a certified copy of the Power of Attorney and other documents on behalf of the Client to the Company/ Registrar/Mutual Fund or any third party.
- 3) The Client agrees that the instructions with regard to the transactions shall be in the Client's sole name or in the name of the Client jointly with other persons as intimated by the Client.
- 4) The instructions with regard to the transactions may be given through by sending email from registered email ID or by making the call from registered telephone number/mobile number or any other reasonable mode as permitted by 360 ONE DSL.
- 5) 360 ONE DSL may refuse to act on any instructions unless they are given in the manner and form acceptable to 360 ONE DSL. However, 360 ONE DSL shall have no responsibility to determine the authenticity of any instructions given or purported to be given by the Client. The Client shall not hold 360 ONE DSL liable on account of 360 ONE DSL acting in good faith on instructions given by the Client or its authorized representative.
- 6) With respect to Referral Products, 360 ONE DSL shall not be responsible for any manner whatsoever and the client shall directly engage with the third party issuer(s) in this regard.
- 7) It is the duty of the client to acknowledge all relevant disclosures and ensure to have fully read and understood the detailed terms and conditions of

relevant offer documents prior to investing.

- 8) 360 ONE DSL may also earn fees/commissions from the product provider(s) and issuer(s) as a distributor or arranger.
- 9) 360 ONE DSL may earn remunerations or commissions (in any form whatsoever or from any of its associates or any intermediary) for any distribution or execution services in respect of the products or securities for which the distribution service is provided to the client.
- 10) As per AMFI guidelines, disclosures relating to commissions on mutual fund distribution activities are available on our website [www.360.one](http://www.360.one). Associates of 360 ONE DSL act as Investment Manager and Trustee to Mutual Fund and Alternative Investment Funds.
- 11) 360 ONE DSL at its own discretion may not carry out the Client's instruction, where the 360 ONE DSL has reasons to believe (which discretion of 360 ONE DSL the Client shall not question or dispute) that the instructions are not genuine or are otherwise improper/ unclear/raise a doubt. 360 ONE DSL shall not be liable if any instructions are not carried/ partly carried out for any reason, whatsoever. All transactions are subject to the applicable regulatory norms and/or 360 ONE DSL's internal policy requirements.
- 12) The Client understands and agrees that the mutual fund/RTA/Issuer Company/stock exchanges/may cancel, close or reject any contract suo-moto without giving any reason thereof. In the event of such cancellation, closure or rejection, 360 ONE DSL shall be entitled to cancel relative contract(s) with the Client and the Client shall not raise any objection and for it and hold 360 ONE DSL liable/responsible for it.
- 13) In case of Mutual Funds, the Client agrees and acknowledges that 360 ONE DSL shall provide the facilities as agreed between the parties only in respect of the selected Mutual Funds, with whom 360 ONE DSL has entered into a separate arrangement/agreement.
- 14) The Client undertakes to read all the relevant Offer Documents and addendums thereto and terms and conditions of all schemes of all mutual funds and other issues of securities including but not limited to Initial Public Offerings/Public Offers, Rights issue and Buy Back offers; before entering into any transactions the Client agrees to abide by the terms, conditions, rules and regulations as applicable from time to time. All relevant documents in this regard shall be made available by 360 ONE DSL to the Client.
- 15) The Parties shall ensure that the transactions through 360 ONE DSL are executed in accordance with the applicable laws, byelaws, rules and regulations governing the specific investment product. 360 ONE DSL may, from time to time, impose and vary limits on the orders which the Client may place, including but not limited to exposure limits, turnover limits and limits as to numbers. The Client agrees that 360 ONE DSL shall not be responsible for any variation or reduction that may be deemed necessary by 360 ONE DSL based on its risk perception and other relevant factors.  
  
The Client understands that direct investments in bonds /debentures/equity/ equity related instruments/mutual fund/ venture capital fund may carry significant liquidity, credit and default risk, pricing risk. including the possible loss of principal amount invested. Past results are not a guarantee of future performance; yield or performance fluctuates and may not be a reflection of past results. The Client shall make investment after carefully understanding the Investment products. 360 ONE DSL shall not be liable or held liable for any consequences thereof.
- 16) The Client expressly agree and acknowledge that any information contained in the 360 ONE DSL's Brochures or other materials or otherwise communicated by 360 ONE DSL shall not be constructed as investment advice and that all decisions

to purchase or sell units/securities made by the Client and shall be on the basis of own personal judgment arrived at after due consideration. 360 ONE DSL not assure or promise any bonus, interest, dividend, guaranteed returns and profit.

- 17) 360 ONE DSL shall not be under any duty to verify compliance with any restriction on the Client's investment powers.
- 18) The Client is responsible for the personal and bank related details provided by the Client. Neither 360 ONE DSL nor any of the Mutual Funds/Issuers or their respective Registrars shall accept any liability which may arise as a consequence of the erroneous information provided by the Client.
- 19) The Client authorizes the 360 ONE DSL to disclose/share, all such information pertaining to the Client with the companies/ entities/subsidiaries /affiliates of 360 ONE DSL or their agents' Banks/Financial Institutions/ Statutory Bodies as may be required from time to time, for the Client to be able to avail of any or all of the services provided by 360 ONE DSL under this arrangement or any other services. The Client shall undertake not to hold 360 ONE DSL and/or companies/entities/ subsidiaries/affiliates of 360 ONE DSL and/or their agents liable or responsible for use of the aforesaid information.
- 20) In case of change of address and personal details of the Client, the Client shall intimate the same via written letter/email to 360 ONE DSL of such change.
- 21) The Client agrees and understands that the folio number of the Client in respect of the Mutual Fund schemes shall be received by 360 ONE DSL from the Asset Management Company.
- 22) Further, any change in the details of the Client including but not limited to the Demat account, Bank Account, Address, registered contact number, email ID shall be first intimated to the 360 ONE DSL who may in turn liaise with the Issuer Company/ Mutual Fund/Asset Management Company or its respective Registrars to update such changes. The Issuer Company/ Mutual Fund/Asset Management Company or its respective Registrars may reject such requests and in such an event 360 ONE DSL shall not be liable for any such rejection.
- 23) The Client further agrees that the Client shall not close/change the details of the Bank account without prior notification to 360 ONE DSL and the Client agrees that 360 ONE DSL may instruct Bank of the Client to reject any such request received from the Client.
- 24) The Client shall provide 360 ONE DSL with its Permanent Account Number (PAN). In the event the Client has mentioned "Not Applicable" against PAN in the Application Form, the Client confirms that the Client is exempted from obtaining a PAN under the provisions of the Income Tax Act, 1961. However, in the event the Client id/application is for Rs. 50,000 or more and PAN is not provided, the Client shall be required to submit Form 60 or Form 61 as the case may be together with permissible documents as proof of address.
- 25) The Client acknowledges that the purchase/application instructions shall be processed by 360 ONE DSL only after sufficient funds to cover the purchase/application price and other costs and charges are received by 360 ONE DSL.
- 26) If after execution of any transaction it is for any reason found that 360 ONE DSL has not been provided with sufficient funds by the Client, the Client shall pay the deficient amount to 360 ONE DSL forth with on demand, failing which 360 ONE DSL may (but shall not be bound to) square up the transaction at any time at the Client's sole risk and cost. Any loss arising on such squaring up will be borne solely by the Client and the Client shall pay to the 360 ONE DSL the additional amount that may be payable by the Client, the 360 ONE DSL's demand being conclusive.
- 27) The Client declares and confirms that the amount being invested by the Client either directly or through its Power of Attorney holders, in any schemes of all mutual funds or other securities including but not limited to Initial Public Offerings/Public Offers, Rights issue and Buy Back offers is obtained through legitimate sources and is not held or designed for the purpose of contravention

of the provisions of any Act, Rules and Regulations or any statute or legislation or any other applicable Laws or any Notifications, directions issued by any Governmental or Statutory Authority from time to time.

- 28) In case the Client is a Non-resident Indian, the Client confirms that the funds remitted from abroad are through approved banking channels or from the NRE/NRO/FCNR account.
- 29) If for any reasons, 360 ONE DSL is unable to carry out the transactions as instructed by the Client/Client's authorized representative to the extent of full quantity of units/securities, 360 ONE DSL shall be entitled at its discretion and the Client hereby irrevocably authorizes 360 ONE DSL to carry out a transaction of a lesser quantity of units/securities subject to the prior consent of the Client. 360 ONE DSL shall not be responsible for the non-execution of the Client's instructions for the entire quantity or the remaining quantity due to market conditions provided the prior consent of the client has been obtained.
- 30) The Client agrees and acknowledges that any instruction given or purported to be given by the Client/its authorized representative before the cut off time as may be intimated by the 360 ONE DSL to the Client from time to time, will be processed on the same day. Any instruction received after the cut off time will be processed on the next working day, if applicable.
- 31) In case of Mutual Fund, applicable Net Asset Value (NAV) shall be as per the Offer Document and SEBI Rules and Regulations. The units of scheme shall be allotted, redeemed or switched, as the case may be, at the NAV prevalent on the date of the application, if the application for purchase, redemption or switch is received by the Fund before the cut-off time as specified on the website and consistent with the terms of the scheme. Any request falling due on holiday would be processed on the next business day and respective NAV would be applicable as per Mutual Funds offer documents.
- 32) In case of other securities, the order for purchase, sell, offer under Buy Back etc. shall be accepted by 360 ONE DSL only if the same is received by the cutoff date as indicated on the website and consistent with the terms of the offer.
- 33) The Client agrees and acknowledges that after the first purchase transaction in any Mutual Fund, the Client may not be permitted to transact till the folio number is allotted. 360 ONE DSL does not accept any liability for delay in processing time at the Mutual Fund's or Registrar's end.
- 34) 360 ONE DSL shall credit the proceeds of the sale/redemption etc., for any of the Investment Products only after 360 ONE DSL has received the same unless specifically agreed otherwise.
- 35) The Client acknowledges that 360 ONE DSL or its representatives shall not be under any obligation to provide him with any tax, legal, accounting, investment advice or advice regarding the suitability or profitability of investment of any kind, nor does 360 ONE DSL or its representatives give any advice or offer any opinion with respect to the nature, potential value or suitability of any particular transaction or investment strategy.
- 36) It is explicitly stated herein that the Mutual Fund Schemes/ Offer Documents/other schemes offered by 360 ONE DSL, have not been/ shall not be understood as recommended by the 360 ONE DSL.
- 37) The Client can view his/her/its transactions on the website. A physical copy of the transactions statement or the account statement shall be sent by 360 ONE DSL only on a written request from the Client.
- 38) In case an application is made for Initial Public Offer/Public Offer/ Units of Mutual Fund through 360 ONE DSL, the Client authorizes 360 ONE DSL to collect on Client's behalf, the refund amount, if any, from the Issuer Company/ Registrar/ Asset Management Company/ Mutual Fund and subsequently credit the same to Client's Bank account, after set-off/ adjustment of dues payable by the Client on account of obligations incurred in connection with the application.
- 39) The Client further agrees that 360 ONE DSL shall not be held responsible for non-allotment of securities either fully or partly to Client, for any reason whatsoever. 360 ONE DSL shall not be held responsible in case due to some



reason the bid/application/revision instructions sent by Client is not received by it, or if the bid/application/revision could not be uploaded to the Stock Exchange, or could not be sent to the Bankers/Registrar to the issue.

- 40) 360 ONE DSL shall not be held responsible for non-receipt/delay in/incorrect receipt of fund, if any, from the Registrar/ Company. 360 ONE DSL shall not be held responsible for incorrect Tax Deduction at Source (TDS) by the Registrar/company, if applicable, or for nonreceipt or delay in/ incorrect receipt of TDS Certificate, if any from the Registrar/Company/ Mutual Fund.
- 41) 360 ONE DSL shall not be liable for any loss or damage caused by reason of failure or delay of the mutual fund to deliver any units purchased even though payment has been made for the same or failure or delay in making payment in respect of any sold though they may have been delivered.
- 42) The Client understands that the corporate actions including but not limited to Dividends, declared by the Issuer Company/Mutual Fund shall be directly paid by the Issuer Company/Mutual Fund to the Client's bank account as detail provided by the Client.
- 43) 360 ONE DSL shall also not be liable to the Client for any delay, failure or refusal of the Mutual Fund/any Issuer Company / Corporation or other body in registering or transferring units to the names of the Clients of for any interest, dividend or other loss caused to the Client arising therefrom.
- 44) The Client agrees to provide 360 ONE DSL with any confirmation/ declaration or any other document that the concerned Issuer/Asset Management Company or any other entity may from time to time require 360 ONE DSL to collect from the Client in respect of the services offered under this agreement.
- 45) 360 ONE DSL shall not be responsible for any changes in the data of any scheme as carried out in the Offer document or any other documents/material issued by Asset Management company/ Issuer Company/Mutual Fund.
- 46) 360 ONE DSL does not accept any liability for delay in processing time at the Mutual Fund's/Issuer or Registrar's end. The Client agrees that 360 ONE DSL shall not be liable or responsible for the non-execution of any transactions for any reason, whatsoever.
- 47) Neither 360 ONE DSL, nor any of the Mutual Funds/nor the issuer shall be liable for any failure to perform its obligations, to the extent that such performance had been delayed, hindered or prevented by systems failures network errors, delay or loss of data due to the aforesaid, acts of God, floods, epidemics, quarantine, riot or civil commotion and war.
- 48) The Client agrees and understands that the application in Mutual Fund/Initial Public Offering shall be subject to the applicable Acts, Rules, Regulations, guidelines, circulars, notifications, and directives issued by the Regulatory Authorities and Offer Document issued by the respective Mutual Fund/ Issuer.
- 49) The Client further understands and agrees that he/she shall not place trades at unrealistic prices from current market price of the security or trade in illiquid securities which create artificial liquidity or amounts to manipulation of prices or cross/synchronized trades.
- 50) 360 ONE DSL shall provide its services on a best efforts basis.  
However, 360 ONE DSL shall not be liable for any failure or for any loss, damage or other costs arising in any way out of:
  - a) System failure including failure of ancillary or associated systems, or fluctuation of power, or other acts of God/force majeure;
  - b) Accident, transportation, neglect, misuse, errors, frauds on the part of the Client or any agent of the Client or agents or any third party, or
  - c) Any fault in any attachments or associated equipment's of the Client
  - d) Any incidental, special or consequential damages including without limitation of loss of profit.

- 51) In the event of disputes, differences, claims and questions between the Parties arising out of these Terms and Conditions or in any way relating hereto or to any provision hereof or the construction or interpretation thereof, the Parties shall first endeavor to settle the same by friendly consultation and, failing such settlement, Both the parties agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange/regulators and circulars issued thereunder in accordance with the provisions of the Indian Arbitration and Conciliation Act, 1996. The language of Arbitration shall be English. The award of the arbitrator shall be final and binding.
- 52) Any disputes, differences or claims arising out of this Agreement, shall be referred to the Mumbai Centre for International Arbitration ("MCIA").  
The Arbitration shall be conducted in accordance with the provisions of the Arbitration and Conciliation Act, 1996 including any amendments or re-enactments thereto. The proceedings and procedure shall be conducted in the English language and the seat and place of Arbitration shall be Mumbai, India.  
The award of the arbitrator shall be final, conclusive and binding upon the Parties. However, this does not preclude a Party from seeking equitable relief, including injunction and preliminary injunction, from a court of competent jurisdiction.
- 53) The Client understand that all disputes and differences arising out of, under or in connection with these terms and conditions or anything done hereunder shall be within the exclusive jurisdiction only to the courts of Mumbai. Further these terms and conditions are subject to and shall be construed in accordance with the laws prevalent in India.
- 54) The parties understand that in case of gross negligence, or wilful default by either party, the party guilty of gross negligence or wilful default shall indemnify the other party for, any and all costs, charges, expenses, claims, losses or liabilities of any nature (direct or indirect) including reasonable legal fees and expenses incurred and/or suffered by other party resulting from any act of omission/commission (or any delay) committed by the party guilty of such gross negligence or wilful default.
- 55) The Client confirms that he/she has read and understood disclosures relating to commissions on mutual fund distribution activities, which are made are available on our website [www.360.one](http://www.360.one). He/She is also aware that 360 ONE Mutual Fund is sponsored by 360 ONE DSL & subsidiary of 360 ONE DSL manages AIF's and VC fund launched by 360 ONE group.
- 56) The Client confirms that the said distribution arrangement is a purely executionary arrangement, without any product recommendation or advice. For any product recommendation or advice the Client may seek services of the Company's Advisory Unit which is distinct and segregated.
- 57) I/We expressly agree and acknowledge that any information contained in the 360 ONE DSL Brochures or other materials or otherwise communicated by 360 ONE DSL shall not be constructed by me/us as investment advice and that all decisions to purchase or sell units/securities made by me/us shall be on the basis of my/our own personal judgment arrived at after due consideration. I/We understand and agree that the 360 ONE DSL does not in any manner:
  - a. Provide any Buy /sell or other recommendations; or
  - b. Guarantee payments on any units/Security; or
  - c. Guarantee liquidity of any units/Security; or
  - d. Make any offer to buy back any units/Security; or
  - e. Guarantee the redemption or repayment of any units on maturity; or
  - f. Guarantee the payments of interest or dividend; or
  - g. Promise, indicate or guarantee any returns; or
 If notwithstanding anything stated herein 360 ONE DSL or any employee
- 58) Registration granted by SEBI and certification from NISM in no way guarantee performance of the intermediary or provide any assurance of returns to investors.

**I/We agree to the above mentioned terms and conditions as per my/our signatures affixed on page no 21 of this form.**

**Most Important Terms and Conditions (MITC)**

(For non-custodial settled trading accounts)

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

First holder signature \_\_\_\_\_

## Policy for Voluntary Freezing/Blocking of the Online Access to the Trading Account

In compliance with SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated 12.01.2024 & NSE Circular No. 24/2024 & BSE Circular No. 20240408-12 dated 08th April 2024, we have provided a facility using which clients may put in a request to freeze/block their trading account on account of suspicious activities (e.g. if they suspect someone else has gained control over their trading account and / or if there is any unauthorised activity).

The following are the two modes of communications through which clients may request for voluntary freezing/blocking of their online trading account:

- a) By emailing from the client's registered e-mail ID to stoptrade@360.one

OR

- b) Trading Member's App / website -

Customers can visit the DSL website or app and raise a request to freeze their account by navigating:

- **360 ONE Wealth App:** Please go to the Hamburger Menu ("More" Option): an Account Freeze button has been provided near the 'Setting' button. Please click on it to raise voluntary account freeze request.
- **Client Portfolio Login:** Go to family name dropdown near the "Login to Trade" button on tool bar and please click on "Freeze Account" option to raise voluntary account freeze request.

Please note: 360 One DSL at its discretion may provide any other legally verifiable mechanism to accept such request for voluntary freezing and the same will be communicated thorough our website <https://www.360.one/wealth/dsl/>

The timelines for freezing/ blocking of the online access of the clients' trading account are as follows:

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

360 ONE DSL shall unfreeze the trading account and allow online access after carrying out necessary due diligence including investigation of the activities of the account and explaining them to you (our client). If you are satisfied and request for unfreezing, we will unfreeze the account.

It is clarified that:

- Freezing/blocking is only for the client's trading account, and there shall be no restrictions on the Risk Management activities in the Account (e.g. margin calls, settlement). All unexecuted orders of the client will be cancelled within the time stipulated in Table 1 above. However, if any orders have already been executed within this time, then the client will remain responsible for those trades. 360 ONE DSL will revert to the client within one hour of freezing on the client's open derivative positions and seek instructions on how the client would like to deal with them. If the client instructs to close these positions, these would be closed and any losses / gains accruing from such closure will be posted in the client's ledger. If the client decides to carry the positions until expiry, then the client will remain responsible for honouring all margin calls, if any, failing which, positions will be dealt by 360 ONE DSL in accordance to its Risk Management Policy, without making any further reference to the client.
- Upon receipt of freezing request from the client, 360 ONE DSL will freeze the trading account of the client at our end and will not mark the client's Unique Client Code (UCC) as "inactive" in the Exchange records.



### Policy for Good Till Cancel (GTC) Orders

NSE Circular No. 40/24 dated June 21, 2024 (download ref No. NSE/INSP/62528) requires that Brokers set down a policy for the treatment of Good Till Cancel (GTC) orders in the light of GTC orders remaining alive at discrepant prices, as market conditions change or in the event of corporate actions being declared on the stock.

It has been seen from past experience that most of the GTC orders are in the commodities space. Those are not affected by price changes resulting from corporate actions.

GTC orders relating to stocks are affected by corporate actions like dividends, issue of bonus shares, splits mergers / amalgamations and buy-backs. Cash dividends also have an impact on the price of shares, but this is usually not material and hence, can be ignored.

Keeping this context in mind, the following policy is being implemented:

1. In order to ensure that prices of open, unexecuted orders do not become discrepant with market conditions, all stock GTC orders will be cancelled automatically in 60 working days. This also means that good till date (GTD) orders cannot be input for more than 60 working days
2. When there is a corporate action on a stock (dividends, bonus shares, splits, mergers / amalgamations and buy-backs), clients receive intimation through the registrar and transfer agent of the respective company. Additionally, at least one day prior to the ex-date of the corporate action, the Broking Risk team will identify GTC orders that are pending for that stock and reach out to the respective RMs / SRMs of those clients who will in turn seek to reach out to the client on a best efforts basis in order to inform the client of the corporate action. If the client wants the order to be deleted (instruction needs to be received by the RM / SRM/ dealer of the client from the registered email / mobile number of the client), then they will get the order deleted from the pending order book. The client can place a fresh order with a different price at his / her discretion. The client can also choose to do nothing, in which case, order will remain alive until the order is cancelled in the ordinary course (after 60 working days from inception).
3. GTC orders can continue in commodities without the above constraints, since in the case of commodities, execution happens whenever liquidity is available.

For any queries on this policy, clients can reach out to their respective Relationship Managers / Service RMs/ Dealer or to the Compliance officer, Mr. Jatin Sanghani (Phone No. 022 - 4876 5225 / 360.compliance@360.one).

## ACKNOWLEDGEMENT

From:

360 ONE Distribution Services Ltd.

360 ONE Centre, Kamala City,

Senapati Bapat Marg,

Lower Parel Mumbai – 400013

DP Id: 12083300 / IN304158

Received the application from M/s \_\_\_\_\_ for opening of a trading, depository account.  
Please quote the DP ID & Client ID allotted to you in all your future correspondence.

Date \_\_\_\_\_

Participant Stamp & Signature



REGD. OFF. : 360 ONE Centre, Kamala City, Senapati Bapat Marg,  
Lower Parel Mumbai 400 013, India.

Designated Director : Anu Jain

Email : brokingcompliance@360.one

TEL. : (+91-22) 4876 5600

---

Compliance Officer : Jatin Sanghani

Email : 360.compliance@360.one

CORP. OFF. : 8th Floor, 360 ONE Centre, Kamala City, Senapati Bapat Marg,  
Lower Parel (W), Mumbai 400 013, India.

TEL. : (+91-22) 4876 5225

EMAIL : clientservicing@360.one

Investor Grievance : IG@360.one

WEBSITE : www.360.one

---

### **360 ONE Distribution Services Ltd.**

SEBI Reg. No. INZ000296339

Member of the National Stock Exchange of India Limited ("NSE") and  
BSE Limited ("BSE") on the Cash, F&O, CDS, WDM, SLBS

Member Code NSE: 90070 BSE: 6633

Member of Multi Commodity Exchange of India Ltd (MCX) &  
National Commodity & Derivatives Exchange Limited (NCDEX)

Member Code MCX: 55860 NCDEX: F01239

Depository - NSDL & CDSL - SEBI Reg. No. IN-DP-573-2021. CIN: U66120MH1995PLC228043

Research Analyst: SEBI Regn. No. INH000011431

## RM NOTE AND CONFIRMATION

## 1. PERSONAL DETAILS

Client Name			
Family Details	<input type="checkbox"/> New	<input type="checkbox"/> Existing*	(*If Existing, please confirm the following)
Family Name		FRN	
Do we map this client as the Head of family?		<input type="checkbox"/> Yes <input type="checkbox"/> No	Would you like to map held away assets as well? <input type="checkbox"/> Yes <input type="checkbox"/> No

2. CLIENT RISK CATEGORISATION UNDER PMLA ☐ Low ☐ Medium ☐ High

## 3. WHERE DID YOU GET THE REFERENCE OF THIS CLIENT?

- ☐ Self-Acquired ☐ Existing Client (if applicable please help with the name of the existing client as well)
- ☐ Acquisition Lead ☐ Any other source other than the above; Please Specify:

## 4. CLIENT BACKGROUND (Please provide a brief about the client in 2-3 lines)

## 5. OTHER DETAILS

Expected AUM (Rs. in Crs)			
Product of High Interest	<input type="checkbox"/> Direct Equity <input type="checkbox"/> Managed Accounts (Discretionary PMS)	<input type="checkbox"/> Mutual Funds <input type="checkbox"/> Structured Products <input type="checkbox"/> Commodities	<input type="checkbox"/> Bonds & Other Debts
Clients preferences (select from below:)			
Research Report	<input type="checkbox"/> Yes <input type="checkbox"/> No	Regulatory Communication	<input type="checkbox"/> Yes <input type="checkbox"/> No
Corporate Communication	<input type="checkbox"/> Yes <input type="checkbox"/> No	Gift Greetings	<input type="checkbox"/> Yes <input type="checkbox"/> No
		Product Update/Launches	<input type="checkbox"/> Yes <input type="checkbox"/> No

## 6. SUBMISSION CHECKLIST

- |   |  |
|---|--|
| 1. Complete Documentation Received as mention below:  | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 1.1 Self attested clear Pan Card and valid address proof copy                                 | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 1.2 Cancelled cheque copy (attested bank statement or passbook if cheque is not personalised) | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 1.3 Duly filled Nomination form   | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 1.4 Client Master List of Demat account   | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 1.5 Financial Details (for last 2 years)  | <input type="checkbox"/> Yes <input type="checkbox"/> No |

## 7. "VERIFIED WITH ORIGINAL" STAMP AFFIXED ON PROOFS

☐ Yes ☐ No

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Signature			

## 8. SOURCE RM (PRIMARY RM)

Name \_\_\_\_\_ Emp.Code \_\_\_\_\_

## 9. RM 2 (EQUITY RM/SUPPORTING RM)

Name \_\_\_\_\_ Emp.Code \_\_\_\_\_

## 10. SERVICE RM

Name \_\_\_\_\_ Emp.Code \_\_\_\_\_

## 11. INVESTMENT COUNSELLOR

Name \_\_\_\_\_ Emp.Code \_\_\_\_\_

## 12. DECLARATION

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

I have read and understood that if any of the requirements is not fulfilled then a penalty would be charged to me or any other action may be taken as deemed fit by the Management for noncompliance from my end.

Salesforce ID \_\_\_\_\_

Name of the Employee of 360 ONE Group \_\_\_\_\_ Emp. Code \_\_\_\_\_

Employee Signature &amp; Stamp \_\_\_\_\_ Date \_\_\_\_\_

## TOUCH POINT DETAILS

(i.e., Owner/ Promoter in case of Non-individual entity and family head in case of an individual)

<b>1</b>	Prefix <input type="checkbox"/> Dr. <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
Name _____		
Address _____		
City _____ Pin Code _____ Country _____		
Email _____		
Mobile No. _____ Tel (Off) _____		
Organization _____		
Designation _____		
Industry Type _____ Sub Industry _____		
Date of Birth _____ Marital Status _____		
Name of Spouse _____		
DOB of Spouse _____ Anniversary Date _____		
Relationship with head of family _____		

<b>2</b>	Prefix <input type="checkbox"/> Dr. <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
Name _____		
Address _____		
City _____ Pin Code _____ Country _____		
Email _____		
Mobile No. _____ Tel (Off) _____		
Organization _____		
Designation _____		
Industry Type _____ Sub Industry _____		
Date of Birth _____ Marital Status _____		
Name of Spouse _____		
DOB of Spouse _____ Anniversary Date _____		
Relationship with head of family _____		

<b>3</b>	Prefix <input type="checkbox"/> Dr. <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
Name _____		
Address _____		
City _____ Pin Code _____ Country _____		
Email _____		
Mobile No. _____ Tel (Off) _____		
Organization _____		
Designation _____		
Industry Type _____ Sub Industry _____		
Date of Birth _____ Marital Status _____		
Name of Spouse _____		
DOB of Spouse _____ Anniversary Date _____		
Relationship with head of family _____		