



ACCOUNT OPENING FORM

Trading & Demat Account Opening Form

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Name of the Trading Member: Astha Credit & Securities Private Limited (hereinafter referred to as "AsthTrade")

Name of the Clearing Member: Astha Credit & Securities Private Limited

Cash Segment: NSE | F&O: NSE | Commodities: MCX | Currency: NSE

NSE & MCX Sebi Reg No: INZ000187932.

SEBI Depository Participant Reg No: IN-DP-611-2021

Registered Office & Correspondence office: Astha Credit & Securities Pvt Ltd F-01,138/42, Usha Preet, Malviya Nagar, Bhopal (MP) 462003

Compliance Officer: Satish Chandra Gupta, Phone No. & Email ID: 0755-4268599, contact@asthatrade.com

CEO: Shauryam Gupta, Phone No. & Email ID: 0755-4268599, contact@asthatrade.com

For any grievance please contact at the above address or email grievance@asthatrade.com & Phone no 0755-4268599. In case not satisfied with the response, please contact the concerned exchange at: NSE: ignse@nse.co.in or contact at 022-26598100 - | MCX: grievance@mcxindia.com or contact at 022-67318888

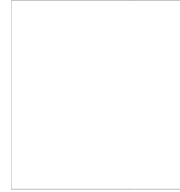


KNOW YOUR CLIENT (KYC) APPLICATION FORM - FOR INDIVIDUALS

For Office Use Only
 Application Type: New Update **KYC Number:**
 Account Type: Normal Simplified(for low risk customers) Small

A. Identity Details

Name:
Maiden Name(*If any):
Father's/Spouse's Name:
Mother's Name:
 Gender: Male Female Transgender
 Marital Status: Married Unmarried Other
DOB:
PAN:
UID/Aadhaar:
 Proof of Identity Submitted: Pan Card Other(Please Specify) _____
 Citizenship: India Other____(ISO 3166 Country Code)
 Residential Status: Resident Individual Non Resident Indian Person of Indian Origin
 Foreign National
 Tick if Applicable: Residence for tax purposes in jurisdiction(s) outside India
 ISO 3166 Country Code of Jurisdiction of residence: _____ Place of birth : _____
 Tax Identification Number: _____ or Equivalent ISO3166 Country Code of Birth: _____


B. Address Details

- a. Correspondence Address (Address type: Residential Business)
 City: _____ District: _____ Country(ISO Code): India State: _____
 PIN: _____
 Proof of Address Submitted for Residence / Correspondence Address: Aadhaar ()
- b. Permanent Address
 Address:, _____ District: _____ Country(ISO Code): India State: _____
 City: _____
 PIN: _____
 Proof of Address Submitted for Residence / Correspondence Address: Aadhaar ()
- c. Address in the jurisdiction details where applicant is resident outside India for tax purpose (if applicable)
 Address: _____
 City: _____ District: _____ Pin code: _____
 State: _____ Country(ISO Code): _____
 Proof of Address Submitted for Residence / Correspondence Address: _____
- d. Contact Details
 Email Address: _____ Mobile Number: _____

C. Details of Related Person

No Related Person

D. Declaration

I hereby declare that the details 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 or misrepresenting, I am aware that I may be held liable for it.
 I hereby consent to receiving information from Central KYC Registry through SMS/email on the above registered number/email address.

Client Name:
 Date:
 Place:

Signature:


E. For Office Use Only

Name of the Person who has done the IPV: Ramchandra Employee Id: AS005 Name of the Organization: Astha Credit & Securities Pvt Ltd Date of IPV: Place: Bhopal	Signature of Authorized Signatory
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Original Verified self-Attested Document Copies Received. _____
 Date



TRADING/DEMAT ACCOUNT RELATED DETAILS

(for individuals and non-individuals)

A. Bank Account Details

Account Type: Savings Current Other
Bank Name:
Branch Address:
Account Number:
IFSC Code:
MICR Code:

B. Other Details

Gross Annual Income Details (please specify). Income range per annum:
 <1 Lakh 1-5 Lakh 5-10 Lakh 10-25 lakh 25 lakh-1 crore > 1 Crore
Or net-worth as on date (net worth should not be older than 1 year):

C. Occupation Type

Public Sector Private Sector Govt. Sector Professional Retired
 Self Employed Housewife Student Business Agriculturist
 Not Categorized

D. 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
.....

E. Depository Account Details

Name of DP: NSDL CDSL
Depository Participant Name: Astha Credit & Securities Pvt Ltd
Depository Id: Beneficiary Id:

F. Trading Preferences

Please tick the relevant boxes where you wish to trade. If in future the client wants to trade on any new segment/new exchange, separate authorization letter should be submitted by the client to the stock broker

Exchange	Segment	Signature	Segment	Signature
NSE	Cash	<input type="checkbox"/>	F&O	<input type="checkbox"/>
NSE	Currency	<input type="checkbox"/>		
MCX	F&O	<input type="checkbox"/>		

G. Dealings Through Sub Brokers & Other Stock Brokers

Whether dealing with any other stock broker/sub-broker (in case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of the Stock Broker:, Sub Broker if any:

Client Code:, Exchanges:, Website:

Details of disputes/dues pending from/to such stock broker:

H. Additional Details:

Whether you want to receive a Physical Contract Note Electronic Contract Note (ECN)

If ECN, specify your email id:

I. EDIS Details:

I opt for EDIS facility I do not opt for EDIS facility

J. Declaration

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

I / We confirm having read / been explained and understood the contents of the Documents on policy & procedures of the stock brokers and the tariff sheet.

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

Client Name:

Date:

Place:

Signature:



TARIFF SHEET

BROKERAGE STRUCTURE

NSE Cash	Brokerage
Intraday	Rs 20 per order
Delivery	0.20 %

NSE Derivatives	Brokerage
NSE Future	Rs 20 per order
NSE Option	Rs 20 per lot

NSE Currency Derivatives	Brokerage
Currency Future	Rs 20 per order
Currency Option	Rs 20 per order

MCX Commodity	Brokerage
Currency Future	Rs 20 per order
Currency Option	Rs 20 per order

DEMAT SERVICES AND CHARGES

Monthly Maintenance Charges (MMC)	₹25+GST/Monthly
A/c Closing	NILL
Transaction Charges Sale (On Mkt. & Off Mkt.)	Rs. 25/+GST
Pledge Creation	Rs. 25/+GST
Pledge Closure	Rs. 25/+GST
Pledge Invocation	Rs. 25/+GST
POA	NIL
All Taxes/ levies/CESS as applicable, will be charged Extra	Actual Charges
Dematerialisation	Rs. 0.03/- per Cert. subject to minimum of Rs. 100/- plus postage actual
Rematerialisation	"Rs. 25/- per every 100 securities or flat fee Rs. 50/- per certificate "

Statutory Charges: Securities Transaction Tax | Exchange Transaction Charges | GST | SEBI Charges | Stamp Duty

Notes:

Delivery Brokerage for small shares ranging between Rs 1 to Rs 25 will be 0.05 paisa per share

Your tariff may vary as per the brokerage plan you are enrolled in.

To know the brokerage plan ,please contact our support team | 07556693355 | sales@asthatrade.com

Client Name: .

Date:

Place:

Signature:



ACKNOWLEDGEMENT

To
Asth Credit & Securities (P) Ltd.
F-01, Usha Preet -138/42,
Malviya Nagar, Bhopal (M.P.) - 462003

ACKNOWLEDGEMENT

Dear Sir or Madam, I/We hereby acknowledge receipt of the following documents

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients (including additional rights & obligations in case of internet / wireless technology based trading).
2. Risk Disclosure Document for Capital Market , Derivatives Segments,Currency Segment and MCX Commodity Segment.
3. Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depositories.
4. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors
5. Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009.
6. Internet & Wireless Technology Based Trading Facility Provided by Members To client .
7. Additional voluntary rights and obligations as mutually agreed between Stock Brokers and Clients.
8. General Terms and Conditions governing Securities trading and broking services of Astha Credit & Securities Pvt Ltd.
9. I hereby declare that I am giving my consent to activate Margin Trading Facility
10. Rights & Obligations Of Stock Brokers & Clients For Margin Trading Facility (MTF): [Click here](#). Rights & Obligations and Risk Disclosure Document for NSE: [Click here](#)
11. We acknowledge the brokerage calculator provided to us and is acceptable to us : -
 - We agree to pay Rs 200 per crore as Other charges For NSE Future only
 - We agree to pay Rs 130 per crore as Other charges for MCX Future
 - Other charges included Futures clearing charges. call-n-trade charges and software charges including Mobile app. - All other statutory levies, taxes and brokerage shall be in addition to above.

I/We understand that the Voluntary documents executed by me/us are out of my/our own free will. I/We hereby confirm that I/We have clearly understood and agree to abide by the Terms and Conditions described by Astha Credit & Securities Pvt Ltd. I/We also understand that these Terms and Conditions can be changed by Astha Credit & Securities Pvt Ltd. from time to time with prior notice of 7 days and subject to posting of the amendments and modification therein on it's website and their application with prospective effect. All intraday as well as positional holding will be square up at 80% mark To mark (M-to-M) loss. This is as per RMS Policy. I understood and agreed to this.

I/We state that I have read and understood all above documents and these documents are binding upon me.

Yours faithfully,
Client Name:
Date:
Place:



KYC FORM RECEIPT

To
Asth Credit & Securities (P) Ltd.
F-01, Usha Preet - 138/42,
Malviya Nagar, Bhopal (M.P.) -462003

Subject: Acknowledgment of Receipt of Copy KYC/F&O/RDD

Dear sir

This is to Acknowledgment that I/We have received KYC Form, Rights and Obligations(R&O), Risk Disclosure Document(RDD), Guidance Note, Policies and Procedures, Tariff sheet and copy of other documentary executed by me /us as a Client for NSE(CASH+F&O+CURRENCY) and MCX These documents are already sent on my email id and I/We hereby declare that I/We have the full intimation of trading code and email id for the purpose of receiving electronic contract notes and others.

Client Name:
Date:
Place:





AUTHORIZATION OF RUNNING ACCOUNT

To
Asth Credit & Securities (P) Ltd.
F-01, Usha Preet - 138/42,
Malviya Nagar, Bhopal (M.P.) - 462003

Please note that my/our account and the funds be maintained on a running account basis until /unless we specifically revoked in writing.

1 I/We also specifically understand and agree that :

- a. This is only a voluntary authorization that may be revoked by me at anytime.
- b. For my / our outstanding obligation on the settlement date , you may retain the requisite securities / funds towards such obligation and may also retain the funds expected to be required to meet margin or other obligations for next 5 trading days (or till I/we clear the same entirely) calculated in the manner specified by the exchanges.
- c. The actual settlement of funds shall be done at least one in the preference period selected below:
 Quarterly Monthly
- d. Any dispute from my/our end, arising from statement of account or settlement shall be brought to our notice in writing by me/us within 7 days of receipt of funds /securities /statements as the case may be.
- e. Periodic settlement of running account may not be necessary for margin trading facility or funds received towards collaterals/margin in form of bank guarantee, fixed deposit etc.
- f. In case of my our request /demand you shall transfer the funds, securities within 1 working day if lying with you or within 3 working days if lying with Exchange/Clearing House.
- g. There shall be not any inter client adjustment for the purpose of settlement of my/our running account.

2 In case I/We have traded even once during the last one month/quarter as the case may be while setting the account please send statement of accounts containing an extract from ledger for funds and an extract form the register of securities displaying all receipts/deliveries of funds/securities. Please explain in the statement (s) being sent the retention of funds/securities and the details of pledge, if any, I/We agree that I/We shall bring the discrepancy arising from the statement of account on settlement preferably within 7 working days from the date of receipt of funds/ securities or statement as the case may be to the notice of Trading Member so as to allow the trading member to take remedial steps, if any are warranted.

3 In case, there is a credit balance in my/our account and there is no trading for 30 days here after the account will be settled to zero balance on or before 30th day.

I we understand that the aforesaid consents are purely voluntary and have been given to you for smoother operation of my/our client account with you as our broker and then only. I/We have put my/our signature only after proper understanding.

Yours faithfully,

Client Name:
Place:

:Date:





LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES

To
Asth Credit & Securities (P) Ltd.
F-01, Usha Preet - 138/42,
Malviya Nagar, Bhopal (M.P.) - 462003

Sub Authorization for Electronic Contract Notes

I have been/shall be dealing through you as my broker on the Capital Market and/or Futures & Options and/or MCX Commodity Segment / Currency Segment. As my broker i.e. agent I direct and authorize you to carry out trading/dealings on my behalf as per instructions given below.

I understand that, I have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I hereby opt to receive contract notes in electronic form. I understand that for the above purpose, you are required to take from the client "An appropriate e-mail account" for you to send the electronic contract notes. Accordingly, please take the following email account /email id on your record for sending the contract notes to me:

Email ID:

I 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 agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me and such dispatch shall be deemed to mean receipt by me and shall not be disputed by me on account of any non-receipt/delayed receipt for any reason whatsoever. I understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I am an internet client then in that event the request for change in email id/email account can be made by me through a secured access using client specific user id and password. Please treat this authorization as written ratification of my verbal directions/authorizations given and carried out by you earlier. I shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my directions given above. I understand that, you shall send physical copy of the contract note within 24 hours if you received a bounced email. 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 Indian language known to me.

Yours faithfully,

Client Name:
Date:
Place:



INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKER TO THE CLIENT

(All the clauses mentioned in the "Rights and Obligations" document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/ securities trading using wireless technology as may be pacified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/ trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/ Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/ SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ internet/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/ SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/ or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the pass word of the client and/ or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/ suspects discrepancies/ unauthorized access through his username/ password/ account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc..
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/ securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/ password in any manner whatsoever.
8. The stock broker shall send the order/ trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/ trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/ system failure at the Client/ Stock brokers/ Exchange end for any reason beyond the control of the stock broker/ Exchanges.

Client Name:
Date:
Place: Bhopal

Signature:



AUTHORIZATION FOR ACCOUNT MODIFICATION

To,

Asta Credit & Securities (P) Ltd.
F-01, Usha Preet - 138/42,
Malviya Nagar, Bhopal (M.P.) – 462003

If I/we were to add/modify/remove any of my detail including brokerage plans with Astha Credit & Securities (P) Ltd., I/we authorize you to carry it out based on my request sent through an email to contact@asthatrade.com from my registered email address or intimation through an interface provided by you, whereto I have been allowed secured access.

If you feel the need to do so, then at your own discretion, you may put in place appropriate mechanism to confirm the request before or after its execution by way of a call from a recorded line, or otherwise, personal meeting, SMS or other such other mode as you may deem fit.

Date:
Place:

Signature:





WELCOME SCHEME TO FAMILIARISE WITH TRADING AND SETTLEMENT PROCESS

Welcome Scheme to Familiar with Trading and Settlement Process shall be referred to as WS-FTSP for short. With an intention to make you aware of the process of trading and settlement of the Stock Exchange, Depository, Stock Broker, and Depository participant, you are being offered the WS-FTSP, whereby up to Rs. 100/- worth of securities (ETF) —listed on NSE will be purchased on your behalf and added to your account. This stock is offered to you, free of charge, and you will, hence, not be required to pay any charges to Astha Credit & Securities (P) Ltd (AsthTrade). The goal of WS-FTSP is only to make you (our customer) aware of the various processes involved in the stock market. It includes the following:

1. Purchase of a security from the Stock Exchange
2. Receipt of contract note, daily margin statements, etc.
3. Direct trade confirmations from Exchange
4. Posting of purchase entries in your ledger
5. Receipt of shares in your demat account and its maintenance with AsthaTrade, for future obligations of trades and margin.

Terms and Conditions:

1. WS-FTSP is valid for select clients only. Clients will be chosen at the sole discretion of AsthaTrade.
2. Under WS-FTSP, the security will be bought from NSE.
3. A credit equivalent to the cost of purchase of security under WS-FTSP will be credited into your account, thus resulting in settling the debit balance in your account because of purchase of shares under WS-FTSP.
4. On sell of shares purchased under WS-FTSP, if any, will remain as a credit balance in your account.
5. The terms and conditions for WS-FTSP are subject to change without any prior notice
6. Through this document, you are here by instructing AsthaTrade to purchase securities to an extent aforesaid.
7. AsthaTrade reserves the right to discontinue WS-FTSP without prior notice.
8. You accept that you do not have any legal right to enforce implementation of obligations under WS-FTSP on AsthaTrade Please accord your consent to avail WS-FTSP or otherwise by signing the column below:

I want to avail WS-FTSP

Client Name:

Date:

Place:

Signature: 

ANNEXURE 1

Additional Risk Disclosure documents for Options Trading

Risk of option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a vesting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.
3. Direct trade confirmations from Exchange
4. Posting of purchase entries in your ledger
5. Receipt of shares in your demat account and its maintenance with AsthaTrade, for future obligations of trades and margin.

Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

Client Name:

Date:

Place:

RIGHTS & OBLIGATIONS OF STOCK BROKERS & CLIENTS FOR MARGIN TRADING FACILITY (MTF)

PART A - As prescribed by NSE:

Client Rights:

1. Client shall receive all communications in a mode mutually agreed between the broker and the client regarding confirmation of orders/trades, margin calls, decision to liquidate the position / security.
2. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by the Stock Broker to the Exchange towards securities after paying all dues.
3. Client has a right to change the securities collateral offered for Margin Trading Facility at any time so long as the securities so offered are approved for margin trading facility.
4. Client may close / terminate the Margin Trading Account at any time after paying the dues.

Client Obligations:

1. Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of Margin Trading Facility in accordance with the terms and conditions of Margin Trading Facility offered by the broker, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.
2. Client shall inform the broker of its intent to shift the identified transaction under Margin Trading Facility within the time lines specified by the broker failing which the transaction will be treated under the normal trading facility.
3. Client shall place the margin amounts as the Stock Broker may specify to the client from time to time.
4. On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with the Stock Broker within such time as the Stock Broker may specify.
5. By agreeing to avail Margin Trading Facility with the broker, client is deemed to have authorized the broker to retain and/or pledge the securities provided as collateral or purchased under the Margin Trading Facility till the amount due in respect of the said transaction including the dues to the broker is paid in full by the client.
6. Client shall lodge protest or disagreement with any transaction done under the margin trading facility within the timelines as may be agreed between the client and broker.

Stock Broker Rights:

1. Stock Broker and client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.
2. Stock broker may set up its own risk management policy that will be applicable to the transactions done under the Margin Trading Facility. Stock broker may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the Margin Trading Facility.
3. The broker has a right to retain and/or pledge the securities provided as collateral or the securities bought by the client under the Margin Trading Facility.
4. The broker may liquidate the securities if the client fails to meet the margin call made by the broker as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call.

Stock Broker Obligations:

1. Stock broker shall agree with the client the terms and condition before extending Margin Trading Facility to such client. However, for clients who already have existing trading relationship and want to avail of Margin Trading Facility, stock broker may take consent in writing in his own hand or in any irrefutable electronic method after stock broker has communicated the terms and conditions of Margin Trading Facility to such existing clients.
2. The terms and conditions of Margin Trading Facility shall be identified separately, in a distinct section if given as a part of account opening agreement.
3. The mode of communication of order confirmation, margin calls or liquidation of position/security shall be as agreed between the broker and the client and shall be in writing in his own hand or in any irrefutable electronic method. Stock broker shall prescribe and communicate its margin policies on haircuts/ VAR margins subject to minimum requirements specified by SEBI and exchanges from time to time.
4. The Stock Broker shall monitor and review on a continuous basis the client's positions with regard to MTF. It is desirable that appropriate alert mechanism is set up through which clients are alerted on possible breach of margin requirements.
5. Any transaction to be considered for exposure to MTF shall be determined as per the policy of the broker provided that such determination shall happen not later than T + 1 day.
6. If the transaction is entered under margin trading account, there will not be any further confirmation that it is margin trading transaction other than contract note.
7. In case the determination happens after the issuance of contract, the broker shall issue appropriate records to communicate to Client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.
8. The Stock Broker shall make a 'margin call' requiring the client to place such margin; any such call shall clearly indicate the additional/deficient margin to be made good.
9. Time period for liquidation of position/security shall be in accordance declared policy of the broker as applicable to all MTF clients consistently. However, the same should not be later than 5 working (trading) days from the day of 'margin call'. If securities are liquidated, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
10. The daily margin statements sent by broker to the client shall identify the margin/collateral for Margin Trading separately.
11. The stocks deposited as collateral with the stock broker for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount;
12. Stock Broker shall close/terminate the account of the client forthwith upon receipt of such request from the client subject to the condition that the client has paid dues under Margin Trading Facility.

Termination of relationship:

1. The margin trading arrangement between the stock broker and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the margin trading facility provided to the Stock Broker or the Stock Broker surrenders the facility or the Stock Broker ceases to be a member of the stock exchange.
2. The MTF facility may be withdrawn by the broker, in the event of client committing any breach of any terms or conditions therein or at any time after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of broker committing any breach of any terms or conditions therein or for any other reason.
3. In the event of termination of this arrangement, the client shall forthwith settle the dues of the Stock Broker. The
4. Stock Broker shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the Stock Broker to make such adjustment.
5. After such adjustment, if any further amount is due from the client to the Stock Broker, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to the Stock Broker, the Stock Broker shall release the balance amount to the client.
6. If the client opts to terminate the margin trading facility, broker shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.

PART B - Terms and Conditions prescribed by Astha Credit and Securities (P) Ltd. (Asthtrade) for Margin Trading Facility

1. The initial margin payable by the client to ACS shall be in the form of cash, cash equivalent or Group I equity shares, with appropriate hair cut as specified in SEBI Master circular no. SEBI/HO/MRD/DP/CIR/P/2016/135 dated December 16, 2016. Such Margin can be changed from time to time as may be decided by the Management of ACS. Such Margin prescribed by ACS may be higher than the quantum prescribed by regulatory provisions. The client shall pay applicable initial margins or such other margins as are considered necessary by the stock broker or as may be directed by SEBI / Exchange(s) from time to time as applicable to Margin Trading segment in which the client trades.
2. Eligible Scrips under facility: The Margin Trading facility is applicable to Group I scrips or as specified by SEBI/ Stock Exchange(s) from time to time. ACS shall have its own discretion to permit margin trading facility for any of the particular scrip so specified.
3. In order to avail margin trading facility, minimum initial margin required shall be as under:

Category of Stock	Applicable margin
Group I stocks available for trading in the F&O Segment	VaR + 3 times of applicable ELM*
Group I stocks other than F&O stocks	VaR + 5 times of applicable ELM*



4. *For aforesaid purpose the applicable VaR and ELM shall be as in the cash segment for a particular stock. ACS may demand additional margin for any particular scrip or from a particular client as per its own discretion.
5. Leverage & Exposure: ACS shall provide exposure to client based on exposure limit as prescribed by SEBI/Exchange(s) from time to time. However, based on market conditions and the risk perception about the market, ACS may set the Exposure limits on the basis of available collaterals which may comprise of Ledger balance and stocks (after suitable margin haircut). The limits may be allowed on a multiplier basis to the available collateral or actual VAR margin basis or a specified margin depending on the market conditions. However, on exceptional situations ACS may use its own discretion in providing the limits and may change for a client depending on market condition. In case overall position in particular scrip or across all scrips has reached the particular limit, then client may not be allowed to take further position. Collateral provided by client towards Margin shall be free from any lien and be totally unencumbered.
6. The margin requirement of client may be changed due to but not limited to, the following factors –, market volatility, risk management policy of ACS. ACS will communicate / advise the parameters for the calculation of the margin / collateral requirements as rate(s) / percentage(s) of the haircut and/or as VAR / ELM requirement, through any one or more means or methods such as by messaging on the computer screen of the client's computer; by informing the client through employees /agents of ACS; by publishing / displaying it on the website of ACS(asthatrade.com) / making it available as a download from the website of ACS (asthatrade.com); or any other suitable or applicable mode or manner. The client shall monitor his / her / its position (including valuation of collaterals) on his / her / its own and provide the required / deficit margin / collateral as required from time to time whether or not any margin call or such other separate communication to that effect is sent by ACS to the client and /or whether or not such communication is received by the client to avoid any liquidation.
7. ACS may from time to time impose and vary limits / margins requirement for MTF that the client can create through the stockbroker's trading system (including exposure/margin limits, limits as to value and/or kind of securities in respect of which position can be taken etc.). The client is aware and agrees that ACS may need to vary or reduce the limits or impose new limits urgently during market hours on the basis of ACS's risk perception and other factors considered relevant. ACS may not be able to inform the client of such variation, reduction or imposition in advance & client agree and undertakes to monitor it, margin requirements on real time basis and ensure that any shortfall in margin is immediately made good either by providing additional margin or by selling stock or squaring off the position to ensure compliance with margin requirements applicable to its account.
8. ACS may sale the stock or liquidate the existing position of a client in full / partial if the available margin falls short of minimum prescribed margin as specified by SEBI / Exchange(s) / ACS. In case of any shortfall in the margin or debit remains even after liquidating the open position, the collaterals provided by client shall also be liquidated to recover the debits / margin shortfall.
9. The client agrees that ACS shall not be responsible for variation, reduction or imposition or the client's inability to create any position through ACS's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that ACS may at any time, at its sole discretion and without prior notice prohibit or restrict the client's ability to create position in securities through ACS or it may liquidate the position or subject any position by the client to a review before its creation and may refuse to create position due to the reason of lack of margin/ collateral, market perception and any other such reasons which ACS may deem appropriate in the circumstances. The client agrees that the financial charges and losses, if any on account of such refusal, liquidation or due to delay caused by such review, shall be borne exclusively by the client alone.
10. In addition to powers granted by way of Power of attorney executed at the time of account opening, the client hereby authorize ACS to transfer or pledge the stock held in the demat account with ACS. ACS has a right to lien and / or pledge the Securities / collaterals and its corporate benefits, if any, lying in demat account of client, or the securities bought by the client under the Margin Trading Facility and shall continue to hold / pledge till the amount due in respect of the said transaction including the dues to ACS is paid in full by the Client.
11. In addition to what the client has agreed to the terms and conditions governing the trading and broking services, ACS may terminate a client with immediate effect, but not limited to the following reasons:
 - a. the death, lunacy or other disability of the Client
 - b. if any instrument for payment of Margin Money / Monies is / are dishonored;
 - c. if the Client violates/breach any provision of MTF facility or provides any incorrect or misleading information;
 - d. If the client is debarred by SEBI or any other regulatory authority.
 - e. As a part of surveillance measure, if a client appears to be indulging in manipulative practices.
 - f. Under the circumstances when there is a reasonable ground to believe that the client is unable to clear its dues or has admitted its inability to pay its debt.
 - g. If the Client is convicted under any criminal law in force;
 - h. Default under any other arrangement or facility with any Stock Broker is made by the Client.
 - i. If any Asset or any collateral is seized or made subject to any distress, execution, attachment, injunction or other process order or proceeding or is detained or taken into custody for any reason;
 - j. there exists any other circumstance, which in the sole opinion of ACS, is prejudicial to the interests of ACS
 - k. Order passed by any regulatory, courts, statutory bodies etc.
12. The margin facility shall carry interest at 14.99% per annum on debit arising out of the exposure availed by the client (i.e. The amount financed by ACS), compounded monthly and any changes as mutually agreed from time to time.
13. Any disputes arising between the client and ACS in connection with the margin trading facility shall have the same treatment as normal trades and will be covered under the investor grievance redressal mechanism, arbitration mechanism of the stock exchange.

I, , want to start trade in MTF, I hereby declare that I have read and understood the Rights and Obligations , Terms and Condition

Client Name:

Date:

Place:

Signature:



SELF DECLARATION FOR COMMODITY DERIVATIVES

As per SEBI Circular No SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 dated "January 04, 2019". I/We declare that I belongs to Category Others Categorise the participants in the following six categories:

1. Farmers/FPOs: It includes participants such as farmers, farmers' cooperatives, Farmers Producers Organisations (FPOs) and such entities of like nature.
2. Value chain participants (VCPs): It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs.
3. Proprietary traders: It includes the members of stock exchanges trading in their proprietary account.
4. Domestic financial institutional investors: It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives.
5. Foreign participants: It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets.
6. Others: All other participants which cannot be classified in the above categories

Sl No.	Commodity	Category	
1	ALUMINIUM	Others	<input checked="" type="checkbox"/>
2	BRASS	Others	<input checked="" type="checkbox"/>
3	CARDAMOMO	Others	<input checked="" type="checkbox"/>
4	CASTORSEED	Others	<input checked="" type="checkbox"/>
5	COPPER	Others	<input checked="" type="checkbox"/>
6	COTTON	Others	<input checked="" type="checkbox"/>
7	CPO	Others	<input checked="" type="checkbox"/>
8	CRUDEOIL	Others	<input checked="" type="checkbox"/>
9	GOLD	Others	<input checked="" type="checkbox"/>
10	LEAD	Others	<input checked="" type="checkbox"/>
11	MENTHAOIL	Others	<input checked="" type="checkbox"/>
12	NATURALGAS	Others	<input checked="" type="checkbox"/>
13	NICKEL	Others	<input checked="" type="checkbox"/>
14	PEPPER	Others	<input checked="" type="checkbox"/>
15	RBDPMOLEIN	Others	<input checked="" type="checkbox"/>
16	SILVER	Others	<input checked="" type="checkbox"/>
17	ZINC	Others	<input checked="" type="checkbox"/>
18	KAPAS	Others	<input checked="" type="checkbox"/>
19	RUBBER	Others	<input checked="" type="checkbox"/>
20	MCXBULLDEX	Others	<input checked="" type="checkbox"/>
21	MCXMETLDEX	Others	<input checked="" type="checkbox"/>

Client Name:

Date:

Place:





FATCA-CRS DECLARATION & SUPPLEMENTARY KYC INFORMATION

Name:
 Pan No:
 Are you Politically Exposed: Yes No Are you related to Politically Exposed: Yes No
 Are you a tax resident (i.e., are you assessed for Tax) in any other country outside India? Yes No

If 'YES', please provide the following details for ALL countries (other than India) in which you are a Resident for tax purposes i.e., where you are a Citizen / Resident / Green Card Holder / Tax Resident in the respective countries

S/No.	Country of Tax Residency	Tax Identification Number or Equivalent	Identification Type [TIN or other, please specify]	If TIN is not available, please (tick p the reason A, B or C [as defined below]
1				Reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
2				Reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C

Reason A : The country where the Account Holder is liable to pay tax does not issue Tax Identification Numbers to its residents.

Reason B : The Account Holder is otherwise unable to obtain a TIN or equivalent number. (Please explain below why you are unable to obtain a TIN in the table below if you have selected this reason)

1.

2.

Reason C :- No TIN required. (Select this reason Only if the authorities of the respective country of tax residence do not require the TIN to be disclosed)

Declaration:

I hereby confirm that the information provided here in above is true correct and complete to the best of my knowledge and belief and that I shall be responsible to the reporting agency which relies on this information for compliance with FATCA and CRS. I also o fi that I have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same. I hereby authorize you, the Mutual Fund /AMC/ RTA/ broker/DP or any other intermediary to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, Brokers/DPS /any other intermediary, their employees / RTAs ('the Authorized Parties') to any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU- IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/ and / or to any other regulated intermediaries registered with any other authorities / regulator/s including RBI IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I 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 by domestic or overseas regulators/ tax authorities. I/We authorize the Mutual Fund/AMC/RTA to provide relevant information to upstream payers to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same

Client Name:
 Date:
 Place:

Signature:





ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT (FOR INDIVIDUALS)

Astha Credit & Securities (P) Ltd.

Depository Participant – NSDL

DP ID: IN303420 | SEBI Registration No: DP-NSDL : 287-2008

F-01, Usha Preet - 138/42,
Malviya Nagar, Bhopal (M.P.) – 462003

Email: contact@asthatrade.com

DP ID: IN303420

Client ID:

Holder Details

Sole / First Holder's Name		PAN:	UID:
Second Holder's Name			
First Holder's Name			

Type of Account

Status	Sub-Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Ordinary Resident <input type="checkbox"/> Promoter <input type="checkbox"/> Margin <input type="checkbox"/> Others(Please Specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI-Non Repatriable <input type="checkbox"/> NRI-Repatriable
<input type="checkbox"/> Foreign Investor	<input type="checkbox"/> Foreign National <input type="checkbox"/> Qualified Foreign Investor

Details of Guardian(In case the account holder is a minor)

Guardian's Name:

PAN:

Relationship with the Applicant:

Standing Instructions

I/We authorise you to receive credits automatically into my/our account.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement (as per SEBI Regulation)	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/ We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both
I / We wish to receive dividend/interest directly into 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]	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes <input type="checkbox"/> No

I / We would wish to avail the following facility:

Basic Service Demat Account Facility (BSDA): Yes No Opted Out

Nominee details: Yes I / We wish to nominate (Fill Annexure 1A) | We do not wish to nominate

Terms:

1. All communication shall be sent at the address of the Sole/First holder only.



2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Strike off whichever is not applicable.
4. For receiving Statement of Account in electronic form:
 1. Client must ensure the confidentiality of the password of the email account.
 2. Client must promptly inform the Participant if the email address has changed.
 3. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.

Specimen Signature

Mobile & Email Declaration

Email Address:

Mobile Number:

Declaration

1. I confirm that I have consented for opening of Demat account electronically through computer/tablet/mobile phone/any electronic device
2. I confirm that the information and instructions which are provided by me and captured electronically are read by me, such information/instructions are an intrinsic part of my request to open a depository account and I agree to be bound by them.
3. I acknowledge the receipt of copy of the document 'Rights and Obligations of the beneficial owner and the Depository Participant in electronic form.
4. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/ we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document "Rights and Obligations of the Beneficial Owner and Depository Participant".

Client Name: _____ :

Date: _____

Place: | _____





VOLUNTARY AUTHORIZATION LETTER

To,

Astha Credit &
Securities (P)
Ltd.F-01, Usha
Preet - 138/42,
Malviya Nagar,

Bhopal (M.P.) –

462003Dear Sir

1. Authorization to debit trading account for the demat account charges: We have opened/have a beneficiary account with your NSDL depository along with a trading account for investment and trading purposes. I/We, authorize you to debit the charges payable towards the operations of the above account. I/We are aware of the charges for operating the said account. Any such sum debited from my trading account shall be binding on me/us.

2. Option form for issue of DIS Booklet (Voluntary):

Option 1: I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my NSDL account though for executing delivery instructions for settling stock exchange trades Settlement related transactions) effected through such Clearing Member.

OR

Option 2: I/We do not require the Delivery Instruction Slip (DIS) for the time being, However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my request at any later date.

I/We hereby select Option 1 Option 2

3. Request for bill/transaction/holding statement through email.

I/We request you to send me/us bill, transaction and holding statement of my NSDL Demat account with

Email:

Mobile:

I/We fully agree and are aware of the following Terms and Conditions mentioned below

- a. That I/We will not receive the bill, transaction and holding statements in paper form.
- b. That I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.
- c. That I/We am/are aware that the bill, transaction and holding statements may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised.
- d. That I/We in case of bill, transaction and holding statements are sent by email, I/We will immediately inform Astha Credit & Securities Pvt Ltd about change in my email address, if any. In case, Astha Credit & Securities Pvt Ltd is not able to provide bill/transaction statement to its Clients by email or on website due to any reason (including bounced emails), Astha Credit & Securities Pvt Ltd will ensure that the transaction statement is provided to me/us in paper form as per the time schedule stipulated in the Bye- laws & Business Rules of NSDL.

Client Name:

Date:



Signature: