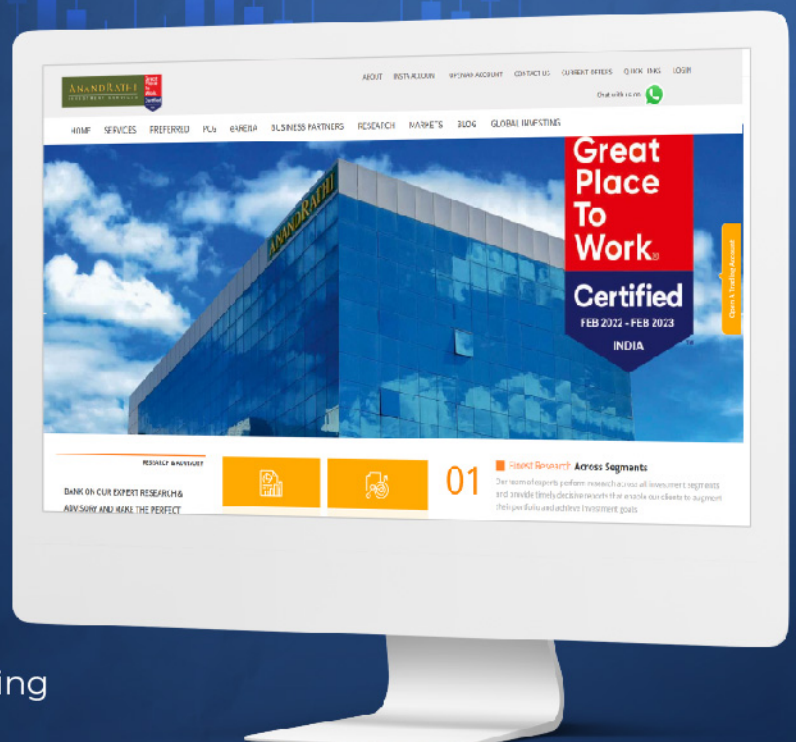




ANANDRATHI
INTERNATIONAL VENTURES(IFSC)
Global Investments Simplified

CLIENT ENROLLMENT FORM



giftifsc@rathi.com
www.anandrathi.com/GlobalInvesting



ANANDRATHI
INTERNATIONAL VENTURES (IFSC)
Global Investments Simplified

CLIENT ENROLLMENT FORM

Form No.

Client Code

Branch Code

PRODUCT

NSE IFSC Receipt

EXCHANGE

NSE IFSC

For Assistance

079 - 61340200

+971 52 231 2924



Anand Rathi International Ventures (IFSC) Private Limited

CIN : U65999GJ2016PTC094915

Registered Office

Unit No. 634 Signature Tower, 6th Floor, Block 13B Zone –1 GIFT SEZ,
GIFT City, Gandhinagar Gujarat, India-382355

Tel.: 079-6134 0200



CEO

Mr. Niteen Dongare

niteendongare@rathi.com



Compliance Officer

Mr. Deepak Kedia

deepakkedia@rathi.com

For any grievance / dispute please contact Anand Rathi International Ventures (IFSC) Private Limited at the above address or email id ifscgrievance@rathi.com and Phone no. 079-6134 0200. In case not satisfied with the response, please contact India International Exchange (IFSC) Ltd. at investorassistance@indiainx.com and Phone no. +91-79-61993100 OR NSE IFSC Limited at igr@nseifsc.com and Phone no. +91-79-66743609/10.

Please note that we Brokers are undertaking proprietary trading in our own account in addition to client base business.

INDIA INX : 5064

NSE IFSC LIMITED : 10048

IFSCA/SEBI REGISTRATION NO. : INZ000292939

INDEX

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI/IFSCA & EXCHANGES

Name of the Document	Brief Significance of the Document	PAGE(s)
Consent letter	Consent letter given by client for obtaining client due diligence information for Account Opening and Know Your Client (KYC) Details from parent entity	1
Tariff sheet	Details the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	2
Rights and Obligations	Document stating the Rights & Obligations of Trading Member and client for trading on exchanges.	Provide in separate Format to Client
Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market:	
Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors	
Policies and Procedures	Document describing significant Policies and procedures of the Stock Broker	
Product Disclosure Statement' (PDS) and 'Master Deed Poll' (MDP)	Applicable for clients trading in NSE IFSC Receipts	
W - 8BEN – For Individual	Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting	3
VOLUNTARY DOCUMENTS AS PROVIDED BY THE TRADING MEMBER		
ECN	Letter of Authorization for Electronic Contract Notes.	4
LOA	Letter of Authority	5

CONSENT LETTER FOR KYC

Anand Rathi International Ventures (IFSC) Private Limited (ARIVPL)

Unit No. 634 Signature Tower, 6th Floor,
 Block 13B Zone -1 GIFT SEZ, Gift City,
 Gandhinagar Gujarat, India-382355

Sub: Client due diligence information for Account Opening and Know Your Client (KYC) Details

Dear Sir/ Madam,

I understand that (Anand Rathi Shares and Stock Brokers Ltd.) registered as a trading member with Securities Exchange Board of India, is the parent entity (hereinafter referred to as "Parent Entity") of (Anand Rathi International Venture (IFSC) Private Limited) which is a trading member registered with NSE IFSC Limited ("Trading Member" or "you").

I am a client having code _____ with your Parent Entity and am desirous of becoming a client with you for trading on NSE IFSC Limited. I undertake to trade only in the products for which I am permitted under the applicable rules, regulations, circulars and guidelines prescribed by Securities Exchange Board of India ("SEBI")/ Reserve Bank of India ("RBI") and/or International Financial Services Centres Authority ("IFSCA").

I am aware that, you are required to conduct verification of identification of your clients at the time of commencement of an account-based relationship which includes in-person verification and comply with applicable laws in this regard.

As your parent entity has already undertaken my KYC and my KYC documents are available with your parent entity, I am hereby giving my consent for you to obtain my records/information of due diligence, including in-person verification, bank details, past disciplinary actions (if any) or any other required details for Account Opening and Know Your Client (KYC) Process, carried out from your Parent Entity in order to commence an accountbased relationship with you.

I am aware of the risks involved in dealing with financial markets and the products that I will be dealing in. I confirm that I have read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Guidance note on Do's and Don'ts'.

I further confirm that I have received and read the 'Product Disclosure Statement' (PDS) and 'Master Deed Poll' (MDP) of NSE IFSC Receipts. **(applicable for clients desirous of trading in NSE IFSC Receipts)**

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

Details of my bank account is provided below:

Bank Name	Branch Address	Bank A/c No.	A/c Type: Saving/Current/ other (NRI/NRE/NRO etc.)	MICR Code	IFSC Code	SWIFT Code

Details of my depository account in GIFT IFSC are provided below:

Depository Participant Name	Depository Name	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

Signature of the Client

 (Full Name of the Client)

PAN: _____

TARRIF SHEET

To,
Anand Rathi International Venture (IFSC) Private Limited

Dear Sir or Madam,

I would like to subscribe to the Anand Rathi International Venture (IFSC) Private Limited for trading account and request Anand Rathi International Venture (IFSC) Private Limited to apply brokerage charges as mentioned and as per the terms and conditions of Anand Rathi International Venture (IFSC) Private Limited.

BROKERAGE TARRIF STRUCTURE	
Future (\$)	
Option (\$)	
NSE IFSC RECEIPT	

Other Charges,

1. Trading Account opening charges is USD 10/- including GST. (will be waived off in case of receipt of upfront payment of USD 5000/-towards margin amount along with account opening selection)
2. IFSCA Turnover Fee, GST, Stamp Duty, and Transaction charges will be levied separately from brokerage as applicable from time to time.

CLIENT'S NAME	
x	Signature of Client/ (all) Date

Form **W-8BEN**

(Rev. October 2021)

Department of the Treasury
Internal Revenue Service**Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

For use by individuals. Entities must use Form W-8BEN-E.

Go to www.irs.gov/FormW8BEN for instructions and the latest information.

Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form if:

- You are NOT an individual W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services) W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States 8233 or W-4
- You are a person acting as an intermediary W-8IMY

Instead, use Form:**Note:** If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.**Part I Identification of Beneficial Owner** (see instructions)

1 Name of individual who is the beneficial owner	2 Country of citizenship
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.	
City or town, state or province. Include postal code where appropriate.	Country
4 Mailing address (if different from above)	
City or town, state or province. Include postal code where appropriate.	Country
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	
6a Foreign tax identifying number (see instructions)	6b Check if FTIN not legally required ☐
7 Reference number(s) (see instructions)	8 Date of birth (MM-DD-YYYY) (see instructions)

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____.

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: _____

Part III Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes;
- The person named on line 1 of this form is not a U.S. person;
- This form relates to:
 - (a) income not effectively connected with the conduct of a trade or business in the United States;
 - (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
 - (c) the partner's share of a partnership's effectively connected taxable income; or
 - (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country; and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.****Sign Here** ☐ I certify that I have the capacity to sign for the person identified on line 1 of this form._____
Signature of beneficial owner (or individual authorized to sign for beneficial owner)_____
Date (MM-DD-YYYY)_____
Print name of signer

ECN (LETTER OF AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES.)

To,
 Anand Rath International Ventures (IFSC) Private Limited
 Unit No. 634 Signature Tower, 6th Floor, Block 13B Zone –1 GIFT SEZ, Gift City, Gandhinagar Gujarat, India-382355

Dear Sir(s),

Sub: Request for sending Contract Notes, Account Statements / Documents etc. on My/our Email ID

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

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me/us. I/we am/are aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

*(The email id must be return in own handwriting of the client.)

Client Name: _____

Unique Client Code : _____

PAN: _____

Address: _____

In case of any change in my/our said E-mail Id, I/We undertake to intimate the same to you in writing through a physical letter

Date: _____

x

CLIENT'S SIGNATURE

LOA (LETTER OF AUTHORITY)

Anand Rathi International Ventures (IFSC) Private Limited (ARIVPL)

Unit No. 634 Signature Tower, 6th Floor,
Block 13B Zone -1 GIFT SEZ, Gift City,
Gandhinagar Gujarat, India-382355

Dear Sirs,

Ref. Client Name & Code _____

Sub: Letter of Authority for INDIA INX/ NSE IFSC

I/We am/are dealing with you (INDIA INX/ NSE IFSC) and in order to facilitate ease of operations, I/We authorize you as under:

1. I/We authorizes to my attorney to set off outstanding in my/our accounts against credits available maintained with ARIVPL irrespective of the fact that such outstanding may pertain to transaction in any of the Exchange and/or against the value of cash margin or collateral securities provided to by me/us.
2. I/We request you to retain credit balance in any of my/our account and to use the idle funds towards my/our margin/future obligations at the Exchange unless I/We instruct you otherwise.
3. The client hereby authorizes the trading member to maintain a Running Account of the client in order to facilitate the transfer of funds across segments/retain credit balance/to set off outstanding.
4. I would like the mandatory settlement of the funds and securities (if applicable) as indicated below (tick against your preference).
☐ Monthly Basis ☐ Quarterly Basis
5. As and when I/We require the funds/ securities. I /We be informing you of the same and on receipt of the instructions from me/us, same may be released within one working day of the request after verification and if the amount is due as per ARIVPL.
6. To square off my/our position of transactions that are not delivery market during intraday trade.
7. The client agrees to bear interest @ 18% p.a. which would be charged on outstanding dues in order to meet up with the client's obligations temporarily.
8. I/We have been made aware of the company's policies & procedure.
9. The above authorization can be revoked at any point of time at the client's own discretion by giving written confirmation to ARIVPL.
10. I/We authorized you to reach out to me/ us for any confirmations like Order Verification, Delivery Confirmation, Trade Confirmation, Welcome call etc. through Call/ IVR, E-Mail/ SMS or other source of communication on the Mobile no. recoded/ registered with us, irrespective of User's registration with DND registry of TRAI.
11. I/We agree to auto-renew my/us consent after every 180 days until I/ we opt-out.

Date: _____

x

CLIENT'S SIGNATURE

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