

From :

Client Name : _____

Client Address : _____

To,

Bharat Bhushan Equity Traders Limited

503, Rohit House, 3, Tolstoy Marg,
New Delhi-110001

Date : _____

Dear Sir/Madam,

Sub: Request for Activation of Trading Account

Ref: Trading Account Code : _____

Kindly activate my above referred trading account at the earliest to enable me to trade through the same. I would like to inform that the transactions through the aforementioned trading account would be carried out only by me. I am adducing copy of my PAN card towards my proof of identity along with this letter to enable you to immediately activate the aforementioned trading account. I can be reached at the following contact numbers for seeking confirmation on trades that are executed by me in through the aforesaid trading account.

Mobile No.: _____

E-mail : _____

Yours truly,



Client Code : _____

BHARAT BHUSHAN EQUITY TRADERS LIMITED503, Rohit House, 3, Tolstoy Marg, New Delhi-110001
Ph.: +91-11-49800900, Fax : +91-11-49800933**Know Your Customer (KYC) Application Form | Non-Individual**

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS

1.	Name of the Applicant													
2.	Date of incorporation	D	D	M	M	Y	Y	Y	Y	Place of incorporation				
3.	Date of commencement of Business	D	D	M	M	Y	Y	Y	Y					
4.	a) PAN									b) Registration No. (e.g. CIN)				
5.	Status (Please tick any one) :													
	<input type="checkbox"/> Private Limited Co.	<input type="checkbox"/> Bank								<input type="checkbox"/> Partnership				
	<input type="checkbox"/> Public Limited Co.	<input type="checkbox"/> Government Body								<input type="checkbox"/> FI				
	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Non Government Organization								<input type="checkbox"/> FII				
	<input type="checkbox"/> Trust	<input type="checkbox"/> Defense Establishment								<input type="checkbox"/> HUF				
	<input type="checkbox"/> Charities	<input type="checkbox"/> Society								<input type="checkbox"/> AOP				
	<input type="checkbox"/> NGO's	<input type="checkbox"/> LLP								<input type="checkbox"/> BOI				
	<input type="checkbox"/> Others (please specify) _____													

B. ADDRESS DETAILS

1.	Correspondence Address												
		City/Town/Village*						PIN/Post Code*					
		State/U.T. Code*						ISO 3166* Country Code					
2.	Specify the proof of address submitted for correspondence address												
3.	Contact Details	Tel. (Off.)				Tel. (Res.)							
		Fax No.				Mobile No.							
		Email ID											
4.	Registered Address (If different from above)												
		City/Town/Village*						PIN/Post Code*					
		State/U.T. Code*						ISO 3166* Country Code					
5.	Specify the proof of address submitted for registered address												

C. OTHER DETAILS

1.	Gross Annual Income Details (please specify): Income Range per annum												
	<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lacs <input type="checkbox"/> ₹ 25 Lacs - 1 Crore <input type="checkbox"/> Above ₹ 1 Crore												
2.	Networth												
	Amount (Rs.) _____ As on (date) _____												
	(*Net worth should not be older than 1 year)												

D. DECLARATION

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

Place : _____

Date : _____

Name & Signature of the Authorised Signatory(ies) _____

**10. ATTESTATION / FOR OFFICE USE ONLY**Document Received Certified Copies**KYC & IN-PERSON VERIFICATION CARRIED OUT BY****INSTITUTION DETAILS**

Emp. Name / Code	
Emp. Designation	
Emp. Branch	
Emp. Signature	
Date	

Name : BHARAT BHUSHAN EQUITY TRADERS LIMITED
Code : IN 0077
NDML MI ID : P1158
CVL POS Code : 1800000110

Details of Promoters / Partners / Karta / Trustees and Whole Time Directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

S. No.	Name	Relationship with Applicant (i.e. promoters, whole time directors etc.)	PAN	Residential / Registered Address	DIN of whole time directors /Aadhaar number of Promoters/ Partners/Karta	Photograph to be signed across with Rubber Stamp



Name & Signature of the Authorised Signatory (ies)

Date :

A. BANK ACCOUNT(S) DETAILS

Bank Name (1) :

Branch Address :

City/Town/Village :Pin Code :

State : Country :

Bank Account No. :

Account Type : Saving Current OD Others - in case of NRI [NRE NRO]

MICR Number : IFSC Code :

Bank Name (2) :

Branch Address :

City/Town/Village :Pin Code :

State : Country :

Bank Account No. :

Account Type : Saving Current OD Others - in case of NRI [NRE NRO]

MICR Number : IFSC Code :

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name (1) :

Depository Name : NSDL DP ID : BO ID
 CDSL DP ID : BO ID

Beneficiary Name :

Depository Participant Name (2) :

Depository Name : NSDL DP ID : BO ID
 CDSL DP ID : BO ID

Beneficiary Name :

C. TRADING PREFERENCES

*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Exchanges	Segments		
NSE	Cash	<input type="checkbox"/>	F&O <input type="checkbox"/>
	Currency Derivatives	<input type="checkbox"/>	
BSE	Cash	<input type="checkbox"/>	F&O <input type="checkbox"/>

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker

A. BANK ACCOUNT(S) DETAILS

Bank Name (1) :

Branch Address :

City/Town/Village :Pin Code :

State : Country :

Bank Account No. :

Account Type : Saving Current OD Others - in case of NRI [NRE NRO]

MICR Number : IFSC Code :

Bank Name (2) :

Branch Address :

City/Town/Village :Pin Code :

State : Country :

Bank Account No. :

Account Type : Saving Current OD Others - in case of NRI [NRE NRO]

MICR Number : IFSC Code :

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name (1) :

Depository Name : NSDL DP ID : BO ID
 CDSL DP ID : BO ID

Beneficiary Name :

Depository Participant Name (2) :

Depository Name : NSDL DP ID : BO ID
 CDSL DP ID : BO ID

Beneficiary Name :

C. TRADING PREFERENCES

*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Exchanges	Segments		
NSE	Cash	<input type="checkbox"/>	F&O <input type="checkbox"/>
	Currency Derivatives	<input type="checkbox"/>	
BSE	Cash	<input type="checkbox"/>	F&O <input type="checkbox"/>

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker

To,
Bharat Bhushan Equity Traders Limited

503, Rohit House, 3, Tolstoy Marg, New Delhi-110001

Date : _____

Dear Sir,

I/We am/are registered client with you. In reference to my/our dealings with you as your client, I/We herewith undertake & confirm following as an addendum to the existing 'Account Opening Form' executed between us.

Authorization for Electronic Contract Notes and Other Communication

I/We hereby authorize and confirm to send Contract Note, Bills, Ledgers, Transaction Statement (Funds & Securities), Order / Trade Confirmation Slip and other documents in electronic form at my/our email id as mentioned in my/our Account Opening Form. Further, any change in the e-mail id, will be communicated to you through a physical letter.

Authorization for Running Account

I/We herewith confirm and authorize you to maintain my/our account on running basis in order to facilitate the transfer of funds across segments/exchange(s) and retain the payout received / credit balance in my/our for my/our future obligation/margin obligation or other liabilities unless I/We instruct otherwise. I/We also aware that the authorization can be revoked at any time at my/our own discretion.

In the event, I/We have outstanding obligations on the settlement date, you may retain the requisite securities / funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.






The actual settlement of funds shall be done at least one in the preference period selected below : (Please tick)

Once in a Calendar Quarter Once in a Calendar Month

Authozation to active Market Segments / Stock Exchanges

I/We herewith authorize and request you to activate below segment/stock exchanges for my/our account held with you.

Trading Preference

BSE (CM)	NSE (CM)	NSE (F&O)	NSE (CD)	ALL
 _____	 _____	 _____	 _____	 _____

Financial Details :

Annual Income Range : (Please tick whichever is applicable)

- Below Rs. 1 Lac Rs. 1 to 5 Lac Rs. 5 to 10 Lac
 Rs. 10 to 25 Lac Rs. 25 Lac - 1 Crore Above Rs. 1 Crore

For the Trading in derivatives segments, I/We furnish the following documents as financial information :

List of Documents	(Please Tick)
Copy of ITR Acknowledgement	
Copy of Annual Accounts	
Copy of Form 16 in case of Salary Income	
Net Worth Certificate	
Salary Slip	
Bank Account Statement for last 6 Months reflecting Income	
Copy of Demat Holding Statements	
Others (Pl. Specify)	

Others

I/We herewith confirm that no action has been taken by SEBI or other authorities against me/us during the last 3 years. I/We also confirm and agree to provide you the information of any action taken by SEBI or other authorities against me/us.


I/We understand the distinction and details regarding the voluntary clause - 'Digitally Signed Contract Notes' mentioned within the mandatory documents - Member Constituent Agreement / Tripartite Agreement between Stock Broker, Sub-broker and Client.

I/We also confirm that I/We have read and understood the Policies & Procedures of Bharat Bhushan Equity Traders Ltd. made available on the Trading Portal under the link 'Download' (Website : www.bharatbhushan.com)

I/We understand and acknowledge that these Policies and Procedures are subject to change/amend and thus any change(s)/ amendment(s) shall be incorporated in the document and placed/updated on the website from time to time.

I/We herewith agree to provide a written request to you for a copy of the Account Opening Form, Policies & Procedures and any other document executed by me/us.

Yours faithfully,

 _____

Client Name :

Client Code :

To,

Bharat Bhushan Equity Traders Ltd.
503 Rohit House , 3 Tolstoy Marg
New Delhi - 110001

FEMA / FATCA-CRS Declaration

1. Are you a Tax Resident of any country other than India Yes No
2. If Yes, please specify the details of all countries where you hold tax residency and its Tax Identification Number & Type

S.No.	Country of Tax Residency	Tax Payer Identification No.	Identification Type [TIN or other, please specify]
1.			
2.			
3.			

Declaration:

I 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 am aware that I may be liable for it. I also declare that I have complied & will continue to comply with FEMA regulations.

Yours faithfully,

Name :
Client ID / Trading Code :
Place :
Date :

BHARAT BHUSHAN EQUITY TRADERS LTD.

503, ROHIT HOUSE, 3, TOLSTOY MARG, NEW DELHI-110 001
 TEL.: 011-49800907, 41505504 • FAX : 49800933
 DP ID - IN 301209



REQUEST FOR UPDATION OF DEMAT / TRADING ACCOUNT PARTICULARS

Date : _____

I/We _____ and _____

and _____ the holders of beneficiary account bearing ID's

Client ID : _____ (For Depository A/c)

Client Code : _____ (For Trading A/c)

For Change of Address :

Please attach Self attested proof of identity and Proof of new address in the form of copy of any of the documents listed on reverse.

Present Address	New Address

For Change of Bank Detail :

*Please furnish copy of cancelled cheque of bank account.

1	Bank Account Type	<input type="checkbox"/> Savings Account	<input type="checkbox"/> Current Account	<input type="checkbox"/> Others (Please specify) _____
2	Bank Account Number			
3	Bank Name			
4	Branch Address			
		City/Town/Village	Pin Code	
		State	Country	
5	MICR Code			
6	IFSC			

The said SMS Alert facility may kindly be given on Mobile No. _____

I hereby declare that the aforesaid Mobile no. belongs to :

Me or My family { Spouse Dependent Children Dependent Parents }

My E-mail Id is _____

I hereby declare that the aforesaid E-mail Id belongs to :

Me or My family { Spouse Dependent Children Dependent Parents }

My/Our UID is _____

(*Please furnish copy of self-attested Aadhar Card of all the Holders).

Mode of receiving Statement of Account (Tick any one)	<input type="checkbox"/> Physical Form
Refer Notes of receiving Statement of Account in Electronic Form	<input type="checkbox"/> Electronic Form
Gross Annual Income Details (Income Range per Annum)	<input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000
	<input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs. 25,00,000 to Rs. 1 Crore <input type="checkbox"/> More than Rs. 1 Crore
	Net worth as on (Date) _____ Rs. _____ (Net Worth should not be older than 1 year)
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retiered <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify).....

X _____
(Sign. 1st Holder)

X _____
(Sign. 2nd Holder)

X _____
(Sign. 3rd Holder)

Notes : For receiving Statement of Account in Electronic Form :

- The Client(s) is/are aware that is will not receive the transaction statements in paper form.
- Client must ensure the confidentiality of the password of the email account.
- Client must promptly inform the Participant if the email address has changed.
- Client may opt to terminate this facility by giving 10 days prior notice.
- Attach proof for required updation. Without proof request will not be processed.
- Supporting proof to be self attested by the client.
- Updation to be processed on receipt of Form at Head Office, 503, Rohit House, 3, Tolstoy Marg, New Delhi-110001

BHARAT BHUSHAN EQUITY TRADERS LTD.

503, ROHIT HOUSE, 3, TOLSTOY MARG, NEW DELHI-110 001
 TEL.: 011-49800907, 41505504 • FAX : 49800933
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REQUEST FOR UPDATION OF DEMAT / TRADING ACCOUNT PARTICULARS

Date : _____

I/We _____ and _____

and _____ the holders of beneficiary account bearing ID's

Client ID : _____ (For Depository A/c)

Client Code : _____ (For Trading A/c)

For Change of Address :

Please attach Self attested proof of identity and Proof of new address in the form of copy of any of the documents listed on reverse.

Present Address	New Address

For Change of Bank Detail :

*Please furnish copy of cancelled cheque of bank account.

1	Bank Account Type	<input type="checkbox"/> Savings Account	<input type="checkbox"/> Current Account	<input type="checkbox"/> Others (Please specify) _____
2	Bank Account Number			
3	Bank Name			
4	Branch Address			
		City/Town/Village	Pin Code	
		State	Country	
5	MICR Code			
6	IFSC			

The said SMS Alert facility may kindly be given on Mobile No. _____

I hereby declare that the aforesaid Mobile no. belongs to :

Me or My family { Spouse Dependent Children Dependent Parents }

My E-mail Id is _____

I hereby declare that the aforesaid E-mail Id belongs to :

Me or My family { Spouse Dependent Children Dependent Parents }

My/Our UID is _____

(*Please furnish copy of self-attested Aadhar Card of all the Holders).

Mode of receiving Statement of Account (Tick any one)	<input type="checkbox"/> Physical Form
Refer Notes of receiving Statement of Account in Electronic Form	<input type="checkbox"/> Electronic Form
Gross Annual Income Details (Income Range per Annum)	<input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000
	<input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs. 25,00,000 to Rs. 1 Crore <input type="checkbox"/> More than Rs. 1 Crore
	Net worth as on (Date) _____ Rs. _____ (Net Worth should not be older than 1 year)
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retiered <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify).....

X _____
(Sign. 1st Holder)

X _____
(Sign. 2nd Holder)

X _____
(Sign. 3rd Holder)

Notes : For receiving Statement of Account in Electronic Form :

- The Client(s) is/are aware that is will not receive the transaction statements in paper form.
- Client must ensure the confidentiality of the password of the email account.
- Client must promptly inform the Participant if the email address has changed.
- Client may opt to terminate this facility by giving 10 days prior notice.
- Attach proof for required updation. Without proof request will not be processed.
- Supporting proof to be self attested by the client.
- Updation to be processed on receipt of Form at Head Office, 503, Rohit House, 3, Tolstoy Marg, New Delhi-110001

BHARAT BHUSHAN EQUITY TRADERS LTD

Declaration Form of Ultimate Beneficial Ownership [UBO]/ Controlling Persons

I. Investor Details:

Name of the Client	
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II. Category:

<input type="checkbox"/> Our company is a Listed Company listed / Subsidiary or Controlled by a Listed Company <small>[If this category is selected, no need to provide UBO details]</small>		
<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm / LLP	<input type="checkbox"/> Unincorporated Association / Body of Individuals
<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Private Trust	<input type="checkbox"/> Religious Trust
<input type="checkbox"/> Trust created by a Will	<input type="checkbox"/> Others [please specify] _____	

UBO / Controlling Person(s) details

S. No.	Name of UBO	Country of Tax Residency	Taxpayer Identification Number / PAN / Equivalent ID Number	% of beneficial interest	Address & Contact details (include city, Pin code, State, Country)	Gender (Male/Female)	PEP	Nationality	Occupation [Service/Business/Others]

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

Declaration

We acknowledge and confirm that the information provided above is true and correct to the best of our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, we are aware that we may be liable for it. We hereby authorize Bharat Bhushan Equity Traders Ltd to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by us, including all changes, updates to such information as and when provided by us to any of the relevant Authorities or any Indian or foreign governmental or statutory or judicial authorities / agencies without any obligation of advising us of the same. We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

Signature _____

Date: _____
Place: _____

INSTRUCTIONS ON CONTROLLING PERSONS / ULTIMATE BENEFICIAL OWNER

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

B. For Investors which is a trust:

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

C. Exemption in case of listed companies / foreign investors

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