

SPREAD X SECURITIES PVT. LTD.

# KNOW YOUR CLIENT

(KYC) APPLICATION FORM

NAME OF THE TRADING MEMBER / DEPOSITORY PARTICIPANT | SPREAD X SECURITIES PVT.LTD.

SEBI Registration Number and Date of Stock broker [INZ000310930] (January 24, 2023)  
 SEBI Registration Number and Date of Depository Participant [IN-DP-766-2024] (February 22, 2024)  
 NSE Trading Member ID 90309, BSE Trading Member ID 6823  
 Depository Participant ID I2099700 (CDSL)

NAME OF THE CLEARING MEMBER | GLOBE CAPITAL MARKET LIMITED

SEBI REGISTRATION NUMBER [INZ000177137]  
 CLEARING MEMBER ID [M50302]  
 CLEARING MEMBER REGISTER OFFICE ADDRESS 309, ANSAL BHAWAN, 16, K. G. MARG, CONNAUGHT PLACE,  
 NEW DELHI-110 001 INDIA, PHONES 91-11-30412345

**Registered Office :** Shilp Corporate Park, B Block, 13th Floor, B-1309,  
 Near Rajpath Club, Rajpath Rangoli Road, S.G. Highway, Ahmedabad-380054

**Correspondence Address :** Shilp Corporate Park, B Block, 13th Floor, B-1309,  
 Near Rajpath Club, Rajpath Rangoli Road, S.G. Highway, Ahmedabad-380054

**Compliance Officer :** Ms. Sonam Patel | **079-69072013** | **compliance@spreadx.in**

### DIRECTOR DETAILS

Mr. <b>Nevil Savjani</b>	Tel No. <b>079-69072024</b>	<b>Email id : nevil@spreadx.in</b>
Mr. <b>Nikhil Shah</b>	Tel No. <b>079- 69072023</b>	<b>Email id : nikhil@spreadx.in</b>
Ms. <b>Khushbu Shah</b>	Tel No. <b>079-69072023</b>	<b>Email id : khushbu@spreadx.in</b>
Mr. <b>Yogesh Jain</b>	Tel No. <b>079-69072023</b>	<b>Email id : yogesh@spreadx.in</b>

[www.spreadx.in](http://www.spreadx.in)

For any support / query please contact Spread X Securities Private Limited at the above address or Email: support@spreadx.in & Phone No. 079 - 69072011

Our designated Email ID for grievance is: ig@spreadx.in & Phone No. : 079 - 69072010

**In case not satisfied with the response, please contact the concerned exchange which ever valid for investor at :**  
**NSE :** ignse@nse.co.in or contact at **1800 266 0050 / BSE :** isc.mumbai@bseindia.com or contact at **022-22728517**  
**CDSL:** helpdesk@cdslindia.com or contact at **022 22728663 / SMART ODR :** help@smartodr.in or contact at **+91-8105148710**

### INSTRUCTIONS :

- All details to be filled in Capital Block letters in Black / Blue ink only.
- Correction in the KYC form should require by counter signed of all holder(s).
- Strike off whichever option, in the account opening form, is not applicable.
- Email ID & Mobile Number is Mandatory for account related real time information.
- Place clear copy of proof in A4-Size page of all the holders.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any documents is not produced for verification, then the copies should be properly attested by entities authorised for attesting the documents, as per the mentioned list.
- If any proof of identity or address is in a regional language, than translation into English is required.
- Sole proprietor must make the application in his individual name & capacity.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted

### Signature Types :

Signature of First Holder	Signature of Second Holder	Signature of Third Holder
Signature of First Witness	Signature of Introducer	

**In case of any correction in the form - Sign next to the correction done & Sign has to match the original signature**

## FOR HEAD OFFICE USE ONLY

APPLICATION NO \_\_\_\_\_ UCC CODE \_\_\_\_\_ Opening of  DP  
 DP ID \_\_\_\_\_ 12099700 CLIENT ID \_\_\_\_\_  Trading  Both

Descriptions	Date	Name	Signature
KYC Received			
KYC Maker by			
KYC Checker by			

PART	Name of the Document	Brief Significance of the Document	Pg. Nos.
<b>MANDATORY DOCUMENTS FOR OPENING OF ACCOUNT</b>			
A	Know Your Broker	Brief Details of Trading Member and Clearing Member.	Cover page
B	Know Your Client	CVL/ CKYC / KYC Form - Document captures basic information about the constituent (for Individuals).	02-03
C	For opening a Demat / Trading account	Document captures the additional information about the constituent relevant to trading account.	04-05
D	Information about Provisions of Prevention of Money Laundering Act, 2002 (PMLA)	Details of Constituent Client Annual Income / Occupation / Risk Categorization / FATCA CSR Declaration / Past Action.	06
E	Pro Disclosures	Proprietary Trading Disclosure to client.	06
F	Standing instructions	Standing Instructions means the standing order between the Client authorising the Broker to work with Preferably options.	07
G	Nomination	This Document captures the details of nominee(s) w.r.t. the trading account and the details of guardian in case of minor nominee(s).	08-11
H	Brokerage Tariff Sheet	Document provides details of rate / amount of brokerage and other charges levied on the client for trading on the Stock Exchange(s)	12
I	DP Tariff Sheet	Document provides details of charges for depository services.	13-14
J	Acknowledgement	A Confirmation from Client they were received necessary Documents and Cleared pertaining it's clarification or doubt.	15
K	Most Important Terms and Conditions	Refer to the key clauses or provisions within a contract, agreement, or terms of service that hold significant implications for the parties involved. It is crucial for understanding the core aspects of the agreement and should be carefully reviewed and understood before agreeing to the terms.	16

### VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

L	Demat Debit And Pledge Instruction (DDPI)	Document seeking authorization by client to the stock broker, to access the demat account of the client for specified purposes only.	17-18
---	---	--	-------

### MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGE

Most Important Terms and Conditions			
Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based	Separate Copy for Client. Also Available On <a href="http://www.Spreadx.in">www.Spreadx.in</a>	
Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the Capital Market and Derivatives Segments		
Guidance note	Document detailing do's and don'ts for trading on exchange,		
Policies and Procedures	Document describes significant policies and procedures of the Stock Broker / PMLA Policy / Investor Charter by Stock Broker / Investor Charter by Depository Participant		



# KNOW YOUR CLIENT ( KYC )

APPLICATION FORM (FOR INDIVIDUALS ONLY)

Signature on this page



Please fill the form in ENGLISH and in BLOCK letters Fields marked \* are mandatory Fields marked" are pertaining to CKYC and mandatory only processing KYC also



Application Number : \_\_\_\_\_

Application Type\* :  New KYC  Modification KYC

KYC Mode\* : Please Tick ( )  Normal  EKYC OTP  EKYC Biometric  Online KYC  Offline EKYC  Digilocker

## 1. Identity Details ( please refer guidelines )

PAN \_\_\_\_\_

Name\* (same as ID proof) \_\_\_\_\_

Maiden Name (if any) \_\_\_\_\_

Mother Name \_\_\_\_\_

Father / Spouse Name \_\_\_\_\_

Date of Birth\* \_\_\_\_\_

Gender\*

Marital Status\*

Nationality\*

Residential Status\*

Male  Female  Transgender

Single  Married

Indian  Other

Resident Individual  Non Resident Indian

Foreign National  Person of Indian Origin\*

Recent passport size Applicant Photo

Cross Signature

Cross Signature across photograph

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the individual)

## Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

A - Aadhaar Card xxxx xxxx \_\_\_\_\_  B - Voter ID Card  C - Passport Number \_\_\_\_\_ (Expiry Date)

D - NREGA Job Card  E - NPR \_\_\_\_\_  F - Driving License \_\_\_\_\_

Z - Others \_\_\_\_\_ (Expiry Date)

(any document notified by Central Government)

Identification Number \_\_\_\_\_

## 2. Address Details\* (please refer guidelines)

A. Correspondence/ Local Address»

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

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

Line 3 \_\_\_\_\_

City/Town/Village \_\_\_\_\_ District \_\_\_\_\_ Pin Code \_\_\_\_\_

State \_\_\_\_\_ Country \_\_\_\_\_

Address Type

Residential/Business  Residential  Business  Registered Office  Unspecified

Applicant E-SIGN

**B. Permanent residence address of applicant, if different from above A / Overseas Address,**

(Mandatory for NRI Applicant)

Signature  
on this page

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

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

Line 3 \_\_\_\_\_

City/Town/Village \_\_\_\_\_ District \_\_\_\_\_ Pin Code \_\_\_\_\_

State \_\_\_\_\_ Country \_\_\_\_\_

**Address Type**
 Residential/Business
  Residential
  Business
  Registered Office
  Unspecified
**Proof of Address\***(attested copy of any 1 POA for correspondence and permanent address each to be submitted)
 A - Aadhaar Card xxxx xxxx \_\_\_\_\_
  B - Voter ID Card \_\_\_\_\_

 C - Passport Number \_\_\_\_\_
 Expiry Date \_\_\_\_\_

 D - Driving License \_\_\_\_\_
 Expiry Date \_\_\_\_\_

 E - NREGA Job Card \_\_\_\_\_
  F - NPR Letter \_\_\_\_\_

 Z - Others \_\_\_\_\_
 Any document notified by Central Government)
 Identification Number \_\_\_\_\_
**3. Contact Details (in CAPITAL)**

Email ID \_\_\_\_\_

Mobile \_\_\_\_\_

Tel (Off.) \_\_\_\_\_ Tel (Res.) \_\_\_\_\_

**4. Applicant Declaration**

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

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

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

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

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

Applicant E-SIGN

Applicant Wet Signature

**5. For Office Use Only****In-Person Verification (IPV) Carried out by****AMC /Intermediary Details**

IPV Date \_\_\_\_\_

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

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

Emp. Designation \_\_\_\_\_

**SPREAD X SECURITIES PRIVATE LIMITED**

CKYC INSTITUTION CODE :IN7106

CVL POS CODE :1400310930

 Self certified document copies received (OVD)

 True Copies of documents received (Attested)


Employee Signature and Stamp



Institution Name and Stamp



# ADDITIONAL KYC FORM

FOR OPENING A DEMAT / TRADING ACCOUNT

Signature on this page



## Holder(s) Details

Sole / First Holder Name	PAN
Second Holder Name	PAN
Third Holder Name	PAN

\*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, registered Trust, etc., should be mentioned above.

## Type of Account (Please tick whichever is applicable)

Status	Sub - Status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others (specify)
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify)
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts Others (specify)_____	

## Details of Guardian (in case the account holder is minor)

Guardian's Name	PAN
Relationship with the applicant	
SMS Alert Facility Refer to Terms & Conditions given as Annexure-2,4	Mobile No. +91_____ Mandatory, if you are giving Power of Attorney ( POA) (if POA is not granted & you do not wish to avail of this facility, cancel this option).
Easi	To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

## MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

<input type="checkbox"/> Jointly <input type="checkbox"/> Anyone of the Holder	Consent for Communication to be received by first account holder/ all holder: (Tick the applicable box, if not marked the default option would be first holder)
<input type="checkbox"/> First Holder <input type="checkbox"/> All Holder <input type="checkbox"/> Second Holder <input type="checkbox"/> Third Holder	Email ID

## INTRODUCER DETAILS

<b>Status of Introducer</b>	<input type="checkbox"/> Sub Broker / Authorised Person <input type="checkbox"/> Employee <input type="checkbox"/> Existing Client
Introducer Name :	
Introducer Address :	
Introducer Mobile No.	
Introducer Email ID:	

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

Seal and Stamp
Introducer Sign

# ADDITIONAL KYC FORM

## FOR OPENING A DEMAT / TRADING ACCOUNT

Signature  
on this page



### DEPOSITORY ACCOUNT (S) DETAILS

	Primary DP Detail	Additional DP Detail
Dp name	SPREAD X SECURITIES PRIVATE LIMITED	
Depository	<input checked="" type="checkbox"/> CDSL	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL
Dp id	12099700	
Client id		

### BANK ACCOUNT (S) DETAILS

	Primary Bank Detail	Additional Bank Detail
Bank Name		
Bank Branch		
A/C Number		
A/C Type	<input type="checkbox"/> SAVING <input type="checkbox"/> CURRENT <input type="checkbox"/> OTHER_____	<input type="checkbox"/> SAVING <input type="checkbox"/> CURRENT <input type="checkbox"/> OTHER_____
MICR No		
IFSC code		

### (C) TRADING PREFERENCE

Please sign in the relevant boxes where you wish to trade Please strike off the segment not chosen by you.

Exchanges	NSE & BSE			
	Cash/Mutual Fund	F&O	Currency	Commodity Derivatives
All Segments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

### LIST OF COMMODITIES (NSE, BSE & MCX)

Commodities	Code	Commodities	Code	Commodities	Code	Commodities	Code
Aluminum		Brass		Copper		Lead	
Nickel		Zinc		Barley		Cardamon	
Castor		Chana		Cocudakl		Cotton	
Dhaniya		Guaragum		Guarseed		Jeeraunjha	
Kapas		Maize		Moong		Pady	
Pepper		RM Seed		Sugar		Soyabean	
Turmeric		Wheat		Gold		Silver	
CPO		Crude Oil		Mentha Oil		Syoref	
Natural Gas		All Commodities					

### Category code reference table as per sebi

Category	FPOs / Farmers	Value Chain Participants	Proprietary Traders (Only for registered Stock / Commodity) brokers	Domestic Financial Institutional Investors	Foreign Participants	Others
Category Code	1	2	3	4	5	6

I/We declare that the details furnished above are true and correct to the best of my knowledge and belief and I/We undertake to inform you of any change there in immediately. In case any of the above information is found to be false or untrue or misleading or mis representing I/We am/are aware that I/We may be held liable for it.

DATE : \_\_\_/\_\_\_/\_\_\_



Sign If the Commodity Segment opted



# INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002



<b>Experience</b>	Number of years of Investment / Trading Experience _____
<b>Gross Annual Income</b>	<input type="checkbox"/> Upto ₹1 Lakh <input type="checkbox"/> ₹1 to 5 Lakh <input type="checkbox"/> ₹5 to 10 Lakh <input type="checkbox"/> ₹10 to 25 Lakh <input type="checkbox"/> ₹25 Lakh & above <b>OR</b> Net worth in ₹ _____ As on date _____ (Should not be older than 1 year)
<b>Occupation</b>	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Housewife <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Student <input type="checkbox"/> Others (Please Specify) _____
<b>Nature of Business</b>	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others (Please Specify) _____

**Is the Client Politically Exposed Person (PEP) or Related to PEP**     Yes     No

**Risk categorization**     Low     Medium     High

### FATCA/ CRS DECLARATION/ SELF CERTIFICATION FOR INDIVIDUAL

<b>Sole / First Holder Name</b>		PAN / TIN	
<b>Second Holder Name</b>		PAN / TIN	
<b>Third Holder Name</b>		PAN / TIN	
	First Holder	Second Holder	Third Holder
1 Are you a tax resident of only India? (Refer Risk Disclosure Document)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2 Specify country of residence for tax purpose (if above clause is no)	<input type="checkbox"/> India <input type="checkbox"/> Other _____	<input type="checkbox"/> India <input type="checkbox"/> Other _____	<input type="checkbox"/> India <input type="checkbox"/> Other _____
3 Specify Country of Citizenship	<input type="checkbox"/> India <input type="checkbox"/> Other _____	<input type="checkbox"/> India <input type="checkbox"/> Other _____	<input type="checkbox"/> India <input type="checkbox"/> Other _____

**Note :** if you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, than please provide declaration / self certification under FATCA / CRS. This declaration form can be downloaded from [www.spreadx.in](http://www.spreadx.in) or call at KYC Helpdesk at (079 - 69072021) or write to [kyc@spreadx.in](mailto:kyc@spreadx.in)

### PAST ACTIONS

Details of any action/ proceedings initiated/ pending/ taken by SEBI/ Stock Exchange/ any other authority against the applicant/ constituent or its Partners/ promoters/ whole time directors/authorized persons in charge of dealing in securities during the last 3 years:     Yes     No    If Yes, please specify



## DISCLOSURE OF PROPRIETARY TRADING BY SPREAD X SECURITIES PRIVATE LIMITED (SSPL)

"Disclosure of Proprietary Trading by Spread X Securities Private Limited, In pursuance of the Securities Exchange Board of India (SEBI) directives, vide Circulars No. SEBI/MRD/SE/CIR-42/2003 dated November 19, 2003 and SEBI/HO/CDMRD/DMP/CIR/P/2016/49 dated April 25, 2016 We hereby inform and intimate to our Clients and all other value chain Participants that being members of BSE Limited (BSE), and National Stock Exchange of India Limited (NSE), we do engage in proprietary trading activities in the exchange traded Securities"



**Sole / First Holder Sign**



**Second Holder Sign**



**Third Holder Sign**

# F STANDING INSTRUCTIONS

Contract Note /Holding & Transaction Statement including Consolidated Account Statement / AGTS and Other Document (s).	<input checked="" type="checkbox"/> Electronic <input type="checkbox"/> Physical
Share Email ID with Registrar & Transfer Agent	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Receive Annual Report	<input checked="" type="checkbox"/> Electric <input type="checkbox"/> Physical <input type="checkbox"/> Both
DP Account Statement	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Weekly <input type="checkbox"/> Daily <input type="checkbox"/> As per SEBI Regulation
Declaration for Mobile Number	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent
Declaration for Email ID	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent
Running Account Settlement	<input type="checkbox"/> Monthly <input checked="" type="checkbox"/> Quarterly
Internet based Trading and wireless Technology	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Pledge shares for margin as per exchange circular	<input type="checkbox"/> Yes <input type="checkbox"/> No
Inter segment adjustment	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Whether you wish to receive SMS alert from Stock Exchanges / Stock Brokers	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Delivery Instructions Slip Book	<input type="checkbox"/> Issue <input type="checkbox"/> On Demand
EDIS for Non POA / DDPI Client	<input type="checkbox"/> Yes <input type="checkbox"/> NO
Demat Debit And Pledge Instruction (DDPI)	<input type="checkbox"/> Yes <input type="checkbox"/> NO
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, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No

## DECLARATION ACCEPTANCE FOR DEMAT AND TRADING ACCOUNT

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 Do's and Don'ts, any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

I/We confirm having read/been explained on policy and procedures of the stock broker and Guidance note and tariff sheet.

I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

The rules and regulations and Bye laws of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and we agree to abide by and to be bound by the rules, regulations and by laws as are in force from time to time for such accounts, I/We hereby declare that the details furnished above are true and correct to the best of my/ our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / we are aware that I/we may be held liable for it. In case non-resident account, I/We also declare that I/We have complied and will continue to comply with FEMA regulations. I/We acknowledge the receipt of copy of the document Rights and Obligations of the Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories.



**Sole / First Holder Sign**



**Second Holder Sign**



**Third Holder Sign**

# NOMINATION FORM



<b>CLIENT NAME</b>			
<b>UCC CODE</b>		<b>Nomination Registration No.</b>	<b>Date</b>
<b>DP / CLIENT ID</b>	<b>12099700</b>		

I/We wish to make a nomination as per details given below. I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

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

## Nomination Details

	Mandatory Details						Additional Details	
	Name of nominee	Share of nominee (%)**	Relationship	Postal Address	Mobile number & E-mail	Identity Number	D.o.B. of nominee	Guardian
<b>Nominee 1</b>								
<b>Nominee 2</b>								
<b>Nominee 3</b>								
<b>Nominee 4</b>								
<b>Nominee 5</b>								
<b>Nominee 6</b>								
<b>Nominee 7</b>								
<b>Nominee 8</b>								
<b>Nominee 9</b>								
<b>Nominee 10</b>								

\*Joint Accounts:

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

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

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

# NOMINATION FORM



## \*\*\*\* To be furnished only in following conditions / circumstances:

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

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

Name of nominee(s) \_\_\_\_\_ Nomination:  Yes  No

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

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

Name(s) of holder(s)		Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable)*
Sole / First Holder (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

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

## Rights, Entitlement and Obligation of the investor and nominee:

1. If you are opening a new demat account, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
2. You can make nomination or change nominee any number of times without any restriction.
3. You are entitled to receive acknowledgement from the DP for each instance of providing or changing nomination.
4. Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account.
5. In case all your nominees do not claim the assets from the DP, then the residual unclaimed asset shall continue to be with the concerned Depository in case of Demat account.
6. You have the option to designate any one of your nominees to operate your account, in case of your physical incapacitation, at any point of time and not just during opening of account. This mandate can be changed any time you choose.
7. The signatories for this nomination form shall be as per mode of holding in the demat account(s) i.e.
  - o 'Either or Survivor' Accounts - any one of the holder can sign
  - o 'First holder' Accounts - only First holder can sign
  - o 'Jointly' Accounts - all holders have to sign

## Transmission aspects

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

# NOMINATION FORM



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

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

**\*Signature of witness, alongwith name and address are required, if the account holder affixes thumb impression, instead of signature**

Name : \_\_\_\_\_

Address : \_\_\_\_\_

\_\_\_\_\_

Signature of Witness



Sole / First Holder Sign



Second Holder Sign



Third Holder Sign

# DECLARATION FORM FOR OPTING OUT OF NOMINATION



DATE : \_\_\_ / \_\_\_ / \_\_\_

## To, SPREADX SECURITIES PRIVATE LIMITED

B-1309, 13th Floor, Shilp Corporate Park, Near Rajpath Club, Rajpath Rangoli Road,  
S. G. Highway, Ahmedabad-380054.

<b>Client Code</b>	
<b>DP ID / Client ID</b>	<b>12099700</b>
<b>Sole / First Holder Name</b>	
<b>Second Holder Name</b>	
<b>Third Holder Name</b>	

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account.



Sole / First Holder Sign



Second Holder Sign



Third Holder Sign

<b>CLIENT NAME</b>	
--------------------	--

<b>UCC CODE</b>	
-----------------	--

Mention Percentage or Rs. Very clearly	Trading / Intraday	Delivery / Carry forward	Minimum	Option Per Lot
CM Segment			15/- (Per Contract)	N. A.
F & O Segment				
Currency Segment				
Commodity Segment				

### ADDITIONAL CHARGES APPLICABLE ON TRADING TRANSACTION

Description Exchange	Equity Intraday	Future Intraday	Option Intraday	Currency Intraday	Commodity Intraday
Clearing Charges NSE / BSE	₹ 50/-	₹ 25/-	₹ 400/-	₹ 400/-	₹ 400/-
	Equity Delivery	Future Delivery	Option Delivery	Currency Delivery	Commodity Delivery
	₹ 500/-	₹ 1000/-	₹ 1000/-	N.A	N.A
Exchange Turnover Charges	Charged by the respective Exchange.				
Security Transaction Charges (STT)	Direct tax levied under STT Act.				
Stamp Duty	Charged by respective State where the investor resides.				
SEBI Turnover Fee	Charge levied by SEBI on each transaction.				
GST	Goods and Service Tax as applicable over and above tariff.				
Interest on Delay payment charges	Delay payment charges @1.5% per month would be charged for debit/shortage in pay in/ margin default as per exchange requirements.				
Minimum Brokerage Charges	15/- (Per Contract)				
Auction and internal Shortage Penalty	3% On Total Traded Value ( in every Exchanges and All active Segments)				

#### Note:

- The above rates would be charged/collected from the client at the time of transaction.
- Clearing charges levied on per order as per stated in Additional Charges table.
- The above rates are exclusive of Stamp Duty, Securities Transaction Tax and GST which will be charged extra at the rate prevailing from time to time.
- Cheque Return / Bounce / Reject under any reason may attract penalty of amount ₹ 250+GST.
- The above tariff is subject to change. Changes if any will be intimated 30 days in advance.
- The Charges will be updated in the app and Trading Platform of Spread X and the client is requested to check same and stay updated from time to time on charges.



Holder Sign



# I DP TARIFF SHEET

**SPREADX**  
SECURITIES PVT. LTD.

<b>DP / CLIENT ID</b>	<b>12099700</b>
Sole / First Holder Name	
Second Holder Name	
Third Holder Name	

**PLEASE SELECT THE BELOW DISCLOSED SCHEME WHICH EVER YOU WANT**

PARTICULAR	<input type="checkbox"/> CORPORATE SCHEME	<input type="checkbox"/> LIFETIME SCHEME	<input type="checkbox"/> BSDA SCHEME*	<input type="checkbox"/> PRIORITY
Statutory charges (DDPI Stamp, KRA, Corporate Action)	1200/-	555/- (Non-Refundable)	300/-	5000/- (Non-Refundable)
Annual Maintenance	1200/- <sup>^^</sup>	NIL	NIL - Holding Value Up to Rs 4 Lakhs	NIL
Deliveries Debit transaction With in SPREAD X	15/-	12/-	12/-	08/-
Deliveries Debit transaction Outside SPREAD X	50/-	0.02 % or 35/-	0.02 % or 35/-	20/-
Charges for Margin Pledge and Margin Un Pledge including CUSPA	20/-	20/-	20/-	15/-
Dematerialisation and Destatementization with Post	150/- Per Request 05/- Per Certificate	150/- Per Request 05/- Per Certificate	150/- Per Request 05/- Per Certificate	100/- Per Request ₹ 05/- Per Certificate
Rematerialization, Restatementization and Redemption with Post	80/- Per Request 05/- Per Certificate	80/- Per Request 05/- Per Certificate	80/- Per Request 05/- Per Certificate	80/- Per Request 05/- Per Certificate
Pledge Charges a. Creation      b. Closure      c. Invocation	50/-	0.02 % or 50/- Whichever is higher	0.02 % or 50/- Whichever is higher	25/-
Additional DIS Requisition	15/-			
Account Modification	15/-			
Additional Request for Account statement/ ECN / Ledger / P & L / Holding with Valuation	Electronic Request NIL. Rs.25/- for Physical request.			
Bounced cheque / stop payment of cheque.	500/-			
** Adjustments in case of Corporate Actions	0.02 % or 500/- Whichever is higher			

**General Conditions:**

- Taxes & other Government levies will be charged extra as applicable.
- All payment should be in favour of "SPREAD X SECURITIES PRIVATE LIMITED"
- If I/We am/are found to be not eligible for BSDA scheme due to non-fulfilment of criteria prescribed by as per SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD1/P/CIR/2024/91 June 28, 2024 then the default scheme applicable shall be Lifetime Scheme.
- \*For BSDA Scheme: Holding Valuation Up to Rs. 4 Lakhs NIL. If the Holding Value exceeded Rs. 4 Lakhs to Rs.10 Lakhs AMC will be charged Rs.100/- (GST as Applicable). If the Holding Value exceeded Rs.10 lakhs than your scheme has been change to Lifetime.
- Once applied for the Lifetime scheme amount will not be refunded under any circumstances.
- It must also be noted that Spread X Securities Private Limited reserves the right to change any scheme from time to time, with 30 days prior notice.
- Deposit amount Refundable on closure of account after deducting AMC charges (AMC charges levied as per Investor Scheme).
- \*\*We collect the Corporate Actions charges in such cases FPO, OFS, BONUS ISSUE, RIGHT ISSUE, AMALGAMATION, ESOP, PREFERENTIAL ALLOTMENT, QIP ALLOTMENT, SCHEME OF ARRANGEMENT, SUBDIVISION, CONSOLIDATION, DEMERGER.
- <sup>^^</sup> AMC will be charged financial year basis.



**Sole / First Holder Sign**



**Second Holder Sign**



**Third Holder Sign**

# DECLARATION FOR BASIC SERVICES DEMAT ACCOUNT (BSDA)



<b>DP / CLIENT ID</b>	<b>12099700</b>
Sole / First Holder Name	
Second Holder Name	
Third Holder Name	

To,  
**SPREADX SECURITIES PRIVATE LIMITED**



DATE : \_\_\_ / \_\_\_ / \_\_\_

B-1309, 13th Floor, Shilp Corporate Park, Near Rajpath Club, Rajpath Rangoli Road,  
S. G. Highway, Ahmedabad-380054.

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

	Name	Pan
<b>Sole / First Holder Name</b>		
<b>Second Holder Name</b>		
<b>Third Holder Name</b>		

- I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA.
- I/We are aware that if I/we are eligible to open a depository account as a BSDA, the account shall be opened as a BSDA.
- I/We also understand that in case, I/We at any point of time do not meet the eligibility criteria as a BSDA holder, my / our demat account is liable to be converted to regular account.
- I/We also state that if at any time choose to opt out of BSDA i.e. avail the facility of regular account the same will be communicated to the Participant from Sole / First Holder registered email ID.



**Sole / First Holder Sign**



**Second Holder Sign**



**Third Holder Sign**

<b>DP / CLIENT ID</b>	<b>12099700</b>
Sole / First Holder Name	
Second Holder Name	
Third Holder Name	

**To,  
SPREAD X SECURITIES PRIVATE LIMITED**

Registered office : B-1309, 13th Floor, B Block, Shilp Corporate Park,  
Near Rajpath Club, Rajpath Rangoli Road, S. G. Highway, Ahmedabad-380054.  
E-mail ID : info@spreadx.in, Contact No. : 079 - 69072020

**Sub : Acknowledgement**

This is to acknowledge the receipt of following documents. I further state and confirm that I have read and understood all the clauses of aforesaid documents.

Sr. No.	BRIEF SIGNIFICANCE OF THE DOCUMENT
01	Rights And Obligations Of Stock Brokers, Sub - Brokers And Clients As Prescribed By Sebi And Stock Exchanges
02	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by Sebi and Depositories
03	Index of documents explaining brief significance of the documents.
04	Risk Disclosure Document for Capital Market and Derivatives Segment
05	Internet & Wireless Technology Based Trading Facility Provided by Stock Brokers to Client
06	Guidance Note - Do's and Dont's for Trading on the Exchange(s) For Investors
07	Guidance Note - Do's and Dont's for Investor
08	Policies And Procedures For Client Dealings – All Exchanges
09	Brief Writeup on the provisions of prevention of money laundering Act 2002 (PMLA)
10	Investor Charter by Stock Broker
11	Investor Charter by Depository Participant

I/We have been explained the above documents as required by me/us.

I/ We have been informed that these documents are also available on your website [www.spreadx.in](http://www.spreadx.in) and these documents are binding upon me.

I/We also confirm that I have received the relevant clarifications wherever required from the officials of SPREAD X.

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.



**Sole / First Holder Sign**



**Second Holder Sign**



**Third Holder Sign**

# K MOST IMPORTANT TERMS AND CONDITIONS (MITC)

## (For non-custodial settled trading accounts)

01	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.
02	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.
03	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.
04	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.
05	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).
06	You will get a contract note from the stock broker within 24 hours of the trade.
07	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.
08	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.
09	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 Name**

**Second Holder Name**

**Third Holder Name**



**Sole / First Holder Sign**



**Second Holder Sign**



**Third Holder Sign**



# VOLUNTARY DOCUMENT

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

Signature  
on this page



**PLEASE FILL ALL THE DETAILS IN BLOCK LETTERS IN ENGLISH**

<b>DP / CLIENTID</b>	<b>12099700</b>
<b>CLIENT CODE</b>	
<b>1st Holder Name</b>	
<b>2nd Holder Name</b>	
<b>3rd Holder Name</b>	

**Dear Sir / Madam,**

I/We am/are executing the 'Demat Debit and Pledge Instruction' (DDPI) for transfer of securities towards deliveries / settlement Obligations and Pledging / re-pledging of securities in favour of SPREAD X SECURITIES PRIVATE LIMITED, authorising them to Operate aforesaid beneficiary account Disclosed in Annexure-B for the below mentioned specific purpose.

**Annexure - A**

Sr. No	Purpose	Signature of 1st Holder	Signature of 2nd Holder	Signature of 3rd Holder
01	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 the same stock broker.			
02	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.			
03	Mutual Fund transactions being executed on Stock Exchange order entry platforms			
04	Tendering shares in open offers through Stock Exchange platforms			

**Note:** This authorization will continue to remain valid until revoked in writing by you (pursuant to SEBI Circular no. SEBI/HO/MIRSD/DoP/P/CIR/ 2022/44 dated April 04,2022)

# ANNEXURE – B

## TM / CM DEMAT ACCOUNT LIST

NAME OF DEMAT ACCOUNT	DP ID / CLIENT ID	EXCHANGE / DEPOSITORY	DEMAT ACCOUNT CATEGORY
SPREAD X SECURITIES PRIVATE LIMITED	IN300966   11232294	NSDL	TM/CM CMPA
SPREAD X SECURITIES PRIVATE LIMITED	IN300966   11232448   IN547211	NSDL	BSE – CM POOL
SPREAD X SECURITIES PRIVATE LIMITED	IN300966   11232657   IN547254	NSDL	NSE – CM POOL
SPREAD X SECURITIES PRIVATE LIMITED	1209970000000039	CDSL	TM Pool
SPREAD X SECURITIES PRIVATE LIMITED	1209970000000043	CDSL	TM/CM CMPA
SPREAD X SECURITIES PRIVATE LIMITED	1209970000000058	CDSL	TM/CM CUSPA
GLOBE CAPITAL MARKET LIMITED	1100001100014460	CDSL	CM EARLY PAY IN
GLOBE CAPITAL MARKET LIMITED	1202060000000270	CDSL	CM POOL
SPREAD X SECURITIES PRIVATE LIMITED	1209970000011336	CDSL	Client securities Margin Funding Account

I / We hereby authorize M/s. Spread X Securities Private Limited to transfer the securities from my /our beneficiary account to the given demat accounts as mentioned herein below towards delivery settlement arising out of trades executed on the Stock Exchange and Pledging / Re-pledging of securities in favour of trading member (TM) / clearing member (CM) towards meeting margin requirements.



**Sole / First Holder Sign**



**Second Holder Sign**



**Third Holder Sign**

# Instructions / Guidelines For Filing Individual KYC Application Form

## A. General Instruction :

1. Self-attestation of documents is mandatory.
2. 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 mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PI Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, GIN is optional; and in absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. 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.
11. Politically exposed persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country e.g.. Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

## B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card.
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z - Others (any document notified by the central government) is ticked.
5. Others - Identity card with applicant's photograph 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.

## C. Proof of Address (POA):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes - Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, 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.
3. Identity card/document with 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.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For Fill/Sub account, Power of attorney given by Fil/Sub account to the custodians (which are duly notarized and/or apostilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax.
8. Original Verified Documents (OD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card.

## D. Exemptions/Clarifications to PAN (\*Sufficient documentary evidence in support of such claims to collected)

1. Investments (including SIPs), in Mutual Fund schemes up to IN 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely Fils, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

## E. List of people authorized to attest the documents:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

---

# SPREADX SECURITIES PRIVATE LIMITED

## Correspondence Office Address

Shilp Corporate Park, b Block, 13th Floor,  
B-1309, Near Rajpath Club, Rajpath Rangoli Road,  
S.g.highway, Ahmedabad – 380 054, Gujarat, India.

079-69072020 | info@spreadx.in

CIN: U65999GJ2022PTC133525

MEMBER: NSE, BSE | DP: CDSL

AVAILABLE ON



**SPREADX**  
SECURITIES PVT. LTD.