

MintCap

Brokers Pvt. Ltd.

Account Opening Form

Demat - Equity - FnO

BO ID	
UCC Code	
Date of Opening	

INSTRUCTIONS & CHECKLIST FOR FILLING ACCOUNT OPENING FORM & KYC

A. IMPORTANT POINTS:

1. A self-attested copy of the PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), a copy of passport/ PIO Card/ OC Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of CIN no. for the directors, their passport copy should be provided.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with a Depository participant or Mutual Fund, for a minor, a photocopy of the School Leaving Certificate/Mark sheet issued by the Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state-owned corporations, important political party officials, etc.

B . PROOF OF IDENTITY (POI):

List of documents admissible as Proof of Identity:

1. PAN card with photograph.
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C . PROOF OF ADDRESS (POA):

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

1. UID/Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy/Unique Identification Number (UID) (Aadhaar)
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old
3. Bank Account Statement/Passbook - Not more than 3 months old.

4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly / Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostille or consularized) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D . EXEMPTIONS/CLARIFICATIONS TO PAN:

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

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

E. LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:

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

F. 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.

G. BANK ACCOUNT PROOF:

1. Copy of cancelled cheque leaf/passbook/bank statement specifying name of the constituent, MICR Code or/ and IFSC Code of the bank should be submitted.

H. Demat Master or recent holding statement issued by DP bearing name of the client.

I. FOR INDIVIDUALS:

1. Stockbrokers have an option of doing 'in-person' verification through a web camera at the branch office of the stock-broker /sub-broker's office.

2. 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.

J. FOR NON-INDIVIDUALS:

Clients also have the option to do their own 'in-person' verification via video captured through mobile or computer or internet connected device with the ability of demonstrating that it was live and conducted for the purpose of verification.'

1. For non-individuals: Form needs to be initialized by all the authorized signatories.

2. 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.

3. 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.

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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

SR. NO.	NAME OF DOCUMENT	BRIEF SIGNIFICANCE OF THE DOCUMENTS	PAGE NO.
1.	Account Opening Form	<ul style="list-style-type: none"> • KYC Form – Document captures the basic information about the constituent and an instruction / check list. • Document captures the additional information about the constituent relevant to Trading /Demat account and an instruction / check list. 	2-17
2.	Tariff Sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on stock exchange(s) & DP Service charges / Fee Structure.	18-20
3.	Nomination Form	Collects details of any nomination made for the account	21-22
4.	MITC	Declaration of Most Important Terms and Conditions (MITC)	23
5.	Internet & Wireless Technology	Internet & wireless technology-based trading facility provided by stock-broker to client.	24-25
6.	Running Account Authorization	<ul style="list-style-type: none"> • Authorization Letter for Running Account 	26
7.	Issuance of DIS Booklet SMS & Email Alerts	<ul style="list-style-type: none"> • Option form for issue DIS (Delivery Instruction Slip) Booklet • SMS And Email Alerts to Investors by Stock Exchange 	27
	ECN	Letter for Authorization for Electronic Contract Notes (ECN)	28
8.	Declaration / Consent	FATCA Declaration from client	29
9.	Acknowledgement	Copy of Acknowledgement	30
10.	Good Till Triggered/Good Till Cancelled Orders	Policy on Handling of Good Till Triggered/Good Till Cancelled Orders of Clients	31-32

SEPARATE DOCUMENTS (Sent as a separate document)

11.	Rights & Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on Exchanges / Depository Participant (Including additional rights & obligations in case of internet/wireless technology based trading.	
12.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
13.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
14.	Policies & Procedures	Document describing significant policies and procedures of the stock broker (to be added by the stock broker).	

MEMBERSHIP DETAILS

Name of Trading-cum-Self Clearing Member	Mintcap Brokers Private Limited (referred as "Capmint")	
SEBI Registration Number	Stock-Broker (INZ000322732) effective 04.12.2024 CDSL Depository Participant (IN-DP-12102300) effective 14.05.2025	
Exchanges and Segments	NSE	Cash & F&O Member ID: 90430
	BSE	Cash & F&O Member ID: 6903
Clearing Member Details	ICCL	6903
	NCL	M70108
Registered Office Address	Plot No 1290, Second Floor, 17th Cross, 5th Main, Sector-7, HSR Layout Bangalore 560102 Phone: +91-7676241111	
Correspondence Address	Plot No 1290, Second Floor, 17th Cross, 5th Main, Sector-7, HSR Layout Bangalore 560102 Phone: +91-7676241111	
Compliance Officer	Ms. Shridevi Vungarala Email : compliance@capmint.com Phone: +91-9035330126	
CEO / Director Details	Mr. Avinash Shah Email : founders@capmint.com Phone: +91-9035330128	
Customer Service	Mrs. Shikha Gupta, Head - Customer Support Email : grievance@capmint.com Phone: +91-9035331595	
CIN	U66110KA2023PTC178706	
Website	www.capmint.com	

For any grievance, please email capmint on grievance@capmint.com or contact us on +91-7676241111

If you are not satisfied with the response, please contact the concerned exchange at:

NSE	ignse@nse.co.in or contact at 1800-266-0058
BSE	is@bseindia.com or contact at +91-22-2272-1234/33, Fax No. +91-22-2272-3677
CDSL	complaints@cdslindia.com or contact at 1800-22-5533

You can also lodge your grievances with SEBI at <https://scores.sebi.gov.in> OR at Smart ODR (<https://smartodr.in>). For any queries, feedback or assistance, please contact SEBI office or toll-free Helpline at 1800-22-7575/ 1800-266-7575

TRADING AND DEMAT ACCOUNT RELATED DETAILS

A. BANK / DIVIDEND BANK ACCOUNT DETAILS (DEFAULT)

Bank Name			
Bank Branch Address			
Bank Account No.		Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current
MICR Code		IFSC Code	

B. DEPOSITORY DETAILS (DEFAULT)

Depository Name	MINTCAP BROKERS PRIVATE LIMITED		
Depository Type	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL	DP ID	12102300
Beneficiary Owner Name			
Beneficiary ID (BO ID)			

C. OTHER DETAILS

Annual Income OR Net worth	<input type="checkbox"/> <1 Lac <input type="checkbox"/> 1-5Lac <input type="checkbox"/> 5-10Lac <input type="checkbox"/> 10-25Lac <input type="checkbox"/> > 25 Lac (Net worth should not be older than 1 year) Rs. _____ as on Date		
Occupation	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Others -----		
Please Tick	<input type="checkbox"/> Politically Exposed Person <input type="checkbox"/> Related to a Politically Exposed Person <input type="checkbox"/> NA		

Whether you wish to receive Physical contract note Electronic Contract Note(ECN)

If ECN Specify your Email ID: _____

Whether you wish to avail the facility of internet trading/wireless technology/mobile trading Yes No

Number of years of Investment/Trading Experience < 1 year 1-3 years 3-5 years > 5 years

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. ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSE

Address			
City / Town		District	Pin Code
State / U. T.		Country ISO Code	

F. DEALINGS THROUGH OTHER STOCK BROKERS

Whether dealing with any other Stock Broker (If applicable, kindly provide following details)

Name of Stock Broker			
Client Code		Exchange	

Details of disputes/dues pending from/to such stock broker	
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G. INTRODUCER DETAILS (Optional)	
Full Name of Introducer	Address & Mobile Number
Status of the Introducer	
Type of the Introducer	<input type="checkbox"/> Remisie <input type="checkbox"/> Existing client <input type="checkbox"/> Authorized Person <input type="checkbox"/> Others
Signature of Introducer	

H. TRADING PREFERENCE	
*Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.	
EXCHANGES	NSE, BSE
All Segments	Cash/Mutual Fund F&O

If you do not wish to trade in any of segments / Mutual Fund, please write to us at support@capmint.com

DECLARATION

1. 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.
4. I/We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me/ us in this form. I/We further agree that any false / misleading information given by me/ us or suppression of any material information will render my/ our account liable for termination and suitable action.

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER	
Place			
Date			

ADDITIONAL DETAILS FOR OPENING A DEMAT ACCOUNT — FOR INDIVIDUALS

MINTCAP BROKERS PVT. LTD.

Plot No 1290, Second Floor, 17th Cross, 5th Main, Sector-7, HSR Layout, Bangalore 560102

Application No.		Client ID	
DP ID	12102300	DP Internal Reference No.	
Date			

(To be filled by the applicant in BLOCK LETTERS in English)

We request you to open a demat account in my/ our name as per following details

HOLDER'S DETAILS

Exchange Name & ID	NSE - 90430 , BSE - 6903	UCC	
Sole / First Holder Name		PAN	
		UID	
Second Holder Name		PAN	
		UID	
Third Holder Name		PAN	
		UID	

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

TYPE OF ACCOUNT (Please tick whichever is applicable)

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

DETAILS OF GUARDIAN (in case the account holder is minor)

Guardian Name		PAN	
Relationship with the Guardian			

ADDITIONAL DETAILS

Whether you wish to receive standard documents in electronic form	<input type="checkbox"/> Yes <input type="checkbox"/> No
Whether you wish to receive the confirmation, account statements and any other correspondence electronically or physically	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
Please specify your choice of receiving a copy of KYC form	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
I/ We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end. (If not marked, the default option would be 'Yes')	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/ We would like to receive Statement of Account / Transaction-cum-Holding Statement / Daily Margin Statement and All Other Statement at my registered 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 instruct the DP to receive each and every credit in my/ our account (If not marked, the default option would be 'Yes')	<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 in Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both
I/ We wish to receive dividend / interest directly in to my/or 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

SMS Alert Facility	On registered Mobile Number (Mandatory if you are giving Power Of Attorney (POA). Ensure that the mobile number is provided in the KYC application form	Mobile Number
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
I/ We hereby opt for	<input type="checkbox"/> Regular Demat Account <input type="checkbox"/> BSDA Account	
I/ We would like to receive a client copy containing the following.	<ul style="list-style-type: none"> • Rights and Obligations of Stock Rights and Obligations of Stock Brokers, Sub-Broker /AP /APs and Clients as prescribed by SEBI and Exchanges • Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories • Risk disclosure Document for Capital, Currency, Stock and Derivatives Segment • Guidance Note-Do's and Don'ts for Trading on the Exchange(s) for Investors • Policies and Procedures applicable to clients 	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
To register for easi, please visit our website www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions, and value of the portfolio online.		
MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)		
<input type="checkbox"/> First Holder <input type="checkbox"/> Jointly <input type="checkbox"/> Anyone of the Holder		

CONSENT FOR COMMUNICATION

Consent for Communication to be received by first account holder/ all account holder: (Tick the applicable)

<input type="checkbox"/> First Holder	<input type="checkbox"/> All Holders	Email ID:
	<input type="checkbox"/> Second Holder	
	<input type="checkbox"/> Third Holder	

DIFFERENTLY ABLED STATUS

Are you differently abled?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Type of Impairment	
Percentage of Impairment		UDID Number	

NAME OF ACCOUNT HOLDER		SIGNATURE OF ACCOUNT HOLDER	
UCC code			
DP BO ID			
Place			
Date			

FOR OFFICE USE ONLY

UCC / Client Code			
Documents Verified By Originals / Client Interviewed By / In-Person Verification done by			
Organization Name			
Employee Name		Employee Code	
Designation		Branch Name	
Date		Signature	Stamp & Signature of Authorized Signatory
Place			

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.

Company's Seal



TARIFF SHEET

Brokerage, Charges, Fees applicable for your Investment, Trading and Demat account with Capmint

Charges related to Exchange Transactions & Other Applicable Charges and Fees

Type of Trade / Transaction	Amount / Fees / Brokerage / Charges (GST extra)
Delivery (Equity / ETF)	0
Intraday (Equity / ETF)	Rs. 20 or 0.03% per executed order (whichever is lower)
Futures :- Equity / Currency	Rs. 20 or 0.03% per executed order (whichever is lower)
Options :- Equity / Currency	Flat Rs. 20 per executed order
Square Off by System / Capmint	Rs. 50 per position + GST
Buyback / OFS / Takeover	Rs. 20 + GST
Mutual Fund Transactions Charges	Rs. 0
DP Charges (Market Sell)	Rs. 13.5(Male)/ Rs. 13.25(Female) per ISIN per day + GST

Note: Above charges do not include taxes. GST at applicable rates shall be applied separately.

Clients who opt to receive physical contract notes will be charged ₹50 per instance plus courier charges. A brokerage of ₹20 + GST will be charged for contracts where the client provides/takes physical delivery to/from exchanges. All physical settled contracts (Futures & Options) will also carry an applicable Exchange charge. Brokerage of ₹20 + per executed order is also charged on expired, exercised, and assigned Options contracts. Brokerage will not exceed the rates specified by SEBI and the Exchanges. All Statutory and Regulatory charges, taxes will be levied at actuals. In addition to the brokerage, the following charges will also be levied. These charges do not include taxes.

Additional Charges Applicable on Exchange Transactions

Other Charges	Description of Charges
Exchange Turnover Charges	Charges levied by exchanges on each transaction
Securities Transaction Charges (STT)	Direct Tax levied under the Securities Transaction Tax (STT) Act
Stamp Duty	Charges levied by State Governments where investor resides
SEBI Turnover Fees	Charges levied by SEBI on each transaction
GST	Goods and Service Tax (GST) applicable

I agree with the terms and conditions mentioned above. I agree to pay the charges as per ones mentioned above with respect to my account (investment / trading / demat / user) on Capmint. I understand that the tariff is subject to change and I shall keep myself updated with the same from the pricing section on Capmint website.

NAME OF THE ACCOUNT HOLDER

SIGNATURE OF THE ACCOUNT HOLDER

Place

Date

ADDITIONAL TARIFF SHEET & STRUCTURE

Type of Trade / Transaction	Amount / Fees / Brokerage / Charges (GST extra)
Investment Account Related Charges & Demat Transaction Charges	
KYC & Account Opening Fees & Annual Platform Fees (AMC)	Zero
Market Trades - Buy (Credit)	0
Dematerialisation /Rematerialisation (Including MF)	Rs. 150 per certificate + GST + courier + CDSL charges
Bounced Contract Note (Physical Contract Note dispatch)	Rs. 50 per ISIN + GST
Courier charges per Demat/Remat	Rs. 100 or actual (whichever higher)
Pledge (Creation / Closure / Invocation)	Rs. 14 per ISIN + GST
Margin / MTF / Cuspa (Pledge / Unpledge / Invocation)	Rs. 14 per ISIN + GST
Margin Repledge	Rs. 2 per ISIN (CDSL Charges) + GST
Off Market Transfer (Debit)	Rs. 25 per ISIN per Transaction + 18% GST
Beneficiary addition in demat account (For Off market transfer only)	Rs. 50 + GST
Intra Settlement Pay-in Charges (From Capmint's POOL A/c)	Rs. 13.5 + GST
Failed Demat Instruction Charges	Rs.50 per instruction
Delivery Instruction Slip	First (10 leaves): Free, Addl (10 leaves): Rs. 100 +courier charges
Physical CMR(Client Master Report)	Rs. 20 + courier charges
Payment Related Charges	
Top-Up via UPI & Netbanking / Withdrawal	Nil
Account Maintenance / Modification / DDPI	
Account Freeze	Nil (frozen/dormant as per regulations / guidelines)
Account De-Freeze / Reactivate	Rs. 100 + GST
Online Modification / Addition	Rs. 25 per request + GST
DDPI Activation	Rs. 100 + GST

Periodic Statements / Ad Hoc Statements / Non-Payment of Dues / Other Charges

By Email (Periodic)	Nil
Physical (Periodic / Ad Hoc Request)	Rs. 10 per page + GST + courier charges
By Email (Ad Hoc Request)	0
KRA Upload / Download	Rs. 50 + GST
Rate of Interest applicable on delayed payment charges related to Trading	Up to 0.05% per day on outstanding amount
Rate of interest applicable on non Payment of dues or obligations related to Depository	Up to 13% per annum on outstanding amount

For all purposes, the bill date shall be construed as the demand date, the bills will be considered as the bill cum notice for payment and Capmint reserves the right to freeze trading / depository / user account for debit transactions in case of non-payment of charges after two days from the bill date.

I agree to pay the charges as per ones mentioned above with respect to my account (investment / trading / demat / user) on Capmint along with the transaction charges as included in this Account Opening Form. I understand that the tariff is subject to change and I shall keep myself updated with the same from the pricing section on Capmint website. All charges are non-refundable. Taxes, Statutory and Regulatory charges are as applicable. Express Courier Charges as applicable.

Note:

- The above charges do not include taxes. GST at applicable rates shall be applied separately.
- CDSL charges, if any, are included in the amounts listed above.
- The above tariff is subject to change at sole discretion of Mintcap Brokers Private Limited. Changes if any will be intimated 30 days in advance.
- The charges quoted above are for the services listed. Apart from these, Capmint may also offer additional paid services. Capmint will be informing the customers with regards to such services and charges associated with the same will be billed separately by intimating on an upfront basis.

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER
Place		
Date		

NOMINATION FOR TRADING & DEMAT ACCOUNT

I (customer name) _____ the sole holder/Guardian (in case of minor) hereby declare that I nominate the following person who is entitled to receive security balances lying in my account, Particulars whereof are given below, in the event of my death.

NOMINEE DETAILS	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
Name of the nominee(s) (Mr./Ms)			
Percentage of allocation* (If not equally shared, please specify percentage)	%	%	%
Relationship with the Applicant (if any)			
Address of the Nominee*			
Mobile number of the Nominee			
Email ID of the Nominee			
Proof of identity submitted			
FILL BELOW DETAILS ONLY IF THE NOMINEE IS A MINOR			
Date of Birth (in case of minor nominee)*			
Name of the Guardian of Nominee*			
Address of the Guardian of Nominee*			
Relationship of the Guardian with the Nominee			
Mobile number of the Guardian			
Email ID of the Guardian			
Proof of identity submitted			
	First/Sole Holder or Guardian (in case of Minor)	Second Holder	ThirdHolder
Name:			
Signature:			

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

Note: 1. This Nomination shall supersede any prior nomination made by the account holder(s), if any.

2. The Trading Member/Depository Participant shall provide acknowledgement of the nomination form to the account holder(s).

DECLARATION FORM FOR OPTING OUT OF NOMINATION

UCC Code		Date	
DP ID		Client ID	
Sole / First Holder Name			
Second Holder Name			
Third Holder Name			

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

SIGNATURE OF THE ACCOUNT HOLDER(S)

Signature of the 1st Holder	Signature of the 2nd Holder	Signature of the 3rd Holder

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

MOST IMPORTANT TERMS AND CONDITIONS (MITC)

(For non-custodial settled trading accounts)

To,
Mintcap Brokers Private Limited
Plot No 1290, Second Floor, 17th Cross, 5th Main
Sector-7, HSR Layout, Bangalore 560102

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transferred into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e., seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g., income, net worth, etc.) with the stock broker as and when requested for. Kindly also keep your email ID and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER
Place		
Date		

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

To,
Mintcap Brokers Private Limited
Plot No 1290, Second Floor, 17th Cross, 5th Main,
Sector-7, HSR Layout, Bangalore 560102

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 brokers are 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 specified 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 the 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 whatsoever 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 an order routed gateway and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of stock brokers.
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 the 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 unseen 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 Stockbroker 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.

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER
Place		
Date		

RUNNING ACCOUNT AUTHORIZATION

To,
Mintcap Brokers Private Limited
Plot No 1290, Second Floor, 17th Cross, 5th Main,
Sector-7, HSR Layout, Bangalore 560102

To optimize the operational efficiency of my/our trading account, I/we request Capmint to maintain a running balance in my/our account, as opposed to effecting fund/securities settlements on a settlement-to-settlement basis.

I/We authorise you as under:

1. I/We hereby give my/our consent to maintain a running balance in my/our account and retain credit balance in any of my/our account and to set off the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/We instruct/revoke my otherwise.

2. I/We request you to settle my/our fund and securities account (choose one option)

Once in a Calendar Month

Once in a Calendar Quarter

Further I/We understand that settlement is for all funds except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.

3. The settlement of the running account shall be done by you in accordance with the circulars/guidelines issued by SEBI/Exchanges from time to time and as per the Risk Management Policy of Capmint available on its website.

4. I/We hereby confirm that I/We shall promptly notify you of any disputes arising from the statement of accounts or settlement so made in writing, preferably within 7 working days from the date of receipt of funds/securities or the statement of account, or any related statement, as applicable.

5. Further, I/We authorise you to deposit/repledge any or all the securities kept as collateral by me/us with the Exchanges and/or their Clearing Corporation/House/Member towards margin, as permitted from time to time.

6. I/We can request for the release of pay-out any time after adjusting all dues towards Capmint.

7. I/We hereby confirm that I/We have the right to revoke this aforementioned authority at any time. This authorization for the running account shall remain in effect until such time as it is duly revoked by me/us.

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER
Place		
Date		

OPTION FORM FOR ISSUE DIS (DELIVERY INSTRUCTION SLIP) BOOKLET

To,
Mintcap Brokers Private Limited
Plot No 1290, Second Floor, 17th Cross, 5th Main
Sector-7, HSR Layout, Bangalore 560102

Dear Sir,
I/We hereby state that: (Select one of the options given below)

Option 1: I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my CDSL 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.

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER	
Place			
Date			

SMS AND EMAIL ALERTS TO INVESTORS BY STOCK EXCHANGES

To,
Mintcap Brokers Private Limited
Plot No 1290, Second Floor, 17th Cross, 5th Main
Sector-7, HSR Layout, Bangalore 560102

I/we request you to enroll me for SMS and Email facility, offered by the Exchanges, pursuant to the Circular (CIR/MRD/DSD/15/2011, dated 02.09.2011).

I hereby declare that following are my mobile number and email address. Further, I authorize Capmint for giving me any information / alerts / SMS via my mobile and/or email address.

Mobile		Email ID	
I further declare that the above-mentioned information is provided by me and is true and correct.			
NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER	
Place			
Date			

LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES AND OTHER ELECTRONIC DOCUMENTS

To,
Mintcap Brokers Private Limited
Plot No 1290, Second Floor, 17th Cross, 5th Main
Sector-7, HSR Layout, Bangalore 560102

I/we have been/shall be dealing through you as my broker on the Capital Market and/or Futures & Options/Currency Derivatives and/or Interest Rate Futures Segments. As my broker, i.e., and authorize you to carry out trading/dealings on my behalf as per instructions given below.

I/we understand that I/we have the option to receive the contract notes in physical or electronic form. I/we hereby opt to receive contract notes and bills, ledgers, transaction statements, demat statement of accounts/ holding statement (s)/bills/other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the rules in electronic form. I understand that for the above, you are required to take from the client "an appropriate email account" for you to send the electronic contract and other documents. Please take the following email account /email id on your record for sending the contract notes and other documents stated above in electronic form to me/us:

Email ID	
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I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery at my email.

I/we agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any 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 me and such dispatch shall be deemed to be mean receipt by me and shall not be disputed by me on account receipt/delayed receipt for any reason whatsoever.

I/we understand that I/we am required to intimate any change in the email id/email account mentioned herein to be communicated by me through a physical letter to you, provided however that if we are internet/client event the request for change in email id/email account can be made by me through a secured access user id and password. Please treat this authorization as written ratification of my verbal directions/ and carried out by you earlier. I/we shall be liable for all losses, damages and actions which may arise as a of your adhering to and carrying out my directions given above.

I/we understand that you shall send a physical copy of the contract note within 24 hours, if requested.

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER
Place		
Date		

SELF-CERTIFICATION FOR INDIVIDUAL FATCA/CRS DECLARATION FORM

SEBI has issued a circular dated August 26, 2015 advising all registered intermediaries to implement FATCA and CRS as per the circular. Please seek appropriate advice from your tax professional on your tax residency and related FATCA & CRS guidance.

FATCA RELATED INFORMATION

Are you a US person?

YES NO

Is your Tax Residency other than India?

YES NO

If any of the above is yes, please indicate all the countries in which you are a resident for tax purpose and the associated Tax ID Number below:

Country of Tax Residency*

Tax Identification Number**

Identification Type

*To include all countries other than India, where the investor is Citizen/Resident/Green Card Holder/ Tax Resident in those respective countries.

**Incase Tax Identification Number is not available, kindly provide its functional equivalent.

NAME OF THE ACCOUNT HOLDER

SIGNATURE OF THE ACCOUNT HOLDER

Place

Date

ACKNOWLEDGEMENT

To,
Mintcap Brokers Private Limited
Plot No 1290, Second Floor, 17th Cross, 5th Main,
Sector-7, HSR Layout, Bangalore 560102

Subject: Receipt of Account Opening Form, Voluntary Documents, Rights & Obligation of Trading & Demat, RDD, Policies & Procedures, Guidance Notes, Tariff Sheet.

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

1. AOF - Account Opening Form (Trading & Demat)
2. Rights & Obligations of Stock Broker
3. Rights & Obligations of Beneficiary Owner & Depository Participant as prescribed by SEBI & Stock Exchanges
4. Risk Disclosure Document (RDD)
5. Guidance Note - Do's & Don'ts for trading on the Exchange(s) for Investors
6. Policies & Procedures
7. Voluntary Terms & Conditions
8. Tariff Sheet
9. Investor Charter
10. Running Account Authorization, SMS & Email Alert Declaration & Client Defaulter Declaration

I/We hereby acknowledge that the above documents/ process were made available/ explained to me/us.

I hereby acknowledge that I will abide by all the rules and regulatory changes that may come into force from time to time.

I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application and I/We undertake that it would be my/our responsibility to check, scrutinize the said forms and documents within 15 days of account opening and intimate discrepancies if any therein to Capmint immediately.

Further, you can access the document containing Rights & Obligations, Risk Disclosure Documents, Do's & Don'ts, Member-Constituent Relationship and Mandatory & Voluntary Documents, Policies and Procedures of the stock broker from our website <https://capmint.com/download-centre/> and Disclosure & Disclaimer, Terms & Conditions, Investor Charter from our website <https://capmint.com/>.

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of Capmint. I hereby acknowledge that I will abide by all the rules and regulatory changes that may come into force from time to time.

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER
Place		
Date		

Policy on Handling of Good Till Triggered /Good Till Cancelled Orders of Clients

(Both Good Till Triggered and Good Till Cancelled shall hereinafter be referred to as "GTT")

Policy Ver. No. : 1.0

Introduction:

GTT allows investors to place active orders that remain until a specific price-based trigger condition is met. With this feature, the investors specify the trigger price and the limit or market price to place an order. Once the trigger price is hit, the order is activated and sent to the market for execution at the specified limit or the prevailing market price. GTT orders can be beneficial for those investors who already have stocks in their demat account, who want to sell all or some of them at a specific price without constantly monitoring the prices.

How to place a GTT order?

Clients can log into the trading portal or Mobile application using the login credentials and then select an instrument in which he wants to trade and create a GTT order by placing the order quantity and trigger price. Once the trigger price is hit, an order will be placed on the exchange as per the limit / market price and preset conditions set by the Client. It has a one-time validity and can not be changed or adjusted once the order is triggered. In most cases, the user can modify or delete GTT orders in the Indian share market. However, it depends on the specific features and functionalities offered by your broker or trading platform.

Important parameters of GTT Orders:

- GTT orders will be triggered as per the price available on any of the Exchange i.e. NSE or BSE.
- The execution price of the GTT Order can be at market or limit as per the order set. For market order in derivatives, the order is placed as a limit order with market protection to avoid execution at extreme prices however there is no guarantee of execution as the LTP could have changed when the order is placed post trigger.
- Standard brokerage rates will apply for executed GTT orders and there are no additional charges for placing a GTT order.
- No funds / margin is blocked when placing a GTT order. Funds / margin is required when the trigger price is hit; else the order may fail.
- If the order is placed outside of the contract's / underlying / stock's "execution range" it may be canceled by the exchange even though the GTT order is triggered. Any cost incurred due to such cancellation of an order placed outside the execution range is liable to be paid by the client.
- In case of an option contract that isn't allowed for trading by Mintcap Brokers Pvt. Ltd. (hereinafter be referred to as "MINTCAP") and on which the GTT is triggered, the order may be rejected.
- One of the inherent limitations of placing GTT orders in stocks where any corporate action is due, there is a very high probability of orders getting executed at trigger price and the stock in which the order is executed is trading at a rate after adjustment of corporate action which leads to loss to investors. Clients shall review their GTT orders pro actively whenever there may be an impact of corporate action on their order/s. It would be the onus of the client to take appropriate action to modify / cancel orders accordingly. In case of corporate action no handling/changes in the GTT order will be done by MINTCAP.
- MINTCAP shall intimate about the upcoming corporate action including dividend, bonus, split etc. to the clients having unexecuted GTT orders through email/ sms / Alerts in the Mobile Trading Application or any other suitable mechanism at least one day prior to the execution date of the corporate action. It would be the onus of the client to take appropriate action to modify / cancel

orders accordingly and MINTCAP will not be held liable for any loss that may occur on account of difference between the trigger price and execution price of the stock.

Applicability of GTT order on securities:

- The GTT orders only apply for scrips/contracts listed on NSE Cash, BSE Cash, NSE F&O and BSE F&O segments.

Validity of GTT Order:

- The validity of the GTT order is 365 days from the date of execution. Clients can place a maximum of 50 GTT orders.

MINTCAP, at all times, bears no liability towards the client for any reason whatsoever with respect to using the GTT Feature. This Policy may be removed/modified/replaced at any point of time by MINTCAP without providing any prior notification to clients. It is the client's responsibility to review the same whose updated version will be available on the website www.capmint.com.

NAME OF THE ACCOUNT HOLDER		SIGNATURE OF THE ACCOUNT HOLDER
Place		
Date		