



Give us your worries... Take home the returns

Members
National Stock Exchange of India Ltd.
BSE Limited



ACCOUNT OPENING KIT

CLIENT NAME

| | |
|----------------------|----------------------|
| <input type="text"/> | <input type="text"/> |
|----------------------|----------------------|

CLIENT CODE

BRANCH CODE

| | |
|----------------------|----------------------|
| <input type="text"/> | <input type="text"/> |
|----------------------|----------------------|

A/C OPENING DATE

KYC NO.

Eastern Financiers Limited (EF) was incorporated in the year 1967 and is the oldest Investment Strategist in Eastern India.

The foundations of our Business

- ❖ One of the largest and most trusted Investment Consultants in India.
- ❖ Over 44 years of unbiased, client-specific investment solutions.
- ❖ Team of experienced professionals and sound Investment Strategists to help you reach your financial goals.
- ❖ Choice of a wide variety of instruments 'under one roof'.
- ❖ Personalised services from EF - the trust of over 3 lakh investors.
- ❖ Prompt post-investment services.
- ❖ **EF has been honoured with the CNBC-TV18 award for the “Best Performing Financial Advisor (East)” for nine years.**
- ❖ **EF has been included in their prestigious “Hall of Fame” for the year 2018-19.**

Our Service Motto :

"Give us your worries...Take home the returns"

Financial Planning Solutions comprising of :

| | | |
|----------------------------------------------------------------|----------------------------------|-----------------------------------------------------------------|
| Mutual Funds | Equity Trading on NSE/BSE | Fixed Deposits |
| Bonds | Life Insurance | General Insurance |
| Senior Citizen Bonds GOI Saving Bonds Capital Gain Bonds | Equity IPO's | Motor, Health, Home, Personal Accident (PA), Travel, etc. |
| | Currency Trading | |
| | Commodity Trading | |

An ISO 9001:2015 certified company

*** through its associate Company - “EF Insurance Broking Pvt. Ltd.”**

EASTERN FINANCIERS LTD.

| INDEX OF DOCUMENTS | | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|
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| MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES | | |
| 1. | Account Opening Form A. KYC form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list. | ** 1 - 5 |
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| VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER | | |
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| 12. | Declaration by client in relation to PMLA, 2002 (The document deals with other additional voluntary information to be provided by the client in relation to prevention of Money Laundering Act, 2002.) | 14 |
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** As per separate sheets

TRADING ACCOUNT RELATED DETAILS - FOR INDIVIDUALS & NON-INDIVIDUALS

| BANK ACCOUNT(S) DETAILS | | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|
| | First Bank Details | Second Bank Details |
| Bank Name | | |
| Branch | | |
| Address | | |
| Bank A/c No. | | |
| A/c Type | <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others-In case of NRI/NRE/NRO | <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others-In case of NRI/NRE/NRO |
| MICR No. | | |
| IFSC code | | |
| DEPOSITORY ACCOUNT(S) DETAILS | | |
| | First Demat A/c Details | Second Demat A/c Details |
| Depository Participant Name | | |
| Depository Name | <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL | <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL |
| Beneficiary Name | | |
| DP ID | | |
| Beneficiary ID (BO ID) | | |
| TRADING PREFERENCES - * Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client. | | |
| Exchange | Segment | Signature |
| 1. National Stock Exchange of India Ltd. | - Cash | ✓ |
| | - F&O | ✓ |
| | - Currency Derivatives | ✓ |
| | - Commodity | ✓ |
| | - SLBS | ✓ |
| 2. BSE Limited | - Cash | ✓ |
| | - Commodity | ✓ |
| # If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker. | | |

| OTHER DETAILS | | | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| Gross Annual Income Details (please specify) | | | |
| Income Range per annum | <input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lacs-1 crore <input type="checkbox"/> > 1 crore | | |
| Net-worth | | as on (date) | |
| (Net worth should not be older than 1 year) | | (dd/mm/yyyy) | |
| Occupation (Individuals) (Please tick any one and give brief details) | <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business | | |
| | <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student | | |
| | <input type="checkbox"/> Others _____ | | |
| Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / whole time directors | | <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) | |
| PAST ACTIONS | | | |
| Details of any action / proceedings initiated / pending / taken by SEBI / Stock exchange / any other authority against the applicant / constituent or its Partners / promoters / whole time directors / authorized persons in charge of dealing in securities during the last 3 years | | | |
| | | | |
| DEALINGS THROUGH OTHER STOCK BROKERS | | | |
| Whether dealing with any other stock broker / sub-broker (if case dealing with multiple stock brokers /sub-brokers, provide details of all) | | | |
| Name of stock broker | | | |
| Name of Sub-Broker, if any | | | |
| Client Code | | Exchange | |
| Details of disputes/dues pending from/to such stock broker/sub- broker | | | |
| | | | |
| ADDITIONAL DETAILS | | | |
| Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) | | | |
| _____, Specify your Email id, if applicable : | | | |
| Whether you wish to receive the standard documents - Rights and Obligations, Risk Disclosure Document (RDD) and Guidance note - physically or electronically, (please specify) : _____ | | | |
| Please note that these documents are also available in certain vernacular languages on demand. | | | |
| Whether you wish to avail of the facility of internet trading / wireless technology (please specify) | | | |
| <input type="checkbox"/> YES <input type="checkbox"/> NO | | | |
| Number of years of Investment / Trading Experience | | | |
| In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others | | | As per Annexure |
| Any other information | | | |
| | | | |

| INTRODUCER DETAILS (optional) | | |
|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|
| Name of the Introducer | (Surname) (Name) (Middle Name) | |
| Status of the Introducer | <input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, please specify | |
| Address and Phone No. of the Introducer | | |
| Signature of the Introducer | | |
| NOMINATION DETAILS (for individuals only) | | |
| <input type="checkbox"/> I/We wish to nominate <input type="checkbox"/> I/We do not wish to nominate | | |
| Name of the Nominee | PHOTOGRAPH of Nominee Please affix recent passport size photograph and sign across it | |
| Relationship with the Nominee | | |
| PAN of Nominee | | |
| Address and Phone No. of the Nominee | Date of Birth of Nominee | |
| If Nominee is a minor, details of guardian : | | |
| Name of guardian | | |
| Address and Phone No. of Guardian | | |
| Signature of guardian | | |
| WITNESSES (Only applicable in case the account holder has made nomination) | | |
| | First Witness Details | Second Witness Details |
| Name | | |
| Signature | | |
| Address | | |

DECLARATION

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

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

Place : _____

✓ _____
Signature of Client/ (all) Authorized Signatory (ies)

Date : _____

ANNEXURE

DETAIL OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS AND PERSONS AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF COMPANY / FIRM / OTHERS

| Particulars | 1st | 2nd | 3rd |
|---------------------|-------------------------------------------------------------------------------|-------------------------------------------------------------------------------|-------------------------------------------------------------------------------|
| Designation | | | |
| Name | | | |
| PAN | | | |
| DIN / UID | | | |
| Residential Address | | | |
| | | | |
| | | | |
| | | | |
| Photograph | Please affix your recent passport size photograph and sign across it ✓ | Please affix your recent passport size photograph and sign across it ✓ | Please affix your recent passport size photograph and sign across it ✓ |

Use additional sheets, if necessary.

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

| | Documents verified with Originals | Client Interviewed By |
|-----------------------------|-----------------------------------|-----------------------|
| Name of the Employee | | |
| Employee Code | | |
| Designation of the employee | | |
| Date | | |
| Signature | | |

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

Signature of the Authorised Signatory

Date : _____

Seal/Stamp of the stock broker

INSTRUCTIONS / CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list :

| | |
|-----------------------------------------------------------------|-----------------------------------------------------|
| Copy of ITR Acknowledgement | Copy of Annual Accounts |
| In case of salary income - Salary Slip, Copy of Form 16 | Net worth certificate |
| Copy of demat account holding statement | Bank account statement for last 6 months |
| Any other relevant documents substantiating ownership of assets | Self declaration with relevant supporting documents |

**In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

2. Copy of cancelled cheque leaf / pass book / bank statement specifying name of the constituent, MICR Code or / and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals :
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker / sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals :
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company / firm / others and their specimen signatures.

MANDATORY

TARIFF SHEET

BROKERAGE STRUCTURE

| SEGMENT | DELIVERY (%) | MINIMUM (paisa) | SQUARE OFF (%) | MINIMUM (paisa) |
|-----------------------|--------------|-----------------|----------------|-----------------|
| NSE Cash | | | | |
| NSE Future | | | | |
| NSE Options | | | | |
| NSE Currency - Future | | | | |
| NSE Currency - Option | | | | |
| NSE Commodity | | | | |
| SLBS - First Leg | | | | |
| SLBS - Reverse Leg | | | | |
| BSE Cash | | | | |
| BSE Commodity | | | | |

(Other charges like STT, GST, Stamp Charges, Transaction Charges, Clearing Charges, if any shall be levied as per the rate stipulated by the concerned Authority)

SCORES URL Link : <https://scores.gov.in/scores/Welcome.html>

Filing compliant on SCORES - Easy & Quick

- a. Register on SCORES portal
- b. Mandatory details for filing complaints on SCORES
 - i. Name, PAN, Address, Mobile Number, E-mail ID
- c. Benefits:
 - i. Effective Communication
 - ii. Speedy redressal of the grievances

AUTHORITY LETTER FOR RUNNING ACCOUNT

Date : _____

To

Eastern Financiers Ltd.

“LORDS”, Suite No. 102 & 104

7/1, Lord Sinha Road, Kolkata - 700 071

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain all amounts receivable by me/us until specifically requested by me/us to be settled within one working day of request, if the same is lying with Eastern Financiers Ltd. & within 3 working days from the request if the same is lying with clearing member/clearing corporation.
2. I/we understand and agree that no interest will be payable to me/us on the funds so retained with you.
3. I/we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard I/we hereby authorize Eastern Financiers Ltd. to act at its discretion of adjusting any credit balance under my/our various accounts against the debit in any account across segments/Exchange, without taking any further instruction from me/us.
4. I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
5. I/We authorize you to pledge/re-pledge my/our securities as margin with the appropriate authorities as per the procedure prescribed by the Regulators and Market Intermediaries from time to time.
6. I/we may revoke the authorisation at any time by giving a written notice.
7. I/we also agree that the actual settlement shall be done by us, at least once in a quarter or month and the statement of account for the same will be provided to me by Eastern Financiers Ltd.
8. I/we agree that fund given towards collaterals/margins in form of bank guarantee (BG) / Fixed Deposit Receipts (FDR) may not be periodically settled.
9. I/we agree that (a) in respect of derivatives market transactions, the Trading Member may retain the requisite funds on settlement date to take care of any margin obligation arising in next 5 days, calculated in the manner specified by the Exchange, (b) in respect of cash market transactions, the Trading Member may retain entire pay-in obligations of **T day & T-1 day** funds due from me/us as on the date of settlement to take care of margin obligation in next 5 days, calculated in the manner specified by the Exchange.
10. I/we agree/understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.
11. There must be a gap of maximum 90 / 30 days (as per the choice of the client viz. Quarterly / Monthly) between two running account settlements.
12. Apart from margin liability as on the date of settlement, in all segments, additional margins (maximum upto 125% of margin requirement on the day of settlement), i.e. 225% of the total Margin requirement after excluding the margin on consolidated crystallized obligation, where applicable.
13. I/we shall bring any dispute arising from the statement of account or settlement so made to the Notice of the Trading Member preferably **within 30 working** days from the date of receipt of funds / securities or statement as the case may be.

PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT

| | | |
|------------------------|----------------------------------|------------------------------------|
| Settlement Preferences | <input type="checkbox"/> Monthly | <input type="checkbox"/> Quarterly |
|------------------------|----------------------------------|------------------------------------|

Thanking you,

Yours truly,

✓

Signature of the Client

VOLUNTARY

MANDATE TO ISSUE DOCUMENTS IN ELECTRONIC FORMAT

Date : _____

To
Eastern Financiers Ltd.
"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Dear Sir,

Ref. : Mandate to issue Contract Notes, Daily Margin Statement, Quarterly Statement of Account and any other document in electronic format.

I/We hereby agree and consent to accept the contract notes for transaction carried on by me/us with you and the quarterly statements of funds and securities, (hereinafter referred to as "quarterly statement"), daily margin statement and any other documents in terms of the agreement entered into between us, in electronic form on my/our email ID given here-in-under. My/our non-verification or not accessing the contract notes, daily margin statement and quarterly statement on regular basis shall not be a reason for disputing the contract notes, daily margin statement and quarterly statements at any time. This instruction to issue digital contract notes, daily margin statement and quarterly statements is applicable with immediate effect.

I/We agree that any change in my/our e-mail ID will be communicated to you through a physical letter.

I/We am also aware that copies of the contract notes are also available on the website <http://www.easternfin.com> for which I/we will be provided the user ID and password. I/We also agree that non-receipt of bounce mail notification by you shall amount to delivery at my/our email account. I/We also agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc. I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever. In case of non-receipt of mails the same shall be intimated to EFL immediately in writing.

Thanking you,

Yours truly,

✓ _____
Signature of the Client

Email Id _____

Client Code _____

DECLARATION/LETTER OF UNDERSTANDING

Date : _____

To

Eastern Financiers Ltd.

“LORDS”, Suite No. 102 & 104

7/1, Lord Sinha Road

Kolkata - 700 071

Dear Sir,

1. I/We agree not to hold EFL liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion, earthquake, riots, war strikes, failure of systems, failure of internal links, government/regulatory actions or any other contingencies beyond your control.
2. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
3. All fines/penalties and charges levied upon EFL due to my acts/deeds or transactions may be recovered by EFL from my account.
4. Any queries related to my/our contract note shall be brought to the notice of EFL within 24 hours of the receipt of the contract note.
5. I/We hereby authorize EFL not to provide me Order Confirmation/ Modification/ Cancellation slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We hereby request EFL to kindly accept my/our verbal orders/ instructions over phone and execute the same. I/We understand the risk associated with placement of verbal orders and accept the same. In case I wish to withdraw this consent I shall inform EFL in writing and get the same acknowledged by EFL at least one week in advance from the date of withdrawal.
6. I/We will be extending all co-operation to EFL in their endeavour towards Anti Money Laundering. EFL may initiate any enquiry against me/us and/or my/our transactions any time without any legal implication whatsoever against them.
7. I/We understand that information about me/us and my/our transactions may be reported by EFL to FIU/concerned authorities without any intimation to me/us and have no objection to the same.
8. I/We undertake that if I/we fail to deliver any one or more securities to the pool account of EFL in respect of the securities sold by me/us before the pay-in date notified by the Exchange from time to time, such undischarged obligation in relation to delivering any one or more securities shall be deemed to have been closed out at the auction price or close-out price, as may be debited to EFL in respect of the security for the respective settlement, otherwise the close out price on the date of pay-out in respect of the relevant securities, declared by the Exchange. The loss, if any, on account of the close out shall be borne by me/us.
9. I agree to EFL tape-recording the conversation between me and EFL officers in its absolute discretion, whether personally or over the telephone. Such recordings may be relied upon by EFL as and when required and I agree not to challenge the evidentiary value of such recordings.
10. I hereby authorize EFL to debit my account with depository services charges, bank charges on account of dishonor of cheques, stop payment instruction charges, demand draft/ pay order/PGP charges. NEFT/RTGS charges, settlement/ professional charges (for as may be applicable to NRIs), research service/message fee, trading platform charges, application money and processing charges for mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s), money market instruments etc. generally various investment avenues / products, processing fees/charges towards contract note/statement of account etc. and any other such or similar fees / charges as may become applicable from time to time.

Thanking you,

Yours truly,

✓ _____

Signature of the Client

VOLUNTARY

DECLARATION FOR MOBILE NUMBER OR E.MAIL ID FOR DIFFERENT CLIENTS

Date : _____

To
Eastern Financiers Ltd.
"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Dear Sir,

I, _____ do hereby declare that my Mobile Number is _____. Further, I authorize EFL that the same may be used for giving me any information/alert/sms/call.

Or

We, _____ do hereby declare that Mr. _____ having mobile number _____ is authorized on our behalf to receive information/alert/sms/call on our behalf.

I/We undertake to EFL and confirm to use my/our own judgement in taking a call and execute trade in the identified securities according to my/our financial strength/capabilities and shall not hold EFL responsible for any loss suffered by me/us on account of executing or omitting to execute any trades in pursuance of the SMS alerts and/or investment advises sent by EFL. I/We further declare that the above mentioned statement is true and correct.

Thanking you,

Yours truly,

✓ _____
Signature of the Client

ENROLMENT OF AADHAAR NO. WITH DEMAT ACCOUNT & TRADING ACCOUNT

Date : _____

To
Eastern Financiers Ltd.
"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Dear Sir,

I am enclosing a photo copy of Aadhaar Card (self-attested) to get it enrolled and seeded against my Demat Account No. _____ & Trading Account No. _____. I voluntarily give my consent to EASTERN FINANCIERS LTD. to use my Aadhaar details to authenticate from UIDAI and link the Aadhaar Number to all my existing accounts with your Company.

Thanking you,

Yours truly,

✓ _____
Signature of the Client

Appendix A - Electronic Contract Note [ECN] - DECLARATION (VOLUNTARY)

To
Eastern Financiers Ltd.
Member : NSE & BSE
"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Dear Sir,

I, _____, a client with **Eastern Financiers Ltd.**, Member of **National Stock Exchange of India Ltd. and BSE Limited** undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am 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 find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- I 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 and not by someone else.
- I am aware that this declaration form should be in English or in any other language known to me.
- I am 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. I am 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 written in own handwriting of the client.)

Client Name : _____

Unique Client Code : _____ PAN : _____

Address : _____

Signature of the client : _____

Date : _____

Place : _____

.....
Verification of the client signature done by :

Name of the designated officer of **Eastern Financiers Ltd.** _____

For Eastern Financiers Ltd.

Authorised Signatory Signature

Date : _____

To
Eastern Financiers Ltd.
"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road, Kolkata - 700 071

Dear Sir,

**Subject : My/Our request for trading in commodity forward contracts/
commodity derivatives on NSE and BSE as your client**

I/We, the undersigned, have taken cognizance of NSE & BSE Circulars and guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by NSE, BSE or SEBI and such position limits will be calculated in accordance with the contents of above stated circulars of NSE and BSE as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/ Trusts in which I or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on NSE, BSE through you or through any other member(s) of NSE, BSE to enable you to restrict our position limit as prescribed by the above referred circulars of NSE & BSE as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your clients on NSE, BSE only on the basis of our above assurances and undertaking.

Thanking You,

Yours faithfully,

Signature of Client

Date : _____

To
Eastern Financiers Ltd.
"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road, Kolkata - 700 071

Dear Sir,

Sub : Registration for Commodity Options

I/We, Mr. _____ Client Code _____
intend to trade in Commodity options subject to regulatory requirement of the exchange and SEBI from time to time.

I/We further confirm having read and understood the contents of additional Risk Disclosure Documents. I/We have also been informed that the standard set of documents has been displayed for information on Member's designated website, if any.

We confirm that you have agreed to enter orders in commodity options for me/us as your client on NSE, BSE only on the basis of our above undertaking.

Thanking You,

Yours faithfully,

Signature of Client

CONSENT LETTER FOR EMAIL AND MOBILE ALERT FACILITIES

Dated : _____

To
Eastern Financiers Ltd.
"LORDS", Suite No. 102 & 104
7/1, Lord Sinha Road
Kolkata - 700 071

Sir,

This is with reference to my/our trading account opened with you; I/we request you arrange facility of receiving email and/or mobile alert facility issued by Exchange in compliance with regulation and guidelines issued by concern authorities from time to time.

| | |
|--------------------------|-----------------------------------------------------------------------------|
| Email Facility | Service Required - YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Email ID | |
| Owned by - Name | |
| - PAN Number* | |
| Relationship with Client | |
| Signature of the Client | ✓ |
| SMS Facility | Service Required - YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Mobile Number | |
| Owned by - Name | |
| - PAN Number* | |
| Relationship with Client | |
| Signature of the Client | ✓ |

* Please specify the Name and PAN detail in case email id and/or Mobile Number is other than that of the client.

In this regards we state the following :

1. This is to further confirm that it will be my/our responsibility that my/our Email ID and/or Mobile Number are active and the relevant Inbox is not full. Further, the trading member will not be held liable for the mails and / or SMS alert not received.
2. I/we undertake that any change in my/our Email ID and/or Mobile Number shall be communicated to you in writing through a physical letter.
3. I/we agree that this authority shall be valid, until it is revoked by me/us at any time by giving a written notice to Eastern Financiers Ltd.

✓ _____
Signature of Client

VOLUNTARY

Voluntary information provided by the client in relation to the Prevention of Money Laundering Act, 2002

Name of the Client : _____

If Business / Profession : Nature of business : _____

Industry : _____

Details of my/our Relatives, having account with EASTERN FINANCIERS LTD. :

| Name | Relationship | UCC (Client Code) |
|------|--------------|-------------------|
| 1. | | |
| 2. | | |

Details of the Corporate / Partnership Firm / Trust etc. where I/We am/are affiliated

| Name | Entity Type | Nature of Business | Relationship | UCC (Client Code) |
|------|-------------|--------------------|--------------|-------------------|
| 1. | | | | |
| 2. | | | | |

I/We hereby submit and agree to submit every year any one of the following documents to EASTERN FINANCIERS LTD., before the due date as prescribed by EASTERN FINANCIERS LTD. :

- | | |
|-------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|
| 1. Profit and Loss Account & Capital Account | 4. Copy of Form 16 in case of Salary Income |
| 2. Balance Sheet | 5. Any other document providing financial details of the client |
| 3. Self attested copy of Income Tax Return (If return not available, I/we will furnish Form 16) | |

I/We hereby declare that I/We do not fall under Clients of Special Category as defined in Prevention of Money Laundering Act 2002, **OR**

I/We hereby declare that I/We fall under Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 (choose the relevant category as under)

- Non Resident Client, High Net-worth Clients, Trust, Charties, Non- Governmental Organisations (NGOs) and organizations receiving donations, Companies having close family shareholdings or beneficial ownership, Politically Exposed Persons, Companies Offering foreign exchange offerings, Clients in high risk countries where existence/ effectiveness of money laundering controls is suspect, Non face to face clients, Clients with dubious reputation as per public information available etc.

I/We confirm that I/We will immediately inform EASTERN FINANCIERS LTD. in case I/We am/are convicted under any grounds or any action is taken against me/us by any authority(ies).

I/We intend to invest in the stock market with : Own Funds Borrowed Funds

(If Borrowed Funds, then please specify below Sources of funds :)

| Sources of Borrowed Funds (if any) | Amount (₹) |
|------------------------------------|------------|
| | |
| | |

(Certificated / Opinion Report from the Banker / Financial Institution confirming that there has been no default in the client's account is to be attached, which I/We agree to attach herewith.)

I/We hereby declare that I/We am/are beneficial owner of the Trading / On-line account opened with EASTERN FINANCIERS LTD., and that I/We am/are investing my/our own funds with EASTERN FINANCIERS LTD.

✓ _____
Client Signature

Client's Name

FOR OFFICE USE ONLY

Risk categorisation of client as per PMLA, 2002 : High Risk Medium Risk Low Risk

DECLARATION OF ULTIMATE BENEFICIAL OWNERSHIP

(Mandatory For Non-Individuals)

Investor Name _____ PAN _____

Part I - LISTED COMPANY / ITS SUBSIDIARY COMPANY [If applicable, Part II Not Applicable]

We hereby declare that the Applicant/ Owner of the controlling interest in the applicant

- is a Company listed on a Stock Exchange
- is a majority-owned subsidiary of a Company listed on a Stock Exchange

Name of the holding/ parent company (with % share) _____

Name of such Listed Company (if not the Applicant itself) _____

Stock Exchange where listed _____ Security ISIN _____

Part II - OTHER THAN LISTED COMPANY / ITS SUBSIDIARY COMPANY

| Name & Address of the Ultimate Beneficial Owner [UBO] | PAN or any other identification proof where PAN not applicable | Country of tax residency | % of beneficial interest in the Applicant | Whether Politically Exposed? | UBO Code (see instruction next page) |
|-------------------------------------------------------|----------------------------------------------------------------|--------------------------|-------------------------------------------|------------------------------|--------------------------------------|
| (1) | | | | | |
| | | | | | |
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| (2) | | | | | |
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| (3) | | | | | |
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| | | | | | |

If UBO is already KYC compliant, KYC complied proof to be enclosed. Else PAN or any other valid identity proof and address proof must be attached (self certified by the UBO and certified by the Applicant)

Part III - DECLARATION

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------|
| <p>We understand that Eastern Financiers Ltd. is relying on this information for the purpose of determining the beneficial ownership of the account. We certify that the information we provided on this form is true and complete to the best of our knowledge and belief. We agree to submit a new form within 30 days if any information or certification on this form gets changed.</p> | <p style="text-align: center;">✓ _____ Authorised Signatory [with seal]</p> <p>Date : _____ Place : _____</p> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------|

In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit.

GENERAL INFORMATION & INSTRUCTIONS

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such 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.

Ultimate Beneficiary Owner [UBO]:

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.

UBO Code Description

- UBO-1 : Controlling ownership interest of more than 25% of shares or capital or profits of the Applicant, where the Applicant is a company
- UBO-2 : Controlling ownership interest of more than 15% of the capital or profits of the Applicant, where the Applicant is a partnership
- UBO-3 : Controlling ownership interest of more than 15% of the property or capital or profits of the Applicant, where the Applicant is an unincorporated association or body of individuals
- UBO-4 : Natural person exercising control over the Applicant through other means i.e., exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under UBO-1 to UBO-3 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]
- UBO-5 : Natural person who holds the position of senior managing official [In case no natural person could be identified as above]
- UBO-6 :The settler(s) of the trust
- UBO-7 :Trustee(s) of the Trust
- UBO-8 :The Protector(s) of the Trust [if applicable].
- UBO-9 :The beneficiaries with 15% or more interest in the trust if they are natural person(s)
- UBO-10 : Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership.

FATCA/CRS DECLARATION FORM - FOR INDIVIDUAL

Applicant Name _____

PART I - Please fill in the country for each of the following :

1. Country of :
 - a) Birth _____ b) Citizenship _____
 - c) Residence for Tax Purposes _____
2. US Person* : Yes No

PART II - Please note :

- a. If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to **Part III** for signature.
- b. If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent** as issued in the specific country in the table below :
 - i) TIN _____ Country of Issue _____
 - ii) TIN _____ Country of Issue _____
 - iii) TIN _____ Country of Issue _____
- a. In case any of the parameters in **Part I** indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in **Part IV**.
- b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate

Please also fill **Part IV** Self-Certification.

PART III - Customer Declaration (Applicable for all customers)

- (i) Under penalty of perjury, I/we certify that :
 1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**
 2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. **(This clause is applicable only if the account holder is a tax resident outside of India)**
- (ii) I/We understand that Eastern Financiers Ltd. is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. Eastern Financiers Ltd. is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- (iv) I/We agree that as may be required by domestic regulators/tax authorities Eastern Financiers Ltd. may also be required to report, reportable details to CBDT or close or suspend my account.
- (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature : _____

Name : _____ Date (DD/MM/YYYY) : _____

PART IV - Self-Certification :

To be filled only if-

- (a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or
- (b) US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.

Signature

Document Proof submitted (Please tick document being submitted)

Passport Election Id Card PAN Card Driving License UIDAI Letter NREGA Job Card Govt. Issued ID Card

*** U.S. Person** means,

- (a) an individual, being a citizen or resident of the United States of America;
- (b) a partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
- (c) a trust if,-
 - (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and
 - (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust; or
- (d) an estate of a decedent who was a citizen or resident of the United States of America;

**** Functional Equivalent of TIN**

Many countries do not issue TIN to their taxpayers. However, such countries issue some other high integrity number with an equivalent level of identification (a functional equivalent). Examples of such numbers are-

- Social Security Number
- National Insurance Number
- Citizen Or Personal Identification Code Or Number
- Resident Registration Number

FATCA/CRS DECLARATION FORM - FOR NON-INDIVIDUAL

Applicant Name _____

PART I

A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange:

Yes No

If "No", then proceed to point B. If "yes" please specify name of stock exchange, if you are listed company _____ and proceed to sign the declaration.

B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India : Yes No

If "yes", then please fill of FATCA/ CRS Self certification Form. If "No", proceed to point C.

C. Is the account holder an Indian Financial Institution : Yes No

If "yes", please provide your GIIN, if any _____. If "No", proceed to point D.

D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen : Yes No

If "yes", (then please fill FATCA/ CRS self-certification form)). If "No", proceed to sign the declaration.

CUSTOMER DECLARATION

() Under penalty of perjury, I/we certify that :

1. The applicant is:

- (i) An applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S.,
- (ii) An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**

2. The applicant is an applicant taxable as a tax resident under the laws of country outside India.

- (i) I/We understand that Eastern Financiers Ltd. is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. Eastern Financiers Ltd. is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (ii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- (iii) I/We agree that as may be required by domestic regulators/tax authorities Eastern Financiers Ltd. may also be required to report, reportable details to CBDT or close or suspend my account.
- (iv) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Name of the Entity _____

Signature 1 _____ Signature 2 _____

Signature 3 _____ (As per MOP)

Date : _____

PART II

Self-Certification Form (Entity) for Foreign Account Tax Compliance Act (“FATCA”) and Common Reporting Standards(CRS)

Section 1 : Entity information

Name of Entity _____

Customer id (if existing) _____ Entity Constitution Type _____

Entity Identification type : Tax Identification Number (TIN) US GIIN Company Identification Number
 Global Entity Identification Number (EIN) Other

Entity Identification No. _____

Entity Identification issuing country _____ Country of Residence for tax purpose _____

Section 2 : Classification of Non-Financial entities

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

a) An entity incorporated and taxable in US (Specified US person) : Yes No

If “Yes”, please provide your U.S. Taxpayer Identification Number (TIN) _____

b) An entity incorporated and taxable outside of India (other than US) : Yes No

If “Yes”, please provide your TIN or its functional equivalent _____

Provide your TIN issuing country _____

c) *Please provide the following additional details if you are not a Specified US Person :*

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

Active NFFE Passive NFFE without any controlling Person

Passive NFFE with Controlling Person(s) : US Others

Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus Eastern Financiers Ltd. is not required to do the reporting)

Please provide GIIN number : _____

Section 3 : Classification of financial institutions (including Banks)

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

a. An entity is a U.S. financial institution : Yes No

If “Yes”, (i) Please provide your Taxpayer Identification Number (TIN)

(ii) Please provide GIIN, if any _____

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

FATCA classification

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

Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement (“IGA”) Jurisdiction _____

Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction _____

Participating FFI in a Non-IGA Jurisdiction _____

Non-reporting FI _____

Non-Participating FI _____

Owner-Documented FI with specified US owners _____

Section 4 : Controlling person declaration

If you are classified as “**Passive NFFE with Controlling Person(s)**” or “**Owner documented FFI**” or “**Specified US person**”, please provide the following details:

| Name of controlling person | Correspondence Address | Country of residence for tax purpose | TIN | TIN issuing country | Controlling person type |
|----------------------------|------------------------|--------------------------------------|-----|---------------------|-------------------------|
| | | | | | |
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| | | | | | |
| | | | | | |

| Details | Controlling person 1 | Controlling person 2 | Controlling person 3 | Controlling person 4 | Controlling person 5 |
|-----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|
| Identification Type | | | | | |
| Identification Number | | | | | |
| Occupation Type | | | | | |
| Occupation | | | | | |
| Birth Date | | | | | |
| Nationality | | | | | |
| Country of Birth | | | | | |

Section 5 : Declaration

- (i) Under penalty of perjury, I/we certify that :
 1. The number shown on this form is the correct taxpayer identification number of the applicant, and
 2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America (“U.S.”) or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or
 3. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
- (ii) I/We understand that Eastern Financiers Ltd. is relying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. Eastern Financiers Ltd. is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.
- (iv) I/ We agree as may be required by Regulatory authorities, Eastern Financiers Ltd. shall be required to comply to report, reportable details to CBDT or close or suspend my account.
- (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

I/We hereby confirm that details provided are accurate, correct and complete

Authorized Signatories and Company Seal (if applicable)

Name _____ Date (DD/MM/YYYY) _____

Dated : _____

From :

To

Eastern Financiers Ltd.

“LORDS”, Suite No. 102 & 104

7/1, Lord Sinha Road

Kolkata - 700 071

Ref. : Acknowledgement for the receipt of documents

Dear Sir,

This is to acknowledge and declare that

- I/We have received a photocopy of the KYC (full booklet), duly executed with you, to my/our satisfaction including my / our Unique Client Code (Trading Code).
- I/We have (Physically Electronically) received, read and understood the Rights & Obligations, Risk Disclosure Documents, Guidance Note.
- I/We have received, read and understood the Policies and Procedures.
- The email id noted with you (for ECN and other purposes) is correct.

Thanking you,

Yours truly,

✓ _____

Signature of the Client

Client Code _____

EASTERN FINANCIERS LIMITED

Registered Office Address :

14, India Exchange Place, 2nd Floor, Kolkata-700 001

Phone : (033) 4010-4242, Fax : (033) 2230-6993, CIN : U65999WB1986PLC041392

Email ID : share_ig@easternfin.com, dp_ig@easternfin.com, Website : www.easternfin.com

Correspondence Office Address :

"Lords", Suite No. 102 & 104, 7/1, Lord Sinha Road, Kolkata - 700 071

Phone : (033) 4000-6800, Fax : (033) 2282-2052

Whole Time Directors' Name, Phone No. & Email ID :

Mr. Ajoy Agarwal, (033) 4010-4223, ajayagarwal@easternfin.com

Mr. Abhishek Agarwal, (033) 4010-4503, abhishek@easternfin.com

Mr. Ambrish Agarwal, (033) 4000-6801, ambrish@easternfin.com

Compliance Officer's Name, Phone No. & Email ID :

Ms. Reena Khetan, 4000-6809, reena.k@easternfin.com

SINGLE SEBI REGN. NO. INZ000193733 DT.13.08.2018 (For NSE & BSE)

SEBI REGN. NO. FOR DP : IN-DP-NSDL-262-2006

For any grievance/dispute please contact us at the above address or email us at the Investor Grievance Email ID : share_ig@easternfin.com or call us at the above mentioned numbers. In case not satisfied with the response, please contact the concerned exchange(s)

| | | | | | |
|------------|-----------------|-----------------|------------|-------------------|-----------------|
| NSE | ignse@nse.co.in | (022) 2659-8190 | BSE | is@bseindia.co.in | (022) 2272-8097 |
|------------|-----------------|-----------------|------------|-------------------|-----------------|

Clearing Member for NSE-CDS, NSE-COMMODITY & BSE-COMMODITY**SMC GLOBAL SECURITIES LTD.**

Registered & Correspondence Office address :

11/6B, Shanti Chambers, Main Pusa Road, New Delhi - 110 005

Phone : (011) 2575-4391, 3011-1000 / 1333, Fax : (011) 2575-4365

E.mail : smc@smcindiaonline.com, Website : www.smctradeonline.com

SEBI Registration No. INZ000199438 dt.12.09.2018

Disclosure of Proprietary trading pursuant to SEBI Circular No. : SEBI/MRD/SE/Cir-42/2003 dated 19th Nov., 2003, NSE Circular No. : NSE/INVG/PRE/2003/16 dated 25th Nov., 2003 and BSE Notice No. 20031125-7 dated 25 November, 2003 :

We, **EASTERN FINANCIERS LIMITED**, are also engaged in Proprietary trading apart from Client based business.

Corporate Office

7/1, Lord Sinha Road

Kolkata - 700 071

Ph. : (033) 4000-6800

Fax : (033) 2282-8154, 4003-4089

Registered Office

14, India Exchange Place

(2nd Floor)

Kolkata - 700 001

Ph. : (033) 4010-4242

Fax : (033) 2230-6993

E.mail : share_ig@easternfin.com • Website : www.easternfin.com • CIN : U65999WB1986PLC041392