Serial No.

Padam Towers Securities Ltd.

CLIENT REGISTRATION FORM

Client Registration form received on ....

Client Registration form received & checked by ....

Client Registration form entered in DP, KRA, Webex and / or UCI/ and/or Exchange by ....

Client Registration form entered in Back Office (DP) by ....

Client Registration form entered in back office (Trading) ....

PADAM TOWERS SECURITIES LIMITED

(FORMERLY UNLOCK WEALTH SECURITIES LIMITED)

CIN : U67120UP2000PLC025330
"PADAM TOWERS", 14/113 CIVIL LINES KANPUR- 208 001
Mobile : 8004252631, 8004252128
Website : www.upsecindia.com
Email upsesecltd@gmail.com, ceounlockwsl@gmail.com
Email ID for investorcomplaints : upsesecomplaints@gmail.com
CDSL DPID 13061300 SEBI Reg No. IN-DP-711-2022
Member : BSE, NSE, MSE : SEBI Reg No. INZ000159835

Authorised Person Name : ________________________________

Authorised Person Exchange Registration No.(s):

												BSE
												NSE
												MSE

Client Name : ________________________________

Client Code :

Client ID :

1	3	0	6	1	3	0	0								

ACCOUNT OPENING KIT

INDEX OF DOCUMENTS

S. No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. Client Registration Document	1-3
		B. Account Opening Form DP (Individual)	4-7
		1. CKYC & KRA Form (Individual) 2. Account Opening Form DP(Non-Individuals) 3. CKYC & KRA Form (Non-Individual) 4. Declaration of HUF 5. FATCA & CRS Declaration Form Aforesaid documents capture the basic information about the client and an instruction/check list	8-18 19-22 23-24 25-26 27
2	Right and Obligations	Right and obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	28-30
3	SMS Alerts	Terms and conditions-cum Registration / Modification Form for receiving SMS Alerts	31-33
4	Nomination Form	Nomination Form	34-35
5	Rate Structure of DP	Rate Structure of DP	36
6	DDPI	Demat Debit and Pledge Instruction	37-38
7	Trading Preferences & AP Details	Trading Preferences & AP Details	39
8	Policies and Procedures	Document describing significant policies and procedures of the stock broker	40
9	Document for FO Clients & Tariff Sheet	Document for FO Clients Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	41
10	Format of declaration by the proprietorship firm and letter of authority for partnership firm.	For DP Operations by the proprietor and Authorised Partner/s	42
11	Margin and Running Account Authorisations (Voluntary)	Deposit of margin and Running Account Authorisations	43
12	SMS and E-Mail alerts (Voluntary)	Investor willing to avail SMS and E-Mail alerts facility	44
13	Board Resolution in case of Corporate Client and Shareholding Pattern	Delegation of Authority to Director(s) on behalf of the Company and Details of Shareholding	45
14	Investor Charter & MITC	Investor Charter for Depositories and DP Most Important Terms & Conditions for Trading A/c	46-50
15	Acknowledgement	Broker's and Client's Copy	51
16	Ultimate Beneficial Ownership	Declaration form of Ultimate Beneficial Ownership[UBO] / Controlling Persons	
17	Contact Details	Contact Details	
18	Rights and Obligations	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).	Welcome KIT
19	Internet Trading By the Client	Internet & Wireless Technology Based Trading Facility	Welcome KIT
20	Risk Disclosure Document (RDD), Investor charter, MITC & Guidance Note	Document detailing risks associated with dealing in the securities market. DOS & DON'TS for trading, Investor charter & MITC.	Welcome KIT

Proof of Identity and proof of correspondence is compulsory for all holders in the Demat Account Introduction Documents furnished (✔) for proof of Identity and Correspondence Address.

	Proof of Identity (Anyone)		Proof of Correspondence Address (Anyone)
1.	Pan Card (Mandatory)	1.	Ration Card
2.	Passport	2.	Voter ID Card
3.	Voter ID Card	3.	Driving License
4.	Aadhaar Card	4.	Aadhaar Card
5.	Driving License	5.	Bank Passbook
6.	Photo Credit Cards/ Photo Debit Cards issued by Banks.	6.	Verified documents of Electricity Bill (not more than 2 months old from the bill date) Land Line telephone bill (not more than 1 month old from the date) Leave and License Agreement/ Agreement for Sale
7.	Identity Card/Document with Applicant's Photo issued by a) Central/State Government and its Departments b) Statutory/Regulatory Authorities c) Public Sector Undertakings d) Scheduled Commercial Banks e) Public Financial Institutions f) Colleges affiliated to Universities (this can be treated as valid only till the time the applicant(s) is/are student/students) g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members	7.	Identity card/document with applicant's photo & address issued by a) Central/State Government and its Departments b) Statutory/Regulatory Authorities c) Public Sector Undertakings d) Scheduled Commercial Banks e) Public Financial Institutions f) Colleges affiliated to Universities (this can be treated as valid only till the time the applicant is a student) g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members.
		8.	Self-declaration by High Court & Supreme Court Judges, giving the new address in respect of their own accounts.

Checklist for Individual/Minor/ HUF/ NRI/ Applicant(s) :

	For the Applicant's		For DP use	
	Yes	No	Yes	No
General				
Application form filled in CAPITAL Letters				
Self attested copy of PAN submitted by ALL applicants.				
Incase the photo on PAN copy is not clear, another self attested ID proof as per details above				
Self attested copy of Address Proof of All the applicants as per details given above				
KYC form				
Duly filled, signed and submitted by All applicants				
Application Form				
Photo on the form matches with ID Proof.				
Blank columns duly cancelled				
Corrections if any, are duly authenticated by ALL the applicants				
Name on the form is exactly as on PAN Card				

	For the Applicant's		For DP use	
	Yes	No	Yes	No
Signature on the form is exactly as on PAN copy				
Address on the form is exactly as on the proof.				
Address provided is complete with PIN code.				
Photograph affixed and signed across, i.e. part of the signature is on the form				
Bank account details of sole/ 1st applicant				
Copy of cancelled cheque leaf is provided				
Bank Account number mentioned is same as of the cheque leaf copy provided.				
Type of account mentioned				
Complete Address of the Bank, i.e. Name and Address in full with Pin Code is provided.				
MICR number/IFSC Code duly filled-in				
Nomination form (Applicable only for Individual & NRI accounts)				
Incase of Minor Nominee, self attested photocopy of date of birth certificate should be provided				
Incase of Minor Nominee, Guardian's PAN provided				
Witness signature of 2 persons, with their full name and complete address				
Debit Authorisation				
Authorised Bank Savings/ Current account number of the person's account will be debited for recovery of demat account charges				
Signature of Savings/ Current account holders				
Signature, Full Name and Complete Address of the Witness				
Schedule of Charges				
Signed by ALL the applicants.				
Demat Debit & Pledge Instruction (DDPI) if applicable				
Notarised copy with signature of both Donor and Donee.				
Photograph of POA holder				
Consent letter signed by the Donor and Donee.				
HUF Account				
Coparceners declaration as per format provided (with Name, Age, Gender and Relationships)				
NRI Account				
RBI Approval is attached.				
Address Proof for foreign address				
Others (please specify)				

PAPER TO BE SUBMITTED/ENCLOSED WITH CORPORATE (DOMESTIC OR FOREIGN) DEMAT & TRADING ACCOUNT OPENING FORM

1. PAN Card of the Corporate Entity certified by Company Authorised Signatories.
2. Photocopy of proof of address of the Corporate Entity self-certified by Company Authorised Signatories evidenced by documents i.e. documents registered with registering authorised or bank statement or agreement for sale or lease / leave and license agreement.
3. Copy of Balance Sheets for the last 2 financial Years **(To be submitted every Year)**.
4. Copy of latest shareholding pattern including list of all those holding control, Either directly or indirectly, in the company in terms of SEBI Takeover Regulations, duly certified by the Company Secretary/Whole time Director/ MD **(to be submitted every year)**
5. Photograph, Proof of Identity (POI), Proof of Address (POA), PAN and DIN Numbers of whole time Directors / two Directors in charge of day to day operations.
6. Photograph, POI, POA and PAN of Individual Promoters holding control – either directly or indirectly.
7. Copies of the Memorandum and Articles of Association & Certificate of Incorporation [Original or Certified Photocopy]
8. Copy of Board Resolutions for investment in securities market (format enclosed) duly certified by Managing Director / Company Secretary, authorizing opening of demat account and Trading account specifying the name of persons authorized by the Board to operate and for investment in securities market from the said accounts. The resolution must specify the manner of operation of the accounts and authority given to the authorized signatories to open and operate the accounts.
9. List of Authorized Signatory(ies), Designation, Photograph and their specimen Signatures duly verified by Managing Director / Company Secretary.
10. Self-Attested photocopy(IES) of PAN Card(s) and Address Proof(s) of Authorized Signatory(ies) / Director(s).
11. Networth Certificate
12. Declaration form of Ultimate Beneficial Ownership [UBO]/Controlling Person.

One (01) each of the following :-

13. One (01) cancelled cheque.

NOTE: Please bring original documents, at the time of submission of Account Opening form for verifications.

PADAM TOWERS SECURITIES LIMITED

Annexure 2.1

(FORMERLY UNLOCK WEALTH SECURITIES LIMITED)
CIN : U67120UP2000PLC025330
MEMBER : BSE, NSE, MSE • SEBI Regn. No. : INZ000159835
DP-CDSL SEBI Regn. No. IN-DP-CDSL-711-2022
IDs BSE-298, NSE-11168, MSE-15000, DP-CDSL-13061300
Regd. Office : PADAM TOWERS, 14/113, CIVIL LINES, KANPUR - 208 001
PHONES : +91-8004252128, 8004252631 • Website : upsecindia.com
E-mail : upsesecltd@gmail.com, ceounlockwsl@gmail.com
EMAIL ID FOR INVESTOR COMPLAINTS : upseseccomplaints@gmail.com

Application Form for Opening a Demat & Trading Account

❑ **Individual** ❑ **NRI** ❑ **Foreign National**

(To be filled by the depository Participant & Trading Member) Client Code

Application No.									Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																	
DP ID	1	3	0	6	1	3	0	0	Client ID								

(Tobe filled by the applicant in BLOCK LETTERS in English)

I/We request you to open a Demat & Trading Account in our name as per the following details :

Sole/First Holder's Details

First Name			
Middle Name			
Last Name			
Father/Husband Name			
Title	❑Mr. ❑Mrs. ❑Miss. ❑Other	Suffix	
Correspondence Address			
City/Town/Village		State	
Country		PIN Code	
		Fax No.	
Telephone No. [(R)/(O)]		Mobile No.	
PAN			
UID	X X X X X X X X		
E-mail ID			
UCC		Exchange Name & ID	
Permanent Address (If different from Correspondence Address)		State	
City/Town/Village		PIN Code	
Country		Fax No.	
Telephone No. [(R)/(O)]		Mobile No.	
E-mail ID			

Joint Holder's - Second Holder's Details

First Name												
Middle Name												
Last Name												
Father/Husband Name												
Title	❑ Mr.	❑ Mrs.	❑ Miss.	❑ Other	Suffix							
Correspondence Address												
City/Town/Village		State										
Country		PIN Code										
Telephone No. [(R)/(O)]		Fax No.										
		Mobile No.										
PAN												
UID	X	X	X	X	X	X	X	X				
E-mail ID												

Joint Holder's - Third Holder's Details

First Name												
Middle Name												
Last Name												
Father/Husband Name												
Title	❑ Mr.	❑ Mrs.	❑ Miss.	❑ Other	Suffix							
Correspondence Address												
City/Town/Village		State										
Country		PIN Code										
Telephone No. [(R)/(O)]		Fax No.										
		Mobile No.										
PAN												
UID	X	X	X	X	X	X	X	X				
E-mail ID												

Type of Account (Please tick whichever is applicable)

Status	Sub - Status	
❑ Individual	❑ Individual Resident ❑ Individual Director's Relative ❑ Individual Promoter ❑ Individual Margin Trading A/C (MANTRA)	❑ Individual-Director ❑ Individual HUF / AOP ❑ Minor ❑ Other (Specify)
❑ NRI	❑ NRI Repatriable ❑ NRI Repatriable Promoter ❑ NRI - Depository Receipts	❑ NRI Non - Repatriable ❑ NRI Non - Repatriable Promoter ❑ Other (Specify)
❑ Foreign National	❑ Foreign National ❑ Foreign National-Depository Receipts	❑ Other (Specify)

I / We instruct the DP to receive each and every credit in my / our account. (If not marked, the default option would be 'Yes')	[Automatic Credit] ❑ Yes	❑ 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')	❑ Yes	❑ No
Mode of Operation for Execution of Transactions (Transfer, Pledge & Freeze)	❑ Jointly	❑ Anyone of the Holder

Consent for Communication to be received by first account holder/all Account holder : (Tick the applicable box. If not marked the default option would be first holder.
❑ First Holder ❑ All Holder
❑ Second Holder : Email ID : ....
❑ Third Holder : Email ID : ....

Account Statement Requirement	❑ As per SEBI Regulation	❑ Daily	❑ Weekly	❑ Fortnightly	❑ Monthly

I/We request you to send Electronic Transaction-cum-Holding Statement at E-mail ID	❑ Yes	❑ No
I / We would like to share the email ID with the RTA	❑ Yes	❑ No

I / We would like to receive the Annual Report ❑ **Physical** ❑ **Electronic** ❑ **Both Physical and Electronic**
(Tick the applicable box. If not marked the default option would be in Physical)

I / We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	❑ Yes	❑ No

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR Code)											
IFS Code (11 Characters)											
Account number											
Account type	❑ Saving			❑ Current			❑ Cash Credit			❑ Other (Specify)	
Bank Name											
Branch											
Bank Address											
City		State		Country		PIN Code					

(i.) Copy of the cancelled cheque having the name of the account holder where the cheque book is issued (or)
(ii.) Photocopy of the Bank Statement having name and address of the BO and not more than 3 months old, (or)
(iii.) Photocopy of Passbook having name and address of the BO, (or)
(iv.) Letter from the Bank.

- In case of option (ii),(iii),(iv) above, MICR code of the branch should be present / mentioned on the document and it should be self-certified by the BO

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Specimen Signatures			
	(Please affix here coloured photograph and sign across it preferably with marker pen)	(Please affix here coloured photograph and sign across it preferably with marker pen)	(Please affix here coloured photograph and sign across it preferably with marker pen)

(Signature should be preferably in black ink)
(In case of minor holder, photograph of guardian has to be affixed along with minor's photograph).

NAME *	

* In case of Firm, 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, Unregistered Trust, etc., should be mentioned above

Additional Details

SMS Alert Facility (Refer to terms & conditions given as **Annexure 2.4**)	MOBILE NUMBER : +91 ________________ [Mandatory, if you are giving DDPI (If DDPI is not granted and you do not wish to avail of this facility, cancel this option)
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure 2.6	**I wish to avail the TRUST facility using the Mobile number regestered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.** ☐ **Yes** ☐ **No** **I/WewishtoregisterthefollowingclearingmemberIDsundermy/ourbelowmentionedBOID registeredforTRUST**

Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

Easi	To register for easi, please visit website **www.cdslindia.com**. Easi allows a BO to view his ISIN balances, transacation and value of the portfolio online.

Details for First Holder

Date of Birth	D D M M Y Y Y Y
Nationality	❑ Indian ❑ Other (Specify)
Sex	❑ Male ❑ Female
Occupation Please tick, if applicable :	❑ Private/Public Sector ❑ Government Service ❑ Agriculturist ❑ Business ❑ Professional ❑ Student ❑ Retired ❑ Housewife ❑ Others (Specify) .... ❑ Politically Exposed Person (PEP) ❑ Related to Politically Exposed Person (RPEP)
Any other information :	
Nature of business : (Product/services provided)	
Other Details Gross Annual Income Details	**Income Range per annum :** ❑ Up to Rs. 1,00,000 ❑ Rs. 1,00,000 to Rs. 5,00,000 ❑ Rs. 5,00,000 to Rs. 10,00,000 ❑ Rs. 10,00,000 to Rs. 25,00,000 ❑ More than Rs. 25,00,000 Net worth as on (Date) D D M M Y Y Y Y Rs. *(Net worth should not be older than 1 year)*

Details for Joint Second Holder

Date of Birth	D D M M Y Y Y Y
Nationality	❑ Indian ❑ Other (Specify)
Sex	❑ Male ❑ Female
Occupation Please tick, if applicable :	❑ Private/Public Sector ❑ Government Service ❑ Agriculturist ❑ Business ❑ Professional ❑ Student ❑ Retired ❑ Housewife ❑ Others (Specify) .... ❑ Politically Exposed Person (PEP) ❑ Related to Politically Exposed Person (RPEP)
Any other information :	
Nature of business : (Product/services provided)	
Other Details Gross Annual Income Details	**Income Range per annum :** ❑ Up to Rs. 1,00,000 ❑ Rs. 1,00,000 to Rs. 5,00,000 ❑ Rs. 5,00,000 to Rs. 10,00,000 ❑ Rs. 10,00,000 to Rs. 25,00,000 ❑ More than Rs. 25,00,000 Net worth as on (Date) D D M M Y Y Y Y Rs. *(Net worth should not be older than 1 year)*

Details for Joint Third Holder

Date of Birth	D D M M Y Y Y Y
Nationality	❑ Indian ❑ Other (Specify)
Sex	❑ Male ❑ Female
Occupation Please tick, if applicable :	❑ Private/Public Sector ❑ Government Service ❑ Agriculturist ❑ Business ❑ Professional ❑ Student ❑ Retired ❑ Housewife ❑ Others (Specify) .... ❑ Politically Exposed Person (PEP) ❑ Related to Politically Exposed Person (RPEP)
Any other information :	
Nature of business : (Product/services provided)	
Other Details Gross Annual Income Details	**Income Range per annum :** ❑ Up to Rs. 1,00,000 ❑ Rs. 1,00,000 to Rs. 5,00,000 ❑ Rs. 5,00,000 to Rs. 10,00,000 ❑ Rs. 10,00,000 to Rs. 25,00,000 ❑ More than Rs. 25,00,000 Net worth as on (Date) D D M M Y Y Y Y Rs. *(Net worth should not be older than 1 year)*

Details of Guardian (If First Holder or Second Holder or Third Holder is a minor)

Name			
Relationship with the applicant			
Correspondence Address			
City/Town/Village		State	
Country		PIN Code	
Telephone [(R)/(O)]		Mobile No.	
PAN			
E-mail ID			

For NRIs

Foreign Address			
City		State	
Country		PIN/ZIP	

CKYC & KRA KYC Form

Padam Towers Securities Ltd.
"PADAM TOWERS", 14/113, CIVIL LINES, KANPUR - 208 001
Mobile No. : 8004252631, 8004252128
Email : upsesedtd@gmail.com

Know Your Client
Application Form (for Individuals only) (Please fill the form in English and in BLOCK Letters with blank INK) Fields marked with * are mandatory fields, please see guidelines overleaf

Application Type* ☐ New ☐ Update KYC Number*

KYC Type* ☐ Normal (PAN is mandatory) ☐ PAN Exempt Investors(Refer Instruction)

1. Identity Details (Please refer instruction)

PAN

Please enclose a duly attested copy of your PAN Card

	Prefix	First Name	Middle Name	Last Name
Name* (same as ID proof)				
Maiden Name(If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y

PHOTOGRAPH

Please affix the recent passport size photograph of Authorised Signatory and Sign Across it

Gender* ☐ M-Male ☐ F-Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ IN - Indian ☐ Others - Country ____________ Country code

Residential Status* ☐ Resident Individual ☐ Non Resident Individual ☐ Foreign National ☐ Person of Indian origin

Occupation Type* ☐ S-Service ☐ Private Sector ☐ Public Sector ☐ Government Sector ☐ Others ☐ Professional ☐ Self Employed ☐ Retired ☐ House wife ☐ Student ☐ B-Business ☐ X- Not Categorised

Signature/ Thumb Impression

2. Proof of Identity (poI)* (for PAN exempt Investor of PAN Card copy not provided) (Please refer instruction)

(Certified copy of any one of the following Proof of Identity(PoI) needs to be submitted)

☐ A- Passport Number

☐ B- Voter ID Card

☐ D- Driving Licence

☐ E-Aadhaar Card x x x x x x x x

☐ F-NREGA job Card

☐ Z- Others

(any document notified by the central government)

Passport Expiry Date D D – M M – Y Y Y Y

Driving Licence Expiry Date D D – M M – Y Y Y Y

Identification Number

3. Proof of Address(POA)*

☐ 3.1 Current/Permanent Overseas Address Details (Please see instruction)

Line 1*

Line 2*

Line 3* City/Town/Village*

District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1986

State/UT* Country Country Code as per ISO 3166

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

(Certified copy of any one of the following Proof of Address (POA) needs to be submitted)

Proof of Address*

☐ A- Passport Number

☐ B- Voter ID Card

☐ D- Driving Licence

☐ E-Aadhaar Card x x x x x x x x

☐ F-NREGA job Card

☐ Z- Others

(any document notified by the central government)

Passport Expiry Date D D – M M – Y Y Y Y

Driving Licence Expiry Date D D – M M – Y Y Y Y

Identification Number

☐ 3.2 Correspondence/Local Address Details (Please see instruction)

Line 1*

Line 2*

Line 3* City/Town/Village*

District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1986

State/UT* Country Country Code as per ISO 3166

Padam Towers Securities Ltd.

4. Contact Details (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Email ID

Mobile – Tel (off.) – Tel (Res.) –

5. FATCA/CRS Information(Tick if Application) ☐ **Residence for Tax Purpose in Jurisdiction(s) Outside India (Please refer instruction)**

Additional details required* (Mandatory only if above option (5) is ticked

Country of Jurisdiction of Residence* Country Code of Jurisdiction of Residence* as per ISO 3166

Tax Identification Number or equivalent (If issued by Jurisdiction)*

Place / City of Birth* Country of Birth* Country Code as per ISO 3166

Address

Line 1*

Line 2*

Line 3* City/Town/Village*

District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1988

State/UT* Country Country Code as per ISO 3166

6. Details of Related Person (Optional) Please refer instruction & at the end) (In case of additional related persons please provide the same in a separate annexer

☐ Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of minor ☐ Assignee ☐ Authorised Representative

Name* Prefix First Name Middle Name Last Name

☐ Proof of Identity[PoI] of Related Person* (Please see instruction(H) at the end)

(Certified copy of any one of the following Proof of Identity [poI] needs to be submitted)

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E-Aadhaar Card X X X X X X X X

☐ F-NREGA job Card

☐ Z- Others Identification Number

(any document notified by the central government)

7. Remarks (if any)

8. Applicant Declaration

I hereby declare that the furnished above are true and correct to the best of my knowledge and belief and I 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, 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, Regulation or any statute of legislation or any notifications/directions issued by any governmental or statuary authority from time to time.

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

Date D D – M M – Y Y Y Y Place

Signature/Thumb Impression of Applicant

9. Attestation / For Office Use Only

☐ Original Verified and Self Attested Document Copies Received

KYC Verification Carried Out by

Identity Verification ☐ Done Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

In-Person Verification (IPV) Carried Out by)

Identity Verification ☐ Done Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

Institution Details

Name P A D A M T O W E R S S E C U R I T E S L I M I T E D

Code I N 0 1 9 4

CKYC & KRA KYC Form

Padam Towers Securities Ltd.
"PADAM TOWERS", 14/113, CIVIL LINES, KANPUR - 208 001
Mobile No. : 8004252631, 8004252128
Email : upsesltd@gmail.com

Know Your Client
Application Form (for Individuals only) (Please fill the form in English and in BLOCK Letters with blank INK) Fields marked with * are mandatory fields, please see guidelines overleaf

Application Type* ☐ New ☐ Update KYC Number*

KYC Type* ☐ Normal (PAN is mandatory) ☐ PAN Exempt Investors(Refer Instruction)

1. Identity Details (Please refer instruction)

PAN ______ Please enclose a duly attested copy of your PAN Card

	Prefix	First Name	Middle Name	Last Name
Name* (same as ID proof)				
Maiden Name(If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y

PHOTOGRAPH
Please affix the recent passport size photograph of Authorised Signatory and Sign Across it

Gender* ☐ M-Male ☐ F-Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ IN - Indian ☐ Others - Country ______ Country code

Residential Status* ☐ Resident Individual ☐ Non Resident Individual ☐ Foreign National ☐ Person of Indian origin

Occupation Type* ☐ S-Service ☐ Private Sector ☐ Public Sector ☐ Government Sector ☐ Others ☐ Professional ☐ Self Employed ☐ Retired ☐ House wife ☐ Student ☐ B-Business ☐ X- Not Categorised

Signature/ Thumb Impression

2. Proof of Identity (poI)* (for PAN exempt Investor of PAN Card copy not provided) (Please refer instruction)

(Certified copy of any one of the following Proof of Identity(PoI) needs to be submitted)

☐ A- Passport Number
☐ B- Voter ID Card
☐ D- Driving Licence
☐ E-Aadhaar Card X X X X X X X X
☐ F-NREGA job Card
☐ Z- Others
(any document notified by the central government)

Passport Expiry Date D D – M M – Y Y Y Y

Driving Licence Expiry Date D D – M M – Y Y Y Y

Identification Number

3. Proof of Address(POA)*

☐ 3.1 Current/Permanent Overseas Address Details (Please see instruction)

Line 1*
Line 2*
Line 3* City/Town/Village*
District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1986
State/UT* Country Country Code as per ISO 3166

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

(Certified copy of any one of the following Proof of Address (POA) needs to be submitted)

Proof of Address*

☐ A- Passport Number
☐ B- Voter ID Card
☐ D- Driving Licence
☐ E-Aadhaar Card X X X X X X X X
☐ F-NREGA job Card
☐ Z- Others
(any document notified by the central government)

Passport Expiry Date D D – M M – Y Y Y Y

Driving Licence Expiry Date D D – M M – Y Y Y Y

Identification Number

☐ 3.2 Correspondence/Local Address Details (Please see instruction)

Line 1*
Line 2*
Line 3* City/Town/Village*
District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1986
State/UT* Country Country Code as per ISO 3166

Padam Towers Securities Ltd.

4. Contact Details (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Email ID

Mobile – Tel (off.) – Tel (Res.) –

5. FATCA/CRS Information(Tick if Application) ☐ **Residence for Tax Purpose in Jurisdiction(s) Outside India (Please refer instruction)**

Additional details required* (Mandatory only if above option (5) is ticked

Country of Jurisdiction of Residence* Country Code of Jurisdiction of Residence* as per ISO 3166

Tax Identification Number or equivalent (If issued by Jurisdiction)*

Place / City of Birth* Country of Birth* Country Code as per ISO 3166

Address

Line 1*

Line 2*

Line 3* City/Town/Village*

District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1986

State/UT* Country Country Code as per ISO 3166

6. Details of Related Person (Optional) Please refer instruction & at the end) (In case of additional related persons please provide the same in a separate annexer

☐ Related Person ☐ Deletion of Related Person KYC Number of Related Person (If available*)

Related Person Type* ☐ Guardian of minor ☐ Assignee ☐ Authorised Representative

Name* Prefix First Name Middle Name Last Name

☐ Proof of Identity[PoI] of Related Person* (Please see instruction(H) at the end)

(Certified copy of any one of the following Proof of Identity [poI] needs to be submitted)

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E-Aadhaar Card X X X X X X X X

☐ F-NREGA job Card

☐ Z- Others Identification Number

(any document notified by the central government)

7. Remarks (if any)

8. Applicant Declaration

I hereby declare that the furnished above are true and correct to the best of my knowledge and belief and I 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, 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, Regulation or any statute of legislation or any notifications/directions issued by any governmental or statuary authority from time to time.
I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/Email address.

Date D D – M M – Y Y Y Y Place

Signature/Thumb Impression of Applicant

9. Attestation / For Office Use Only

☐ Original Verified and Self Attested Document Copies Received

KYC Verification Carried Out by

Identity Verification ☐ Done Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

In-Person Verification (IPV) Carried Out by)

Identity Verification ☐ Done Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

Institution Details

Name P A D A M T O W E R S S E C U R I T E S L I M I T E D

Code I N 0 1 9 4

CKYC & KRA KYC Form

Padam Towers Securities Ltd.
"PADAM TOWERS", 14/113, CIVIL LINES, KANPUR - 208 001
Mobile No. : 8004252631, 8004252128
Email : upsesedtd@gmail.com

Know Your Client
Application Form (for Individuals only) (Please fill the form in English and in BLOCK Letters with blank INK) Fields marked with * are mandatory fields, please see guidelines overleaf

Application Type* ☐ New ☐ Update KYC Number*

KYC Type* ☐ Normal (PAN is mandatory) ☐ PAN Excempt Investors(Refer Instruction)

1. Identity Details (Please refer instruction)

PAN — Please enclose a duly attested copy of your PAN Card

	Prefix	First Name	Middle Name	Last Name
Name* (same as ID proof)				
Maiden Name(If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y

PHOTOGRAPH
Please affix the recent passport size photograph of Authorised Signatory and Sign Across it

Gender* ☐ M-Male ☐ F-Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ IN - Indian ☐ Others - Country ____________ Country code

Residential Status* ☐ Resident Individual ☐ Non Resident Individual ☐ Foreign National ☐ Person of Indian origin

Occupation Type* ☐ S-Service ☐ Private Sector ☐ Public Sector ☐ Government Sector ☐ Others ☐ Professional ☐ Self Employed ☐ Retired ☐ House wife ☐ Student ☐ B-Business ☐ X- Not Categorised

Signature/ Thumb Impression

2. Proof of Identity (poI)* (for PAN exempt Investor of PAN Card copy not provided) (Please refer instruction)

(Certified copy of any one of the following Proof of Identity(PoI) needs to be submitted)

☐ A- Passport Number — Passport Expiry Date D D – M M – Y Y Y Y
☐ B- Voter ID Card
☐ D- Driving Licence — Driving Licence Expiry Date D D – M M – Y Y Y Y
☐ E-Aadhaar Card x x x x x x x x
☐ F-NREGA job Card
☐ Z- Others — Identification Number
(any document notified by the central government)

3. Proof of Address(POA)*

☐ 3.1 Current/Permanent Overseas Address Details (Please see instruction)

Line 1*
Line 2*
Line 3* City/Town/Village*
District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1986
State/UT* Country Country Code as per ISO 3166

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

(Certified copy of any one of the following Proof of Address (POA) needs to be submitted)

Proof of Address*

☐ A- Passport Number — Passport Expiry Date D D – M M – Y Y Y Y
☐ B- Voter ID Card
☐ D- Driving Licence — Driving Licence Expiry Date D D – M M – Y Y Y Y
☐ E-Aadhaar Card x x x x x x x x
☐ F-NREGA job Card
☐ Z- Others — Identification Number
(any document notified by the central government)

☐ 3.2 Correspondence/Local Address Details (Please see instruction)

Line 1*
Line 2*
Line 3* City/Town/Village*
District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1986
State/UT* Country Country Code as per ISO 3166

Padam Towers Securities Ltd.

4. Contact Details (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Email ID

Mobile – Tel (off.) – Tel (Res.) –

5. FATCA/CRS Information(Tick if Application) ☐ **Residence for Tax Purpose in Jurisdiction(s) Outside India (Please refer instruction)**

Additional details required* (Mandatory only if above option (5) is ticked

Country of Jurisdiction of Residence* Country Code of Jurisdiction of Residence* as per ISO 3166

Tax Identification Number or equivalent (If issued by Jurisdiction)*

Place / City of Birth* Country of Birth* Country Code as per ISO 3166

Address

Line 1*

Line 2*

Line 3* City/Town/Village*

District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1986

State/UT* Country Country Code as per ISO 3166

6. Details of Related Person (Optional) Please refer instruction & at the end) (In case of additional related persons please provide the same in a separate annexer

☐ Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of minor ☐ Assignee ☐ Authorised Representative

Name* Prefix First Name Middle Name Last Name

☐ Proof of Identity[PoI] of Related Person* (Please see instruction(H) at the end)

(Certified copy of any one of the following Proof of Identity [poI] needs to be submitted)

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E-Aadhaar Card X X X X X X X X

☐ F-NREGA job Card

☐ Z- Others Identification Number

(any document notified by the central government)

7. Remarks (if any)

8. Applicant Declaration

I hereby declare that the furnished above are true and correct to the best of my knowledge and belief and I 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. 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, Regulation or any statute of legislation or any notifications/directions issued by any governmental or statuary authority from time to time.
I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/Email address.

Date D D – M M – Y Y Y Y Place

Signature/Thumb Impression of Applicant

9. Attestation / For Office Use Only

☐ Original Verified and Self Attested Document Copies Received

KYC Verification Carried Out by

Identity Verification ☐ Done Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

In-Person Verification (IPV) Carried Out by)

Identity Verification ☐ Done Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

Institution Details

Name PADAM TOWERS SECURITES LIMITED

Code IN0194

CENTRAL KYC REGISTER | Instructions / Check list/ Guidelines for filling individual KYC Application Form

General Instructions:

1. Fields marked with are mandatory fields.
2. Tick "wherever applicable,
3. Self-Certification of documents is mandatory
4. Please fill the form in English and in BLOCK Letters.
5. Please fill all dates in DD-MM-YYYY format.
6. Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
7. KYC number of applicant is mandatory for updation of KYC details.
8. For particular section update, please tick (3) in the box available before the section number and strike off the sections not required to be updated.
9. In case of 'Small Account type' only personal details at section number 1&2, photograph, signature and sel certification required.

A. Clarification/guidelines on filling 'Personal Details' section

1. Name: Please state the name with Prefix (Mr./Mrs./Ms./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 mandatory furnished. In case PAN is not available father's name is mandatory.

B. Clarification/guidelines on filling details if applicant residence for tax purpose 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)

C. Clarification/guidelines on filling 'Proof of Identity [PoI]' section

1. If driving licence number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification/refrence number if 'Z-Others (any document notified by the central government)' is ticked.
3. In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and under noted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

D. Clarification/guidelines on filling 'Proof of Address[POA]-Current/Permanent/Overseas Address details' section

1. PoA to be submitted only if the submitted pol does not have an address as per PoI is invalid or not in force.
2. State/U.T Code and Pin/Post Code will not be mandatory for Overseas addresses.
3. In case of Simplified Measures Accounts for Verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Public Sector Undertakings, If they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and companies, Similarly, leave and licence agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

E. Clarification/guidelines on filling 'Proof of Address [POA]-Correspondence/Local Address details' section

1. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2. In case of multiple correspondence/local addresses, Please fill 'Annexure A1'

F. Clarification/guidelines on filling 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 '0' in the beginig of Mobile number.

G. Clarification/guidelines on filling 'Related Person details' section

1. Provide KYC number of related person if available.

H. Clarification/guidelines on filling 'Related Person details-Proof of Identity [PoI] of Related Person' section

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

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS :

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
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 address 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/PIO Card / OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the 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., Heads of States or of Governments, senior politicians, senior Government/ Judicial/ Military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI) : List of documents admissible as Proof of Identity :

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID Card/ Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following : Central/ State Government and its Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/ Debit cards isssued by Banks.

C. Proof of Address (POA) : List of documents admissible as Proof of Address : (*Documents having an expiry date should be valid on the date of submission)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
3. bank Account Statement / Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following : Bank Managers of Scheduled Commercial banks/ Scheduled Co-Operative bank/ Multinational Foreign Banks/ Gazetted Officer/ Notary Public/ Elected representatives to the Legislative Assembly/ Parliament/ Documents issued by any Govt. or Statutory Authority.
6. Identity card/ document with address, issued by any of the following: Central/ State Government and its Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members.
7. For FII/ sub account Power of Attorney given by FII/ sub-account to the Custodians (which are duly notarized and/ or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/ clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central government and/ or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/ multilateral agencies exempt from paying taxes/ filling tax returns in India.
4. SIP of Mutual Funds upto Rs. 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under Section 49 of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents :

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

General

1. All details are to be filled in CAPITAL LETTERS.
2. KYC form to be filled and signed by all the applicants, individually.
3. Thumb impressions and signatures other than English, Hindi or any of the other languages not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or Notary Public or a Special Executive Magistrate or by a banker with the name, address and telephone numbers of the attesting authority.
4. Minor account cannot be opened in joint names.
5. Incase of Minor account, copy of birth certificate of the minor to be submitted.
6. Incase of HUF, the account can be opened only in the name of Karta and declaration from all the coparceners as per our format is required.
7. Do not suffix "HUF", "& CO" in the name column.
8. Name on the application to be same as of PAN copy submitted.
9. Signature on the application to be same as of PAN copy submitted.
10. Address on the form to be same as of address proof submitted.
    PINCODE should be available on the form as well as on the proof.
11. Corrections if any, and blank column filled-in the stamped documents like DP Agreement, POA etc are duly authenticated by all the applicants.
12. Account cannot be opened by a Power of Attorney holder.
13. Incase of NRIs seperate accounts to be opened for NRE and NRO.
14. Before signing the form, ensure that the information provided are in order.
15. All communications shall be sent to the Sole / 1st applicant's address only.

KYC/Supporting Documents :

1. Self attested copy of PAN of all applicants to be submitted. Incase of HUF PAN copy of both Karta and HUF needs to be submitted.
2. Self attested copy of valid ID Proof of all applicants to be submitted, if PAN copy submitted is not clear.
3. Self attested copy of valid Address Proof of all applicants to be submitted in case of Local / Permanent Address is different from Correspondence Address a separate proof should be provided.
4. Please produce the originals of the supporting documents to the bank official for verification.

Photographs :

1. Is required for all the applicants.
2. Incase of HUF, photograph of Karta is required.
3. To be affixed and signed across by the respective individuals i.e. part of signature to be on the form. It is advisable to sign in a permanent marker pen.

Bank Details :

1. Of the 1st applicant should be provided.
2. Copy of cancelled cheque leaf is to be provided.
3. Complete Bank address to be provided.

Nomination :

1. It is optional, but advisable.

2. Nomination can be made only by an individual holding a Beneficiary owner Account on their behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, Karta of HUF, holder of Power of Attorney cannot be nominated.
3. A Minor can be nominated. In that event, the name and address of the Guardian of the Minor Nominee shall be provided by the Beneficial Owner.
4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5. Transfer of securities in favour of a Nominee shall be a valid discharge by the depository against the legal heir.
6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf, singly or jointly by the same persons who made the original nomination. Non Individuals including society, trust, body corporate, partnership firm, Karta of HUF, holder of Power of Attorney cannot cancel the nomination. If the beneficiary 'account is held jointly, all the joint holders will sign the cancellation form.
7. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.

Power of Attorney :

1. POA holder also subject to KYC compliance, hence ID and Address proof of POA holder also needs to be submitted.
2. Notarised copy of POA with the signature of Donor and Donee should be submitted.

Please refer for details of documents to be submitted for ID and Address Proof on page 2.

Annexure 2.2

PADAM TOWERS SECURITIES LIMITED

(FORMERLY UNLOCK WEALTH SECURITIES LIMITED)
CIN : U67120UP2000PLC025330
MEMBER : BSE, NSE, MSE • SEBI Regn. No. : INZ000159835
DP-CDSL SEBI Regn. No. IN-DP-CDSL-711-2022
IDs BSE-298, NSE-11168, MSE-15000, DP-CDSL-13061300
Regd. Office : PADAM TOWERS, 14/113, CIVIL LINES, KANPUR - 208 001
PHONES : +91-8004252128, 8004252631 • Website : upsecindia.com
E-mail : upsesecltd@gmail.com, ceounlockwsl@gmail.com
EMAIL ID FOR INVESTOR COMPLAINTS : upseseccomplaints@gmail.com

Application Form for Opening a Demat & Trading Account

(for entities other than Individuals)

(To be filled by the depository Participant & Trading Member) Client Code

Application No									Date							
DP Internal Reference No.																
DP ID	1	3	0	6	1	3	0	0	Client ID							

(Tobe filled by the applicant in BLOCK LETTERS in English)

I/We request you to open a Demat & Trading Account in our name as per the following details :

Name			
Surname			
Correspondence Address			
City		State	
Country		Pin	
Telephone No		Fax No	
PAN			
E-mail ID			
Registered Office address (if different from Correspondence Address)			
City		State	
Country		Pin Code	
Telephone No		Fax No	
E-mail ID			
UCC		Exchange name & ID	

Other Holders –Second Holder Details

First Name			
Middle Name			
Last Name			
Father / Husband Name			
Title	❑ Mr. ❑ Mrs. ❑ Ms. ❑ Other	Suffix	
Permanent Address			
City		State	
Country		Pin Code	
PAN			
Date of Birth	D D M M Y Y Y Y	Mobile No.	
E-mail ID			
UID	X X X X X X X X		

Other Holders –Third Holder Details

First Name													
Middle Name													
Last Name													
Father / Husband Name													
Title	❑ Mr. ❑ Mrs. ❑ Ms. ❑ Other									Suffix			
Permanent Address													
City				State									
Country				Pin Code									
PAN													
Date of Birth	D	D	M	M	Y	Y	Y	Y	Mobile No.				
E-mail ID													
UID	X	X	X	X	X	X	X	X					

Type of Account (Please tick whichever is applicable)			
Status			Sub - Status
❑ Body Corporate ❑ Banks ❑ Trust ❑ Mutual Fund ❑ OCB ❑ FII ❑ CM ❑ FI ❑ Clearing House ❑ Other (Specify)			
Date of Incorporation			
SEBI Registration No. (If Applicable		SEBI Registration Date	
RBI Registration No. (If Applicable		RBI Registration Date	
Nationality	❑ Indian	❑ Other (Specify)_______________	
I / We instruct the DP to receive each and every credit in my / our account (if not marked, the default option would be 'Yes')			[Automatic Credit] ❑ YES ❑ NO
I / We would like to instruct the DP 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')			❑ YES ❑ NO
Account Statement Requirement	❑ As per SEBI Regulation ❑ Daily ❑ Weekly ❑ Fortnightly ❑ Monthly		
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID ____________________			❑ YES ❑ NO
I / We request you to share the email ID with RTA			❑ YES ❑ NO
I / We would like to receive the Annual Report ❑ Physical / ❑ Electronic / ❑ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be Physical)			

Clearing Member Details(to be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading member ID	

I /We wish to receive dividend / interest directly in to my bank account given below through ECS (if not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	❑ YES ❑ NO

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR Code)													
IFS Code (11 Characters)													
Account number													
Account type	☐ Saving			☐ Current				☐ Other (Specify)					
Bank Name													
Branch													
Bank Address													
City		State		Country		PIN Code							

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)

(ii) Photocopy of the Bank Statement having name and address of the BO and not more than 2 months old, (or)

(iii) Photocopy of the bank Passbook having name and address of the BO, (or)

(iv) Letter form the bank

In case of option (ii),(iii),(iv) above, MICR Code of the Branch should be present/mentioned on the document and it should be self certified by the BO.

Name *	

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, Unregistered Trust, etc., should be mentioned above.

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 website www.cdslindia.com *Easi* allows a BO to view his ISIN balances, transactions and value of the portfolio online.	

I/We have received and read the document of 'Right and obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) Including the schedules thereto and the 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 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.

	First/Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
NAME			
Designation			
Signature	☞	☞	☞
Passport size Photograph	*(Please Affix here coloured Photograph and sign across it preferably with marker pen)*	*(Please Affix here coloured Photograph and sign across it preferably with marker pen*	*(Please Affix here coloured Photograph and sign across it preferably with marker pen*

Details for First Holder

Date of Birth	D D M M Y Y Y Y
Nationality	❑ Indian ❑ Other (specify)
Sex	❑ Male ❑ Female
Occupation Please tick, if applicable :	❑ Public / Private Sector ❑ Government Service ❑ Agriculturist ❑ Business ❑ Professional ❑ Student ❑ Retired ❑ Housewife ❑ Others (Specify) ❑ Politically Exposed Person (PEP) ❑ Related to politically exposed Persons (RPEP)
Any other information	
Nature of business: (Product/services provided)	
Other Details Gross Annual Income Details	**Income Range per anum:** ❑Up to Rs. 1,00,000 ❑Rs. 1,00,000 to Rs. 5,00,000 ❑ Rs. 5,00,000 to Rs. 10,00,000 ❑Rs. 10,00,000 to Rs. 25,00,000 ❑ Rs. 25,00,000 to Rs. 1,00,00,000 ❑More than Rs. 1,00,00,000 **Net worth as on (Date)** D D M M Y Y Y Y **Rs.**
	(Net worth should not be older than 1 year)

Details for Joint Second Holder

Date of Birth	D D M M Y Y Y Y
Nationality	❑ Indian ❑ Other (specify)
Sex	❑ Male ❑ Female
Occupation Please tick, if applicable :	❑ Public / Private Sector ❑ Government Service ❑ Agriculturist ❑ Business ❑ Professional ❑ Student ❑ Retired ❑ Housewife ❑ Others (Specify) ❑ Politically Exposed Person (PEP) ❑ Related to politically exposed Persons (RPEP)
Any other information	
Nature of business: (Product/services provided)	
Other Details Gross Annual Income Details	**Income Range per anum:** ❑Up to Rs. 1,00,000 ❑Rs. 1,00,000 to Rs. 5,00,000 ❑ Rs. 5,00,000 to Rs. 10,00,000 ❑Rs. 10,00,000 to Rs. 25,00,000 ❑ Rs. 25,00,000 to Rs. 1,00,00,000 ❑More than Rs. 1,00,00,000 **Net worth as on (Date)** D D M M Y Y Y Y **Rs.**
	(Net worth should not be older than 1 year)

Details for Joint Third Holder

Date of Birth	D D M M Y Y Y Y
Nationality	❑ Indian ❑ Other (specify)
Sex	❑ Male ❑ Female
Occupation Please tick, if applicable :	❑ Public / Private Sector ❑ Government Service ❑ Agriculturist ❑ Business ❑ Professional ❑ Student ❑ Retired ❑ Housewife ❑ Others (Specify) ❑ Politically Exposed Person (PEP) ❑ Related to politically exposed Persons (RPEP)
Any other information	
Nature of business: (Product/services provided)	
Other Details Gross Annual Income Details	**Income Range per anum:** ❑Up to Rs. 1,00,000 ❑Rs. 1,00,000 to Rs. 5,00,000 ❑ Rs. 5,00,000 to Rs. 10,00,000 ❑Rs. 10,00,000 to Rs. 25,00,000 ❑ Rs. 25,00,000 to Rs. 1,00,00,000 ❑More than Rs. 1,00,00,000 **Net worth as on (Date)** D D M M Y Y Y Y **Rs.**
	(Net worth should not be older than 1 year)

Padam Towers Securities Ltd.

CKYC & KRA KYC Form Know Your Client (KYC) Application Form (For Non-Individuals)

"PADAM TOWERS", 14/113 CIVIL LINES, KANPUR - 208001
Mobile No. : 8004252631, 8004252128

Please fill this form in ENGLISH and in BLOCK LETTERS with black ink (Please see guidelines overleaf)

A. Identity Details

1. **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

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

4A. PAN B. Registration No. (e.g. CIN)

PHOTOGRAPH

Please affix the recent passport size photograph of Authorised Signatory and Sign Across it.

5. **Status** Please tick (✓) ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partner ship ☐ Trust/Charities/NGOs ☐ FI ☐ FII ☐ HUF ☐ AOF ☐ Bank ☐ Government Body ☐ Non-Government Organisation ☐ Defence Establishment ☐ Body of Individuals ☐ Society ☐ LLP ☐ Others (Please Specify)

PROOF OF IDENTITY (PoI)*

☐ Officialy valid document(s) in respect of person authorized to transact
☐ Certificate of Incorporation / Formation ☐ Registration Certificate
☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed
☐ Resolution of Board / Managing Commitee ☐ Power of attorney granted to its manager, officer or employees to transact on its behalf

B. Address Details

1. Address for Correspondence

City/Town/Village Pin Code

State Country

2. Contact Details

Mobile

Email ID

3. Specify the Proof of address submitted for correspondence Address :

4. Registered Address (If Different from above) :

City/Town/Village Pin Code

State Country

DECLARATION

I/We hereby declare that 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.

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

NAME & SIGNATURE(S) OF AUTHORISED PERSONS(S)

Place : Date:

Attestation / for office use only

☐ Original Verified and self attested document Copies Received

KYC Verification Carried Out by

Identity Verification ☐ Done Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

In-Person Verification (IPV) Carried Out by

Identity Verification ☐ Done Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

Institution Details

Name PADAM TOWERS SECURITIES LIMITED

Code IN0194

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

Name of Applicant ______________________ PAN of the Applicant ☐☐☐☐☐☐☐☐☐☐

Sr. No.	PAN	Name	DIN (For Directors)/ UID (For Others)	Residential/ Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						☐ PEP ☐ RPEP ☐ NO	
						☐ PEP ☐ RPEP ☐ NO	
						☐ PEP ☐ RPEP ☐ NO	
						☐ PEP ☐ RPEP ☐ NO	
						☐ PEP ☐ RPEP ☐ NO	

Name & Signature
of the Authorised Signatory (ies) Date D D M M Y Y Y Y

PEP : Politically Exposed Person
RPER : Related to Politically Exposed Person

DECLARATION OF HUF STATUS

As I/We wish to open a Depository Account and Trading Account with you in my capacity as "Karta" of HUF of ………………………... . I/We beg to say that the first signatory to this letter i.e ……...........................…………….. is the "karta" of the joint family and other signatories are the adult Co-parceners of the said family. I/We further confirm that the business of the said joint family is carried on mainly by said "Karta" as also by the other signatories hereto in the interest and for the benefit of the entire boy of Co-Parceners of joint family.

In view of the fact that ours is not a Firm goverened by the Indian Partnership Act, 1932, we have not got out firm registered under the said act.

I/We hereby undertake to inform you the death or birth of Co-parceners or any change occurring at any time in the membership of our joint family during the currency of the account.

Name of "Karta" Signature & Stamp of "Karta"

S.No.	Name of Adult Co-parcerners	Relationship with Karta	Male/Female	Date of Birth	Signature

S.No.	Name of Minor Co-parcerners	Relationship with Karta	Male/Female	Date of Birth	Signature

Above Details Verifid

Date ..../......./.............

Signature & Stamp of Karta

NO OBJECTION FROM CO-PARCERNERS OF HUF ON EXECUTION OF DDPI BY KARTA

We wish to open a Beneficiary Owner Account with your Depository Participant in the name of the signatory to this letter in the capacity as "Karta" of .... HUF. We beg to say that the first Signatory of this letter i.e. .... is the "Karta" of the said Hindu undecided Family. We the other Co-parceners including adult / minor (through natural gaurdians) of the said family give our consent and are hereby authorize the "Karta" of HUF to give Power Attorney and appoint any Clearing Member (CM) to execute any delivery instructions specifically for auto pay-in towards stock market obligations for and on behalf of the said HUF.

We set out hands at .... on this .... day of .... 20 ....

Name of "Karta" Signature & Stamp of "Karta"

S.No.	Name of Adult Co-parcerners	Relationship with Karta	Male/Female	Date of Birth	Signature

S.No.	Name of Minor Co-parcerners	Relationship with Karta	Male/Female	Date of Birth	Signature

Above Details Verifid

Date ..../......./.............

Signature & Stamp of Karta

FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) & (CRS) DECLARATION FORM

[Mandatory for all incestors (Gaurdian in case of minor) and Joint Holder(s), In case of Multiple Tax Residencies enclose seprate forms]

APPLICANTS INFORMATION

Is your Country of Tax Residency other that India - ☐ Yes ☐ No

If 'Yes', please specity the details of all countries where you hold tax residency and its Tax Identification Number & type.

Trading A/c No. ____________________ Demat A/c No. ____________________

Particulars	First/Sole Holder	Second Holder	Third Holder
Name			
IT PAN No.			
Country of birth			
Nationality			
Country of Tax Residency#			
Foreign Address			
TAX Identification Number(TIN)			
Identification Type			

to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA.

DECLARATION & SIGNATURE(S) (To be signed as per mode of holding)

Client agrees to provide the trading member and/or depository participant with any documentation or information requested relating to individual or entity tax status. To the extent required by the trading member and/or depository participant, client hereby consents to the disclosure and reporting of any tax related information obtained or held by the treading member and/or depository participant to any local or foreign regulatory or tax authority ("Tax Authority). Upon request by the trading member and/or depository participant, client hereby agrees to obtain a written waiver or consent from the entity's "substantial owners" or "controlling persons" and to provide those consents to the trading member and/or depository participant to permit it to disclose and report tax and account specific financial information to any local or foreign Tax authority. The terms "substantial owners" and "controlling persons" shall have to meaning as defined under local or foreign tax laws, regulatory guidance or inter government cooperation agreements. The potential consequences for failure to comply with requested for tax information, failure to respond to requests for waivers or consents for tax information disclosure, and/or failure to respond to requests to obtain waivers or consents from substantial owners or controlling persons, include but are not limited to: (a) trading member and/or depository participant has the right to carry out actions which are necessary to comply with the local or foreign tax reporting obligations; (b)trading member and / or depository participant has the ability to withhold taxes that may be due from certain payments made to the client's account; (c) trading member and/or depository participant has the right to pay relevant taxes to appropriate tax authority; (d) trading member and/or depository participant has the right to refuse to provide certain services, and (e) trading member and / or depository participant has the discretion to close client accounts. The client agrees to inform, or respond to any request from, the trading member and/ or depository participant, if there are any changes to tax information previously provided.

First/Sole Holder	Second Joint Holder	Third Joint Holder
☞	☞	☞

Date : Place :

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The stock broker/stock broker and depository participant shall not directly / indirectly compel the clients to execute Power Attorney(POA) or Demat Debit and Pledge instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996,
    1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
    2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

25. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

26. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

27. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
28. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
29. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
30. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
31. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
32. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Byelaws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

This document is also available at our Website www.upsecindia.com

I wish to receive Rights and Obligations document as mentioned at page no. .... to .... in physical/electronic mode.

Acknowledgement

Received a copy of afore said documents from Padam Towers Securities Limited

Signature : ________________________

Name : ________________________

Date : ________________________

(Acknowledgement of the Client)

Annexure 2.5

I/We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I/We have issued a POA/DDPI/registered for eDIS/ executed PMS agreement in favour of / with .... (name of the attorney/ Clearing Member/ PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member /by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction slip (DIS) booklet should be issued to me/ us immediately on my/ our request at any later date.

Yours faithfully

	First/ Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL, BSE, NSE, SEBI etc.
[SMS Alerts will be sent by CDSL BSE, NSE, SEBI etc. to BOs for all debits]

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his/ her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period/ indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration/ modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration/ change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in "Off" mode i.e. unable to receive the alerts then the BO may not get/ get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in

writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.

5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL 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 am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of **REGISTRATION / MODIFICATION** (Please cancel out what is not applicable).

Client Code :																
BO ID	1	3	0	6	1	3	0	0								

Sole / First Holder's Name : ______________________

Second Holder's Name : ______________________

Third Holder's Name : ______________________

Mobile Number on which messages are to be sent	+91									

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of : ______________________

Email ID: ______________________

(Please write only ONE valid email ID on which communication; if any, is to be sent)

Signatures ______________ ______________ ______________

Sole / First Holder Second holder Third Holder

Place : ___________

Annexure 2.3

Instructions to the applicants (BOs) for account opening

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of india. Thumb impression and signature other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Magistrate / Special Executive Office under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names,Address and Telephone Number(s) etc. of the magistrate/Notary Public/Special Executive Magistrate/Special Executive Office are to be provided in case of attestation done by them.
4. In case of additional signatures (for account other than individuals), Separate annexures should be attached to the account opening form.
5. In case of applications containing a Power Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence/ queries shall be aforesaid to the First/Sole applicant.
7. Strike of whichever option in the account opening for is not applicable.

Nomination Form

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

TM/DP Padam Towers Securities Limited "Padam Towers", 14/113, Civil Lines, Kanpur -208 001	Form for nomination (to be filled in by individual applying singly or jointly)

Date	DP ID	1	3	0	6	1	3	0	0	Client ID								
	UCC																	

I/We wish to make a nomination [As per details given below]

Nomination Details

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.

Nomination can be made upto three nominees in the account.			Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the nominee(s) (Mr./Ms)				
2.	Share of each Nominee	Equally (If not equally, please specify percentage)	%	%	%
			Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3.	Relationship with the Applicant (If Any)				
4.	Address of Nominee(s) City/Place State & Country :				
		PIN Code			
5.	Mobile/Telephone No. of nominee(s)				
6.	Email ID of Nominee(s)				
7.	**Nominee Identification details** *[Please tick any of following and provide details of same}* ❑ PhotoGraph & Signature ❑ PAN ❑ Aadhar ❑ Saving Bank account no. ❑ Proof of Identity ❑ Demat Account ID				
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor.					
8.	Date of Birth {in case of minor nominee(s)}				
9.	Name of Gaurdian (Mr./Ms.) {in case of minor Nominee(s)}				

10.	Address Gaurdian (s)			
	City/Place: State & Country:			
	PIN Code			
11.	Mobile/Telephone no. of Gaurdian			
12.	Email ID of Gaurdian			
13.	Relationship of Gaurdian with Nominee			
14.	**Gaurdian Identification details** *[Please tick any one of following and provide details of same]* ❑ PhotoGraph & Signature ❑ PAN ❑ Aadhar ❑ Saving Bank account no. ❑ Proof of Identity ❑ Demat Account ID			

	Name(s) of holder(s)	Signature(s) of holder*
Sole/ First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

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

NOTE:

1. This nomination shall supersede any prior nomination made by the account holder(s), if any.
2. The Trading member/Depository Participant Shall provide acknowledgment of the nomination from to the account holder(s).

Declaration Form for Opting out of nomination

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated Huly 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

To,

TM/DP
Padam Towers Securities Limited
"Padam Towers", 14/113, Civil Lines,
Kanpur -208 001

Date

DP ID	1	3	0	6	1	3	0	0	Client ID								
UCC																	

Sole/ First Holder (Mr./Ms.)	
Second Holder (Mr./Ms.)	
Third Holder (Mr./Ms.)	

I/We hereby confirm that I/We do not wish to appoint any nominee(s) in my/our trading /demat account and understand the issues involved in nom-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 trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

Name and Signature of holder(s)*

1. ____________________ 2. ____________________ 3. ____________________

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

Rate Structure of DP

Padam Towers Securities Ltd

S. No.	Particulars	Rate
1. (a)	Accountopening Charges (Individual)	NIL
(b)	Accountopening Charges (Corporate)	NIL
(c)	Stamp Fee (At actual, as applicable from time to time) For DDPI	Presently Rs.100.00
2.	Annual Maintenance Charges (a) Individual: (b) Corporate: The Annual Maintenance Charges will be applicable from the 1st date of themonth in which the account is opened. It will be payable upfront. [Annual Maintenance Charges for non-corporate existing BO account will be Rs. NIL, if Interest Free Security Depositof Rs. 6,000.00 (Refundable) is received. w.e.f 10.06.2024, in this case while closing the demat account, the current year's AMC Charges will be deducted from the said Interest free Security. New Account opened from 10.05.2024, the new rate will be applicable.]	Rs. 600.00 Rs. 1200.00
	For BSDA A/C :Up to Rs/- 4 Lakhs More than Rs/- 4 Lakhs But up to Rs/- 10 Lakhs More Than Rs/- 10 Lakhs	NIL Rs. 100.00 Not a BSDA , Regular AMC may be levied
3.	Dematerialization Postage Charges will be levied Rs. 60.00 upto first 05 certificates and additional Rs. 20.00 for every 05 certificates or in fraction thereof.	Rs.30.00 per Certificate + Rs.60.00 for Postage/ Courier
4.	DematRejection (for Postage)	Rs.60.00 for postage
5.	Rematerialization	Rs. 15.00 per certificate for every 100 securities or part thereof; Subject to maximum fee of Rs 6,00,000/- or a Flat fee of Rs 15/- per certificate, whichever is higher payable on confirmation of the request. + Rs 60.00 for postage /courier charges.
6.	Modification Charges (Per request) Postage Charges (per communication)	Rs.50.00 Rs.60.00
7.	Transaction Charges (Debit) For DDPI For General Cases	 Rs.20.00 Rs.40.00
8.	Pledge Creation/ Confirmations/ Closure	Rs. 20.00
9.	Pledge Invocation	Rs. 25.00
10.	Late Fee per Transaction Slip (As decidedby the Company from time to time)	Rs. 10.00
11.	KRA/ KYC Charges	Rs. 35.00
12.	Minimum billing of transactions (except Annual Maintenance Charges) in financial year in a demat account	Rs. 2,000/ - where total value of holding touched Rs.1(one) crore orabove on any day in the financial year. BO accounts where Interest Free Security Deposit of Rs. 4,000.00 (Refundable) is received, Rs.1,600/-.

1. Charges for other services not covered above, be notified from time to time separately.
2. Service Tax / GST will be charged extra as applicable from time to time.
3. Padam Towers Sec. Ltd. reserves right to revise the above rate structure from time to time giving 30 days notice.
4. If the date of submission and date of execution are same, such instructions will be executed on a "best effort basis" at client risk.
5. Rate structure are effective from 01.01.2024

1st Holder Sign   2nd Holder Sign   3rd Holder Sign

To be executed on a non-judicial stamp of Rs. 100/-

DEMAT DEBIT and PLEDGE INSTRUCTION (DDPI)

TO ALL TO WHOM THESE PRESENTS SHALL COME

I, ____________________________________, an individual, currently residing / having my office at ____________________________________

OR

We, ____________________________________, a partnership firm duly registered under the provisions of the Indian Partnership Act, 1932 and having its place of business at

OR

We, a company incorporated under the Companies Act, 1956 and having its registered office at ____________

____

Whereas I/We hold a Beneficiary account no. .... (BO-ID) with Central Depository Services (India) Limited through Padam Towers Securities Limited, having its registered Office at Padam Towers, 14/113, Civil Lines, Kanpur - 208 001 (U.P.), bearing DP- ID 13061300.

Whereas Padam Towers Securities Limited is also a trading member of Bombay Stock Exchange, bearing SEBI Registration No: INZ000159835 (BSE - Equities Segment) having BO-ID in CDSL **1306130000007008, 1100001000019118** and in NSDL **IN302025-34018094**, and CM ID **298,** CMBP ID **IN652365**, and a member of NSE, bearing SEBI Registration Nos. INZ000159835 , NSE - Equities and F & O Segments respectively having BO-ID in CDSL **1306130000010042, 1100001100018281** and in NSDL **IN301330-20798642** and CM ID **M51687**, CMBP ID **IN516875**, TM/CM - Clients Securities Margin Pledge Account bearing Account No. **IN301330-40372146** and TM/CM - Clients Margin Pledge Account bearing Account No. **1306130000059739** and Client Unpaid Securities pledge A/c. **1306130000066818**.

And Whereas I / We, also registered as a client (investor engaged in buying and selling of securities) with Padam Towers Securities Ltd., do hereby solemnly and sincerely affirm on oath, agree and abide as follows:

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I / WE THE ABOVE NAMED DO HEREBY EXPLICITILY AGREE TO AUTHORISE "PADAM TOWERS SECURITIES LIMITED" to access my demat account to :

S.No.	Purpose	Signature of Client*
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 the same 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 and which shall be in compliance with SEBI circulars SEBI/HO/IMD/IMD-I DOF5/P/CIR/2021/634 dated October 04, 2021, SEBI/HO/IMD/IMD-I DOF5/P /CIR/ 2021/635 dated October 04, 2021 and SEBI/HO/IMD/IMD-I DOF5/P/CIR/2022/29 dated March 15, 2022 or any other circular which may be issued in this regard.	
4.	Tendering shares in open offers which shall be in compliance with SEBI circular SEBI/HO/CFD/DCR-III/CIR/P/2021/615 dated August 13, 2021 or any other circular which may be issued in this regard.	

* the same may be eSigned or signed physically SIGNED AN DELIVERED on this .... day of .... 202 .... by the within- named client.

	Name	Signature
Sole/First Holder		
Second Holder		
Third Holder		

	Witness-1	Witness -2
Signature with Date	☞	☞
Name		
Address		

We Accept : For Padam Towers Securities Limited (The Power of Attorney holder)

Authorised Signatory

TRADING PREFERENCES			
Please sign in the relevant boxes where you with to trade. Please strike off the segment not chosen by you.			
Exchanges	**NSE, BSE & MSE**		
All Segments	**Cash**	**F&O**	**Currency**

If you do not wish to trade in any of segments, please mention here ____________________

PAST ACTION

Details of any action /proceedings imitated /pending/taken by SEBI /Stock Exchange(s) /any other authority against the applicant/constituent or its Partners / promoters / whole time directors /authorised person in charge of dealing in securities during the last 3 years: ____________________

DEALINGS THROUGH AUTHORISED PERSONS AND OTHER STOCK BROKERS

If client is dealing through the Authorised person, provide the following details :			
Authorised Person's Name :			
SEBI Registration Number(s) :	BSE: INS	NSE: INS	MSE: INS
Registered office Address :			
Mobile :		E mail ID:	

Whether dealing with any other stock brokers/ Authorised Person (in case dealing with multiple stock brokers / Authorised Persons, provide details of all			
Name of Stock Brokers:			
Name of Authorised Person if any:			
Client Code:		Exchange:	
Details of disputes/ dues pending from / to such stock broker / Authorised Person:			

ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) : ………………….. Specify your Email ID, if applicable ……………………………………
- In case of any changes in the Email IF, I/We shall communicate the same to you through a physical letter.
- Whether you wish to avail of the facility of internet trading / wireless technology (please specify) : ……………………
- Number of years of Investment / Trading Experience: ………………………………………………
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorised to deal in securities on behalf of company/firm/others: information is given on KYC Application Form.
- I wish to receive standard documents mentioned at Serial No. a) to g) at Pg. No. 55 & 57 in physical/ electronic mode.
- Any other information ………………………..

INTRODUCER DETAILS			
Name & Code of the introducer			
Status of the introducer			
Address of the Introducer			
Mobile of Introducer		Signature of the Introducer	

DECLARATION

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

Policies and Procedures

a. **Penny Stocks**

Padam Towers Securities Limited shall be at liberty to refuse trades in Penny stock i.e. illiquid securities identified by the Exchange

b. **Client's Exposure Limits**

The Client Shall abide by the exposure limits, if any, set by the Sub-broker or Padam Towers Securities Limited or by the Exchanges or Clearing Corporation or SEBI from time to time.

c. **Brokerage Rate**

The Client shall pay to Padam Towers Securities Limited brokerage and statutory levies as applicable from time to time and as they apply to client's account, transactions and to the services that Padam Towers Securities Limited and/or Authorised Person render to the client. Padam towers Securities Limited/Authorised Person shall not charge brokerage more than the maximum brokerage permissible as per the Rules, Bye-Laws and Regulations of the Exchanges/SEBI.

d. **Imposition of Penalty**

All Parties i.e. Padam Towers Securities Limited, Authorised Person and Client shall abide by the penalty norms, if any, for delayed payments and other violations, set by the Padam Towers Securities Limited or by the Exchanges or Clearing Corporation or SEBI from time to time, as per below mention in Tariff Sheet.

e. **Right to Sell Client's Securities (Including Return of Excess Securities, Liquidation of Securities in case of non-fulfilment of fund obligation and Payment Terms)**

Without prejudice to the other rights, Padam Towers Securities Limited shall be entitled to liquidate (sell Client's Securities)/close out all or any of the Client's positions for non-payments of margins, pay-ins outstanding debts or other amounts, limited to the extent of settlement/margins obligations, and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligation, without giving notice to the client. All losses and financial charges on account of such liquidation/close out shall be charged to and borne by the client, However, no excess securities will be retained and returned to client's respective demat account.

f. **Shortages in internal nettings**

Client shall be liable to make good all the shortages in obligations arising out of internal netting of trades.

g. **Client's Position**

Under the conditions, if any, specified by Padam Towers Securities Limited or by the Exchanges from time to time, the Client shall not be allowed to take further position or Padam Towers Securities Limited may close the existing position of the client.

h. **Client's Request**

On Receipt of written request of the client, his account shall be closed or temporarily suspended.

i. **Deregistration of Client**

The Client shall be put I the inactive list or finally deregistered, under the policy specified Padam Towers Securities Limited or by the Exchanges or Clearing Corporation or SEBI from time to time.

j. **Prevention of Money Laundering Act, 2002**

The Client and Authorised Person shall abide by and adhere to policy framed by Padam Towers Securities Ltd. From time to time on prevention of Money Laundering

Declaration by the Authorized Person

(Padam Towers Securities Ltd.- BSE/NSE/MSE Authorised Person)

To,

Padam Towers Securities Limited, (Member BSE,NSE and MSE)

I/We hereby declare that Mr./Mrs./Ms. .... is known to me/us and he/she/they can be registered as Client of Padam Towers Securities Ltd. I/we undertake to clear the trades of the above client.

I/We hereby authorize you to adjust the shortfall, if any, of margin/settlement dues of the above client by debit to my/our Bank Account or to capital adequacy deposit.

I/We further authorize you to credit the shortfall amount so debited to my/our bank account or to my/our capital adequacy account to the client account for meeting the shortfall reducing thereby balance in the bank account or in the capital adequacy account.

Authorised Person Name: _______________

Place _______________ Date : ___________

Authorised Person Signature

(If Partner, Corporate or Other Signatory, then Sign with seal)

DOCUMENTARY EVIDENCE OF FINANCIAL FOR TRADING IN DERIVATIVES SEGMENTS

In respect of trading in derivatices segments, I/we here with submit self attested to documentary evidence (ticked) for financial information, out of following:

1. Copy of income tax return acknowledgment ☐
2. Copy of annual account. ☐
3. Copy of form 16 in case of salary income ☐
4. Net worth certificate ☐
5. Salary slip ☐
6. Bank Account Statement for last 6 months ☐
7. Copy of Demat Account Holding Statement ☐

Client Signature _______________ Authorised Person Signature _______________

NON mandatory

Authorised person details (Padam Towers Securities Ltd. - NSE/NSE/MSE Authorised Person
(Through Whom Client Want to Trade)

Name of Authorised Person : (Through Whom Client Want to Trade)		
Address:		
City:	Pin Code:	State:
Country:	Mobile:	Email Id:
PAN		

Client Name: ___________________________

Place _______________ Date : ___________

Client Signature

(If Partner, Corporate or Other Signatory, then Sign with seal)

TARIFF FOR TRADING

BROKERAGE DETAILS	BSE, BSE & MSE CASH	BSE, NSE & MSE FUTURES	BSE, NSE & MSE OPTION	BSE & MSE CD
JOBBING				
MINIMUM				
DELIVERY				
MINIMUM				

GST, Securities Transaction Tax, Stamp Duty, SEBI Fees, Transaciotn Charges & Clearing Charges and other levies, if any, will also be charged as applicable from time to time Other charges minimum Rs. 10/-/... per contract note adjustable against total brokerage.

DP Charges, if any, will also be charged, Delay Payment Charged (DPC) will be charged @ 18% p.a.

Client | Authorised Person | CEO-Padam Towers Securities Ltd.

Date :

MANDATORY

Date:

Declaration by the Proprietorship Firm

ANNEXURE – 1

Padam Towers Securities Limited

Padam Towers, 14/113, Civil Lines, Kanpur – 208001

Dear Sir/Madam,

Ref. : Client Code ....

I refer to the trading account opened with you in the name of .... and declare and authorize you as under;

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship concern as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary account no. .... having DP ID .... and DP name .... Opened in the name of the undersigned who is the sole proprietor of the concern.

I agree that the obligation for shares purchased and/or sold by the proprietorship concern will be handled and complete through transfer (s) to/from the above mentioned account. I recognize and accept transfers made by you to the beneficiary account as completion of obligations by you in respect of trades executed in the above trading account of the concern.

Further, I, the undersigned, am the sole proprietor of the concern and am solely responsible for the liabilities there of. I shall advise you in writing of any change that takes place in the constitution of the proprietorship concern and I will be personally liable to you for all the obligations that the concern may incur in the course of dealings with you and undertake to personally discharge such liabilities.

The cheques/DDs (electronic/physical) may be issued by me from my individual account or my joint account with someone else. The said amounts so given shall be solely/exclusively for credit to the account of my sole proprietorship concern M/s .... with Unlock Wealth Securities Limited. I shall/not lay any claim whatsoever in future against Unlock Wealth Securities Limited for affording credit of such cheques/DDs issued from any individual/Joint account, credit of which has been provided by Padam Towers Securities Limited to the account of my proprietorship concern M/s. ....

Thanking you,

Yours faithfully,

Signature of the Proprietor along with the Stamp of the Proprietorship Concern ....

Name of the Proprietor: ....

MANDATORY

Authority Letter by the Partnership Firm

Date:

ANNEXURE – 2

Padam Towers Securities Limited

Padam Towers, 14/113, Civil Lines, Kanpur – 208001

Dear Sir/Madam,

Ref. : Client Code ....

We the undersigned, Partners of M/s .... carrying on business of securities and/or other investment product (s) or the services through you.

We the partners, Jointly authorize our partner, Mr./Ms. .... to issue instructions to you as our stock broker for securities, trades, funds, investments etc. and undertake that all the acts of the said partner in this connection purporting to be done on behalf of the firm shall be binding on the firm and each one of us and our respective estates until liabilities, if any, accrued in respect of such acts have been discharged.

Thanking you,

Full Name of the Partners	Individual Signatures	Signature on behalf of the Firm
1.		
2.		
3.		
4.		

Signature of Authorised Partner
Stamp/Seal of the Partnership Firm

VOLUNTARY

ANNEXURE – 5

Padam Towers Securities Limited

Date : ....

Padam Towers, 14/113, Civil Lines, Kanpur - 208001

Dear Sir/Madam,

Sub Authorization for Deposit of Collateral (Margin) with BSE/NSE/MSE/ICCL/NCL/MSECCL and Clearing Member for trading.

I/We, ________________________, being registered with you to trade in am/are required to deposit margins with you.

I/We hereby authorize you to deposit my/our margins with BSE/NSE/MSE/ICCL/NCL/MSECCL and Clearing Member as the case may be for trading.

Thanking you,
Yours Faithfully,

(Counter Signature of Authorised Person)
With Stamp/Seal

Signature (s)
Name (s)
Stamp/Seal of the Client:
Note: If Authorised Person himself/itself is client, then he/it has to sign at both the places.

VOLUNTARY

Padam Towers Securities Limited

Date : ....

Padam Towers, 14/113 Civil Lines Kanpur-208001

Dear Sir/Madam

Ref. : Client Code ....

Sub: Running Account Authorization Receipt & Payment of Funds

I/We hereby state that I/we am/are aware about the norms relating to pay out of securities and funds. In order to facilitate operations and banking convenience, I/we hereby authorize Padam Towers Securities Limited to maintain a running account with them, instead of daily settlement of funds due to me/us. Further, the pay-out of funds may be retained by Padam Towers Securities and I/we agree not to claim any interest from Padam Towers Securities Limited on such funds so retained by them. The funds so retained shall be available to Padam Towers Securities Limited for exposure/margin purpose for me/us. I/We further agree that Padam Towers Securities Limited shall not be liable for any claim for loss or profit or for any consequential, incidental, special or exemplary damages, caused by retention of such funds under this agreement.

On written request by me/us to Padam Towers Securities Limited through the Authorised person, Padam Towers Securities Limited may release the funds to me/us, if sufficient margins in respect of my/our trading across all segments of the Stock Exchanges are available with Padam Towers Securities Limited.

I/we hereby agree that I/we shall confirm the statement of funds within one month (preferably with 7 working days) of receipt of statements in this regard being issued by Padam Towers Securities Limited, which it is agreed by me/us that the statement of balances as issued by Padam Towers Securities Limited is proper or correct. This running account request and authorization is subject to revocation at any time.

I/We request to settle my account, funds once in a calendar quarter and accordingly send the statement.

I/We request you to send me/us statements of account of funds and securities etc. by email on the email ID, if provided for ECN.

Thanking you.

Yours faithfully,

Signature(s) Names(s)

Stamp/Seal of Client

Note: In case the client is an individual, then the above should be signed by him/her and in case the client is a partnership firm/company, then the above should be signed by the partners/directors.

VOLUNTARY

Date:
Padam Towers Securities Limited
Padam Towers, 14/113 Civil Lines Kanpur-208001

Dear Sirs,

Sub: SMS and E-mail Alerts to Investors

With reference to SEBI Circular No. CIR/MIRSD/15/2011 dated 02.08.2011, I/We wish to avail the following facility (ticked in the Box)

1. SMS Alert or ☐
2. Email Alerts or ☐
3. Both (SMS and Emails) alerts ☐

My/Our Mobile no. is .... (Compulsory for any of aforesaid facility)
My/Our Email ID is .... (Compulsory for facility mo. 2 & 3)
Aforesaid Mobile No. and Email ID are also used for/by your following client (my relations), who also wished to avail the aforesaid ticked facility, and, as per requirement, my PAN ne recorded as Master PAN in the Client Registration System.

S.No.	Relationship	Name	Client Code	PAN	Signature
1.	Dependent Mother				
2.	Dependent Father				
3.	Spouse				
4.	Dependent Major Children: 1. 2. 3.				

Yours Faithfully

(Signature of the Client)

According to the revised guidelines, "family" for individual clients includes self, spouse, dependent children, and dependent parents. For non- individual clients, such as Hindu Undivided Families (HUFs), partnerships, trusts, and corporate entities, the authorised person associated with the trading account can share contact details under defined conditions.

In the case of HUFS, the Karta or co-parceners, with prior approval of the Karta, can use the same contact details. For partnerships, any partner with approval from all other partners is eligible. Similarly, trusts may designate trustees or beneficiaries, while corporate entities may assign authorised personnel as per board resolutions.

For partnerships, any partner with approval from all other partners is eligible. Similarly, trusts may designate trustees or beneficiaries, while corporate entities may assign authorised personnel as per board resolutions.

ON LETTER HEAD OF THE COMPANY

Certified True Copy of the Board Resolution passed in the meeting of the Board of Directors of M/s. ....
having its registered office at .... held on .... day of 20
at ....

"RESOLVED THAT a beneficiary account of the Company be opened with Padam Towers Securities Limited (PTSL), (a Depository Participant of Central Depository Services Limited [CDSL] and open a trading account with PTSL member BSE, NSE and MSE) for trading in capital market, derivatives in the name and style of ...."

"RESOLVED FURTHER THAT the said Trading Member and Depository Participant be and is hereby authorized to honour instructions and documents regarding operations of the said accounts both trading and demat on behalf of the company by any .... of the following persons :-

Sr. No.	Name	Designation	Signature	Photograph
				(Please sign across the coloured photograph, preferably with marker pen)
				(Please sign across the coloured photograph, preferably with marker pen)

And to act on any instructions written or electronic so given by the board regarding the said account."

"RESOLVED FURTHER THAT ....
directors of the company be and is hereby authorized to sign and execute necessary documents for opening of the said accounts both Trading and Demat with the Trading Member and Depository Participant."

"RESOLVED FURTHER THAT the above signing authority(s) is/are authorise to sell, purchase, transfer, endorse, negotiate deal in equities, debentures, debt, IPOs mutual funds, government securities and/or any other investment products or services and/or otherwise deal through PTSL on behalf of company.

"RESOLVED FURTHER THAT the common seal of the company be affixed, wherever necessary, in the presence of any of the director, who shall sign the same in token of the presence. "RESOLVED FURTHER THAT a copy of the above resolutions be submitted to the Trading Member and Depository Participant."

Certified True Copy

For Ltd.

(MANAGING DIRECTOR / COMPANY SECRETARY)

ON LETTER HEAD OF THE COMPANY
NON MANDATORY
Shareholding pattern in case of corporate

Date:

Padam Towers Securities Limited
Padam Towers, 14/113, Civil Lines
Kanpur-208001

Dear Sir/Madam,

Ref: Client Code

We hereby certify that the understated director/individual etcc. Hold 5% or more of the shareholding in our company:

Sr. No.	Name of the Person	No. of shares	% of share holding	Relationship/Designation
1.				
2.				
3.				
4.				
5.				

Thanking you
Yours faithfully,
Signature of Chairman/Director
Stamp/Seal of the Company

Annexure

Investor Charter for Depositories and Depository Participants

1. Vision

Towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form.

2. Mission

- To hold securities of investors in dematerialised form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.
- To provide timely and accurate information to investors with regard to their holding and transfer of securities held by them.
- To provide the highest standards of investor education, investor awareness and timely services so as to enhance Investor Protection and create awareness about Investor Rights.

3. Details of business transacted by the Depository and Depository Participant (DP)

A Depository is an organization which holds securities of investors in electronic form. Depositories provide services to various market participants - Exchanges, Clearing Corporations, Depository Participants (DPs), Issuers and Investors in both primary as well as secondary markets. The depository carries out its activities through its agents which are known as Depository Participants (DP). Details available on the link [https://www.cdslindia.com/]

4. Description of services provided by the Depository through Depository Participants (DP) to investors

(1) Basic Services

Sr. No.	Brief about the Activity / Service	Expected Timelines for processing by the DP after receipt of proper documents
1.	Dematerialization of securities	7 days
2.	Rematerialization of securities	7 days
3.	Mutual Fund Conversion / Destatementization	5 days
Sr. No.	**Brief about the Activity / Service**	**Expected Timelines for processing by the DP after receipt of proper documents**
4.	Re-conversion / Restatementisation of Mutual fund units	7 days
5.	Transmission of securities	7 days
6.	Registering pledge request	15 days
7.	Closure of demat account	2 days
8.	Settlement Instruction	For T+1 day settlements, Participants shall accept instructions from the Clients, in physical form up to 4 p.m. (in case of electronic instructions up to 6.00 p.m.) on T day for pay-in of securities. For T+0 day settlements, Participants shall accept EPI instructions from the clients, till 11:00 AM on T day. Note: 'T' refers 'Trade Day'

(2) Depositories provide special services like pledge, hypothecation, internet based services etc. in addition to their core services and these include

Sr. No.	Type of Activity/Service	Brief about the Activity / Service
1.	Value Added Services	Depositories also provide value added services such as a. Basic Services Demat Account(BSDA) [The facility of BSDA with limited services for eligible individuals was introduced with the objective of achieving wider financial inclusion and to encourage holding of demat accounts. No Annual Maintenance Charges (AMC) shall be levied, if the value of securities holding is upto Rs. 4,00,000. For value of holdings between Rs 4,00,001- 10,00,000, AMC not exceeding Rs 100 is chargeable.] b. Transposition cum dematerialization [In case of transposition-cum- dematerialisation, client can get securities dematerialised in the same account if the names appearing on the certificates match with the names in which the account has been opened but are in a different order. The same may be done by submitting the security certificates along with the Transposition Form and Demat Request Form.] c. Linkages with Clearing System [for actual delivery of securities to the clearing system from the selling brokers and delivery of securities from the clearing system to the buying broker] d. Distribution of cash and non-cash corporate benefits (Bonus, Rights, IPOs etc.), stock lending, demat of NSC / KVP, demat of warehouse receipts etc.
2.	Consolidated Account statement (CAS)	CAS is issued 10 days from the end of the month (if there were transactions in the previous month) or half yearly(if no transactions).
3.	Digitalization of services provided by the depositories	Depositories offer below technology solutions and e-facilities to their demat account holders through DPs:

		a. E-account opening: Currently we are not providing such facilities. b. Online instructions for execution: Currently we are not providing such facilities. c. e-DIS / Demat Gateway: Currently we are not providing such facilities. d. e-CAS facility: Currently we are not providing such facilities. e. Miscellaneous services: no such services

5. Details of Grievance Redressal Mechanism

The Process of investor grievance redressal

1.	Investor Complaint/ Grievances	Investor can lodge complaint/ grievance against the Depository/DP in the following ways: a. Electronic mode - (i) SCORES 2.0 (a web based centralized grievance redressal system of SEBI) [https://scores.sebi.gov.in/] Two Level Review for complaint/grievance against DP: - First review done by Designated Body - Second review done by SEBI (ii) Respective Depository's web portal dedicated for the filing of compliant [https://www.cdslindia.com/Footer/grievances.aspx] (iii) Emails to designated email IDs of Depository [complaints@cdslindia.com] b. Offline mode [Investors can send physical letters to CDSL on their registered office address.] The complaints/ grievances lodged directly with the Depository shall be resolved within 21 days.
2.	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	If the Investor is not satisfied with the resolution provided by DP or other Market Participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through by online conciliation or arbitration. [https://smartodr.in/login]
3.	Steps to be followed in ODR for Review, Conciliation and Arbitration	➢ Investor to approach Market Participant for redressal of complaint ➢ If investor is not satisfied with response of Market Participant, he/she can escalate the complaint on SEBI SCORES portal. ➢ Alternatively, the investor may also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration. ➢ Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavour to resolve the matter between the Market Participant and investor within 21 days. ➢ If the matter could not be amicably resolved, then the Investor may request the MII to refer the matter case for conciliation. ➢ During the conciliation process, the conciliator will endeavour for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator. ➢ If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration. ➢ The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days.

6. Guidance pertaining to special circumstances related to market activities: Termination of the Depository Participant

Sr. No.	Type of special circumstances	Timelines for the Activity/ Service
1.	• Depositories to terminate the participation in case a participant no longer meets the eligibility criteria and/or any other grounds as mentioned in the bye laws like suspension of trading member by the Stock Exchanges.	Client will have a right to transfer all its securities to any other Participant of its choice without any charges for the transfer within 30 days from the date of intimation by way of letter/email.
Sr. No.	**Type of special circumstances**	**Timelines for the Activity/ Service**
	• Participant surrenders the participation by its own	

7. Dos and Don'ts for Investors

Sr. No.	Guidance
i.	Always deal with a SEBI registered Depository Participant for opening a demat account.
ii.	Read all the documents carefully before signing them.
iii.	Before granting Power of attorney to operate your demat account to an intermediary like Stock Broker, Portfolio Management Services (PMS) etc., carefully examine the scope and implications of powers being granted.
iv.	Always make payments to registered intermediary using banking channels. No payment should be made in name of employee of intermediary.
v.	Accept the Delivery Instruction Slip (DIS) book from your DP only (pre-printed with a serial number along with your Client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS slips. Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker and it should be signed by all demat account holders Strike out any blank space on the slip and Cancellations or corrections on the DIS should be initialed or signed by all the account holder(s). Do not leave your instruction slip book with anyone else. Do not sign blank DIS as it is equivalent to a bearer cheque.
vi.	Inform any change in your Personal Information (for example address or Bank Account details, email ID, Mobile number) linked to your demat account in the prescribed format and obtain confirmation of updation in system
vii.	Mention your Mobile Number and email ID in account opening form to receive SMS alerts and regular updates directly from depository.
viii.	Always ensure that the mobile number and email ID linked to your demat account are the same as provided at the time of account opening/updation.
ix.	Do not share password of your online trading and demat account with anyone.
x.	Do not share One Time Password (OTP) received from banks, brokers, etc. These are meant to be used by you only.
xi.	Do not share login credentials of e-facilities provided by the depositories such as e-DIS/demat gateway, SPEED-e easiest etc. with anyone else.
xii.	Demat is mandatory for any transfer of securities of Listed public limited companies.
xiii.	If you have any grievance in respect of your demat account, please write to designated email IDs of depositories or you may lodge the same with SEBI online at https://scores.sebi.gov.in
xiv.	Keep a record of documents signed, DIS issued and account statements received.
xv.	As Investors you are required to verify the transaction statement carefully for all debits and credits in your account. In case of
xvi.	Appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the
xvii	Register for Depository's internet based facility or download mobile app of the depository to monitor your holdings.
xvii	Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled
xix.	Do not follow herd mentality for investments. Seek expert and professional advice for your investments
xx.	Beware of assured/fixed returns.

8. Rights of investors

i Receive a copy of KYC, copy of account opening documents.

ii No minimum balance is required to be maintained in a demat account.

iii No charges are payable for opening of demat accounts.

iv If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI/ Stock Exchanges. You have the right to revoke any authorization given at any time.

v You can open more than one demat account in the same name with single DP/ multiple DPs.

vi Receive statement of accounts periodically. In case of any discrepancies in statements, take up the same with the DP immediately. If the DP does not respond, take up the matter with the Depositories.

vii Pledge and /or any other interest or encumbrance can be created on demat holdings.

viii Right to give standing instructions with regard to the crediting of securities in demat account.

ix Investor can exercise its right to freeze/defreeze his/her demat account or specific securities / specific quantity of securities in the account, maintained with the DP.

x In case of any grievances, Investor has right to approach Participant or Depository or SEBI for getting the same resolved within prescribed timelines.

xi Every eligible investor shareholder has a right to cast its vote on various resolutions proposed by the companies for which Depositories have developed an internet based 'e-Voting' platform.

xii Receive information about charges and fees. Any charges/tariff agreed upon shall not increase unless a notice in writing of not less than thirty days is given to the Investor.

xiii Right to indemnification for any loss caused due to the negligence of the Depository or the participant.

xiv Right to opt out of the Depository system in respect of any security.

9. Responsibilities of Investors

i. Deal with a SEBI registered DP for opening demat account, KYC and Depository activities.
ii. Provide complete documents for account opening and KYC (Know Your Client). Fill all the required details in Account Opening Form / KYC form in own handwriting and cancel out the blanks.
iii. Read all documents and conditions being agreed before signing the account opening form.
iv. Accept the Delivery Instruction Slip (DIS) book from DP only (preprinted with a serial number along with client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS.
v. Always mention the details like ISIN, number of securities accurately.
vi. Inform any change in information linked to demat account and obtain confirmation of updation in the system.
vii. Regularly verify balances and demat statement and reconcile with trades /transactions.
viii. Appoint nominee(s) to facilitate heirs in obtaining the securities in their demat account.
ix. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits.

10.Code of Conduct for Depositories

(Part D of Third Schedule of SEBI (D & P) regulations, 2018)

A Depository shall:

(a) always abide by the provisions of the Act, Depositories Act, 1996, any Rules or Regulations framed thereunder, circulars, guidelines and any other directions issued by the Board from time to time.
(b) adopt appropriate due diligence measures.
(c) take effective measures to ensure implementation of proper risk management framework and good governance practices.
(d) take appropriate measures towards investor protection and education of investors.
(e) treat all its applicants/members in a fair and transparent manner.
(f) promptly inform the Board of violations of the provisions of the Act, the Depositories Act, 1996, rules, regulations, circulars, guidelines or any other directions by any of its issuer or issuer's agent.
(g) take a proactive and responsible attitude towards safeguarding the interests of investors, integrity of depository's systems and the securities market.
(h) endeavour for introduction of best business practices amongst itself and its members.
(i) act in utmost good faith and shall avoid conflict of interest in the conduct of its functions.
(j) not indulge in unfair competition, which is likely to harm the interests of any other Depository, their participants or investors or is likely to place them in a disadvantageous position while competing for or executing any assignment.
(k) segregate roles and responsibilities of key management personnel within the depository including
   a. Clearly mapping legal and regulatory duties to the concerned position
   b. Defining delegation of powers to each position
   c. Assigning regulatory, risk management and compliance aspects to business and support teams
(l) be responsible for the acts or omissions of its employees in respect of the conduct of its business.
(m) monitor the compliance of the rules and regulations by the participants and shall further ensure that their conduct is in a manner that will safeguard the interest of investors and the securities market.

11.Code of Conduct for Participants

(Part A of Third Schedule of SEBI (D & P) regulations, 2018)

1. A participant shall make all efforts to protect the interests of investors.
2. A participant shall always endeavour to—
   (a) render the best possible advice to the clients having regard to the client's needs and the environments and his own professional skills;
   (b) ensure that all professional dealings are effected in a prompt, effective and efficient manner;
   (c) inquiries from investors are adequately dealt with;
   (d) grievances of investors are redressed without any delay.
3. A participant shall maintain high standards of integrity in all its dealings with its clients and other intermediaries, in the conduct of its business.
4. A participant shall be prompt and diligent in opening of a beneficial owner account, dispatch of the dematerialisation request form, rematerialisation request form and execution of debit instruction slip and in all the other activities undertaken by him on behalf of the beneficial owners.
5. A participant shall endeavour to resolve all the complaints against it or in respect of the activities carried out by it as quickly as possible, and not later than one month of receipt.
6. A participant shall not increase charges/fees for the services rendered without proper advance notice to the beneficial owners.
7. A participant shall not indulge in any unfair competition, which is likely to harm the interests of other participants or investors or is likely to place such other participants in a disadvantageous position while competing for or executing any assignment.
8. A participant shall not make any exaggerated statement whether oral or written to the clients either about its qualifications or capability to render certain services or about its achievements in regard to services rendered to other clients.

9. A participant shall not divulge to other clients, press or any other person any information about its clients which has come to its knowledge except with the approval/authorisation of the clients or when it is required to disclose the information under the requirements of any Act, Rules or Regulations.
10. A participant shall co-operate with the Board as and when required.
11. A participant shall maintain the required level of knowledge and competency and abide by the provisions of the Act, Rules, Regulations and circulars and directions issued by the Board. The participant shall also comply with the award of the Ombudsman passed under the Securities and Exchange Board of India (Ombudsman) Regulations, 2003.
12. A participant shall not make any untrue statement or suppress any material fact in any documents, reports, papers or information furnished to the Board.
13. A participant shall not neglect or fail or refuse to submit to the Board or other agencies with which it is registered, such books, documents, correspondence, and papers or any part thereof as may be demanded/requested from time to time.
14. A participant shall ensure that the Board is promptly informed about any action, legal proceedings, etc., initiated against it in respect of material breach or non- compliance by it, of any law, Rules, regulations, directions of the Board or of any other regulatory body.
15. A participant shall maintain proper inward system for all types of mail received in all forms.
16. A participant shall follow the maker—Checker concept in all of its activities to ensure the accuracy of the data and as a mechanism to check unauthorised transaction.
17. A participant shall take adequate and necessary steps to ensure that continuity in data and record keeping is maintained and that the data or records are not lost or destroyed. It shall also ensure that for electronic records and data, up- to-date back up is always available with it.
18. A participant shall provide adequate freedom and powers to its compliance officer for the effective discharge of his duties.
19. A participant shall ensure that it has satisfactory internal control procedures in place as well as adequate financial and operational capabilities which can be reasonably expected to take care of any losses arising due to theft, fraud and other dishonest acts, professional misconduct or omissions.
20. A participant shall be responsible for the acts or omissions of its employees and agents in respect of the conduct of its business.
21. A participant shall ensure that the senior management, particularly decision makers have access to all relevant information about the business on a timely basis.
22. A participant shall ensure that good corporate policies and corporate governance are in place.

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.

I have understood the MITC (Most important terms and conditions) and I acknowledge the same

Signature of Client

PADAM TOWERS SECURITIES LIMITED

(FORMERLY UNLOCK WEALTH SECURITIES LIMITED)

CIN : U67120UP2000PLC025330
Member BSE,NSE,MSE
CDSL-DPID 13061300 SEBI Reg No. IN-DP-711-2022
Email upsesecltd@gmail.com

"PADAM TOWERS", 14/113 CIVIL LINES KANPUR- 208 001
INZ000159835
Mobile 8004252631, 8004252128
ceounlockwsl@gmail.com

Email ID for Investor complaints : upseseccomplaints@gmail.com

To, Date : ________________

Client Name: ____

BO ID: ___________ Client Code: ____________

Address : ____

____

Authorised Person

Sub: Client Registration Documents

In terms of SEBI guidelines issued from time to time, following are the mandatory documents required for registration of a client with Stock Broker for trading:

a. **KYC Application/Account Opening Form**
b. **Trading Account Related Details**
c. **Rights and Obligations (Welcome Kit)**
d. **Risk Disclosure Document (Welcome Kit)**
e. **Guidance Note (Welcome Kit)**
f. **Policies and Procedure**

Additional clauses of document, as mentioned in the KYC Booklets, are voluntary, at the discretion of the member and the client and are meant for satisfaction about the antecedents of the client.

I/We undertake to submit any other document (self-attested) to the member e.g. copy of Bank Statement/Pass Book, cancelled cheque, DP Master, Etc.

Client is requested to check his ledger account, holding, outstanding position, contract notes and margin regularly at www.upsecindia.com through online office icon. Your client code is your login and your password is you PAN.

This documents mentioned at Serial No a) to f) are also available at our website www.upsecindia.com you can read and download.

Name & Signature with Stamp of Authorised Person

Your Email ID as recorded by us is as under

____

Received a copy of my KYC Application/Account Opening Form and booklets

For PADAM TOWERS SECURITIS LIMITED

Signature ____________________

Name

Chief Executive Officer

Date :

(Acknowledgement of the Client)

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

(Mandatory for Non-individual Investors)

I. Investor Details:

Name of the Client

II. Category:

☐ Our company is a Listed Company listed / Subsidiary or Controlled by a Listed Company
[If this category is selected, no need to provide UBO details]

☐ Unlisted Company ☐ Partnership Firm / LLP ☐ Unincorporated Association / Body of Individuals
☐ Public Charitable Trust ☐ Private Trust ☐ Religious Trust
☐ Trust created by a Will ☐ Others [please specify] ____________________

UBO / Controlling Person(s) details

Sl. No.	Name of UBO	Country of Tax Residency	Taxpayer Identification Number / PAN / Equivalent ID Number	% of beneficial interest	Address, Address Type & Contact details (include city, Pincode, 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 liable for it. We hereby authorize ISE Securities & Services Ltd. [ISS] 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. Further, we authorize to share the given information to other SEBI Registered Intermediaries and/or any other regulated intermediaries registered with SEBI / RBI / IRDA to facilitate single submission / update & for other relevant purposes. 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.

CONTACT DETAILS

Name of Stock Broker/Trading Member/Clearing Member : Padam Towers Securities Limited

Exchange Segment	SEBI Registration No.	Date of Registration
BSE CASH BSE F&O	INZ000159835	14.12.2017
BSE CD*	N.A.	N.A.
NSE CASH NSE F&O MSE CASH MSE F&O MSE CD	INZ000159835	14.12.2017

*BSE approval letter no. MO/CS/AK/ANK/2013/4622 Dt. 25.11.2013

Registered and Correspondence Office Address :	Padam Towers, 14/113, Civil Lines Kanpur-208 001 (U.P.)
Phone Number	8004252631, 8004252128
Website	www.upsecindia.com

Details of Senior Officials

S. No.	Name	Designation	Phone No.	E-Mail ID
1.	Jagesh Kumar Dixit	CEO & Compliance Officer	9839458082	ceounlockwsl@gmail.com
2.	Sandeep Seth	Designated Director	9839026611	sandeep.upse@gmail.com

For any grievance/dispute please contact Padam Towers Securities Ltd. At the above address or email ID- upseseccomplaints@gmail.com and phone No. 8004252631, 8004252128

In case not satisfied with the response, please contact the concerned Exchange (s)/ Depository at the following:

Exchange	Email-ID	Website	Phone No.
BSE	is@bseindia.com	www.bseindia.com	022-22728097
NSE	ignse@nse.co.in	www.nseindia.com	1800 22 00 58
MSEI	investorcomplaints@mcx-sx.com	www.msei.in	022-67319000
CDSL	complaints@cdslindia.com	www.cdslindia.com	1800225533

You can also lodge your grievances with SEBI at https://scores.sebi.gov.in/ , http://smartodr.in/login. For any queries, feedback or assistance, please contact SEBI office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.