

DRCHOKSEY FINSERV PRIVATE LIMITED
Account Opening Form

<input type="checkbox"/>	Individual	<input type="checkbox"/>	Private Ltd	<input type="checkbox"/>	Public Ltd	<input type="checkbox"/>	NRE	<input type="checkbox"/>	Foreign Portfolio Investors (FPI)
<input type="checkbox"/>	Trust	<input type="checkbox"/>	Partnership	<input type="checkbox"/>	HUF	<input type="checkbox"/>	NRO	<input type="checkbox"/>	Other (Specify)_____

Client Name :- _____

A/C opens Date :- _____

Name of Investment Advisory	DRChoksey FinServ Private Limited
Type of Registration	Non-Individual
Registered & Corporate Office details	5 th Floor Abhishek Building Behind Monginis Cake Factory Off New Link Road, Andheri West Mumbai-400053
SEBI Investment Advisory Registration. No.	INA000017903
Investment Adviser Administration and Supervisory Body (IAASB)	1982
Investor Compliance E-mail Id	grievance@devenchoksey.com
Principal Officer E-mail Id	vishal.shinde@devenchoksey.com
Corresponding SEBI regional/local office address	Office of Investor Assistance & Education, Securities & Exchange Board of India Plot No. C 4-A, G Block, Near Bank of India, Bandra Kurla Complex, Bandra (East), Mumbai, Maharashtra 400051
Website Name	https://devenchoksey.com/

DRChoksey FinServ Private Limited

 Registered office: C-5/6 5th Floor, Abhishek Building, Behind Monginis Cake Factory, Off New Link Road, Andheri West, Mumbai – 400058.

Board line Number: +91-22-6696 5555 | CIN: U67100MH2020PTC352816 | PAN: AAICD2333G | GST: 27AAICD2333G1ZV

 Email ID: customercare@devenchoksey.com | www.devenchoksey.com

Know Your Client (KYC)

1. General information about the client

• First Holder	_____	_____	_____
	FIRST NAME	MIDDLE NAME	LAST NAME
• PAN No	_____		
• Unique ID No (Aadhar)	_____		
• Nationality	_____		
			Sign across photograph

• Second Holder	_____	_____	_____
	FIRST NAME	MIDDLE NAME	LAST NAME
• PAN No	_____		
• Unique ID No (Aadhar)	_____		
• Nationality	_____		
			Sign across photograph

• Third Holder	_____	_____	_____
	FIRST NAME	MIDDLE NAME	LAST NAME
• PAN No	_____		
• Unique ID No (Aadhar)	_____		
• Nationality	_____		
			Sign across photograph

- Registered Mobile No _____
- Email Id _____

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- Primary Address _____

- Mailing Address _____

- Occupation _____

- Introducer Name _____
- Introducer Address _____

- Mobile No _____
- Email Id _____

2. Bank Account Details

Bank Name :- _____

Branch Name :- _____

Saving Bank Account Number :- _____

IFSC CODE :- _____

Declaration

I/ We hereby declare that the details furnished 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 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.

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RISK PROFILING QUESTIONNAIRE

Drawing up an investment plan specific to your needs requires us to understand your financial profile, risk tolerance and existing investment exposure. This Risk Profiling Questionnaire is designed to arrive at your risk appetite and corresponding asset allocation. It may not match your actual attitude toward investment risk, but it indicates the profile you fit into.

We request you to read this document in detail and carefully fill in the same.

Please Tick the appropriate option

1	Which age range do you fall into?	
a	Between 21 and 45	
b	Between 45 and 55	
c	Between 55 and 65	
d	Between 65 and 75	
e	Above 75 or under 21	
2	You generally look at investments with a time frame of:	
a	Less than 1 year	
b	Between 1 years to 2 years	
c	Between 2 years to 3 years	
d	Between 3 years to 5 years	
e	Beyond 5 years	
3	Your existing investments include:	
a	Fixed Deposits, Bonds, Mutual Funds, Equity, FNO, Alternative Investments etc.	
b	Fixed Deposits, Bonds, Mutual Funds & Direct Equity	
c	Fixed Deposits and Bonds	
d	Fixed Deposits	
e	None, Only held cash	
4	Your dependence on regular income from investments is:	
a	None – I don't plan on using income from my investments to meet my expenses in foreseeable future.	
b	Rare – I rarely use income from my investments to meet my expenses	
c	Low – Only small part of expenses are met by regular income from my investments	
d	High – I am highly depended on income from investments to manage my expenses	

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e	Complete –Investments are the only source of income to manage my expenses.	
5	Generally, investments with higher potential returns also carry higher risk. How much risk are you prepared to take with the investment you are considering now?	
a	I understand market risk and am still willing to trade in equity and derivatives segment	
b	I actively seek high capital growth and am willing to potential exposure to some capital loss in pursuit of significant investment gains	
c	I am comfortable taking moderate risks and investing/ trading to achieve capital growth	
d	I am willing to take some risks in return for some capital growth potential	
e	I am uncomfortable with taking risks with my money and capital	
6	Approximately what percentage of your assets (excluding own use property) is currently held in investment products where the value can fluctuate?	
a	Over 50%	
b	Between >25% and 50%	
c	Between >10% and 25%	
d	Between >0% and 10%	
e	0	
7	Based on the range of possible outcomes shown, choose the portfolio which you would be most comfortable investing in:	
a	Profit 50% and Loss -25%	
b	Profit 25% and Loss -15%	
c	Profit 15% and Loss -10%	
d	Profit 10% and Loss -5%	
e	Profit 8% and Loss 4%	
8	Which answer best describes your level of Stock Market investment experience?	
a	Very experienced - have been investing/ trading in Equity and Derivatives market for more than years	
b	Fairly experienced - have been investing/trading in Equity / Derivatives market for last 4-5 years	
c	Have been trading in Equity market and have already started my Derivatives trading	
d	Have been trading in Equity market and am starting my Derivatives trading with you	
e	I am starting my stock market investments with you	

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Fees Schedule

The fees payable by the Client shall be as follows.

Fees Category	Nature of Fees	Fees %	Please tick <input checked="" type="checkbox"/>
Category-1	Fixed Fees based on AUA		
Category-2	Fixed Fees based on Amount		

Please Note that the Fee would be charged on quarterly basis to the client on the completion of the quarter on proportionate basis in case of newly registered / discontinuance of service.

Statutory taxes and charges will be levied at actual rates.

Services under Investment Advisory

Equity Advisory	
Portfolio Advisory	

First / Sole Holder
/ Authorized Signatory

Second Holder
/ Authorized Signatory

Third Holder
/ Authorized Signatory

Date :- _____

Place :- _____

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Terms & Conditions

DRChoksey FinServ Private Limited (referred to as “DCFPL”), is a company registered in India whose registered office is as 5th Floor Abhishek Building Behind Monginis Cake Factory Off New Link Road, Andheri West Mumbai-400058.

Investment Advisory Services (“Product”) comprises of:

- A Risk Analyzer Questionnaire for assessing personal financial risk tolerance.
- A Client Profile for ascertaining Client’s personal details, incomes, expenses, all financial investments, liabilities etc.
- A Risk Profile Report identifying Client’s financial requirements and laying out asset allocation plan based on client’s risk profile and a recommended equity portion of the asset allocation.

We submit that no material disciplinary action has been taken on DRChoksey FinServ Private Limited/ affiliate/associate/group companies of DCFPL

This questionnaire is designed to help investors identify an investment approach that could generally suit them. The results revealed are for general consideration only and in no way constitute an investment advice or a recommendation from DRCHOKSEY FINSERV PRIVATE LIMITED. (DCFPL).

Client understands that any such transaction if done by Client which is not the part of recommended plan will be outside the scope of the advisory based Product. Client agrees to exercise his own discretion and diligence while dealing in transactions outside advisory services for which the Client himself is expected to transact as per his/her risk tolerance. KRCIMPL shall not be held responsible for any such dealings done by the Clients himself if the same deviate from Client’s known risk profile and/or from the recommended plan/ portfolio.

DRCHOKSEY FINSERV PRIVATE LIMITED (DCFPL) shall ensure that information provided by you in Client Profile Questionnaire, or any other information provided by you would be confidential and DCFPL shall not disclose the same to any person/authority except as required under any law/regulatory requirements.

Investors should be fully aware of the risks involved in the investment products and/or trading in the securities market and should comply with all the regulatory guidelines. As a general principle, investors should ensure that they have set aside appropriate liquid funds to cater for 'emergencies' before considering investing. Investment Advisor has explained me/us the objective of Risk Profiling Questionnaire and the scoring system based on the above Questionnaire to determine my/our product suitability i.e. Debts, Cash Equities, Futures & Options, other asset classes, etc.

Registration granted by SEBI and certification from NISM in no way guarantee performance of the intermediary or provide any assurance of returns to investors

I/We understand that this questionnaire is merely designed to guide me/us in identifying an investment approach based on my/our risk appetite and financial capability and details given by me/us. DCFPL will not be liable for any losses if any of the information given by me/us is false or incorrect. Any changes in my financial information will be informed to DCFPL immediately.

Objective of Investment_____

First / Sole Holder
/Authorized Signatory

Second Holder
/ Authorized Signatory

Third Holder
/ Authorized Signatory

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Most Important Terms and Conditions (MITC)

1. The Investment Adviser (IA) shall only accept payments towards its fees for Investment Advisory Services and is not permitted to accept funds or securities in its account on the client's behalf.
2. The IA does not guarantee returns, accuracy, or risk-free investments. All advice is subject to market risks, and there is no assurance of any returns or profits.
3. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. No scheme of this nature shall be offered to the client by the IA.
4. Investment advice, only related to securities shall fall under the purview of SEBI. In case of any services offered by IA related to products/services not under the purview of SEBI, IA shall make disclosure to the client and take appropriate declaration and undertaking from the client that such products/services and the services of IA in respect of such products/services do not come under regulatory purview of SEBI and that no recourse is available to the client with SEBI for grievances related to such products/services or services of IA in respect of such products/services.
5. This agreement is for the investment advisory services provided by the IA and IA cannot execute/carry out any trade (purchase/sell transaction) on behalf of the client without his/her/its specific and positive consent on every trade. Thus, the client is advised not to permit IA to execute any trade on his/her/its behalf without explicit consent.
6. The fee charged by IA to the client will be subject to the maximum of amount prescribed by SEBI/Investment Adviser Administration and Supervisory Body (IAASB) from time to time (applicable only for Individual and HUF Clients).

Note:

- (i) The current fee limit under Fixed Fee mode is Rs 1,51,000/- per annum per family of client. Under Assets under Advice (AUA) mode, maximum fee limit is 2.5 per cent of AUA per annum per family of client.
 - (ii) The IA may change the fee mode at any time with the client's consent; however, the maximum fee limit in such cases shall be higher of fee limit under the fixed fee mode or 2.5 per cent of AUA per annum per family of client.
 - (iii) The fee limits do not include statutory charges.
 - (iv) The fee limits apply only for investment advice related to securities under purview of SEBI.
 - (v) The fee limits do not apply to a non-individual client / accredited investor.
7. IA may charge fees in advance if agreed by the client. Such advance shall not exceed the period stipulated by SEBI; presently it is maximum two quarters. In case of pre- mature termination of the IA services by the client or the IA, the client shall be entitled to seek refund of proportionate fees only for unexpired period. However, IA is entitled to retain a maximum breakage fee of not greater than one-quarter fee.
 8. Fees to IA may be paid by the client through any of the specified modes like cheque, online bank transfer, UPI, etc. Cash payment is not allowed. Optionally the client can make payments through Centralized Fee Collection Mechanism (CeFCoM), managed by BSE Limited (i.e. currently recognized IAASB).
 9. The IA is expected to know the client's financial details for providing services. Hence, the client is required to share the financial information (e.g. income, existing investments, liabilities, etc.) with the IA.
 10. The IA is required to carry out the client's risk profiling and suitability analysis before providing

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services and thereafter on an ongoing basis. The services provided will be in line with the assessed risk profile. IA shall also communicate the assessed risk profile to the client.

11. As part of conflict of interest management, the client or the client's family members will not be provided any distribution services by IA or any of its group entity/ family members. IA shall, wherever available, advice direct plans (non-commission based) of products only.

The IA shall endeavor to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.

12. For any grievances,

Step 1: The client should first contact the IA using the details on its website or following contact details:

(IA to Provide details as per 'Grievance Redressal / Escalation Matrix')

Step 2 : If the resolution provided by IA is unsatisfactory, the client can lodge grievances through SEBI's SCORES platform at www.scores.sebi.gov.in

Step 3: If the client remains dissatisfied with the outcome of the SCORES complaint, the client may consider the Online Dispute Resolution (ODR) through the Smart ODR portal at <https://smartodr.in>

13. The SEBI registration, enlistment with IAASB, and NISM certification do not guarantee the performance of IA or assure returns to the client.
14. Clients are required to keep contact details, including email id and mobile number/s updated with the IA at all times.
15. The IA shall never ask for the client's login credentials and OTPs for the client's Trading Account, Demat Account and Bank Account. Never share such information with anyone including IA.

First / Sole Holder
/ Authorized Signatory

Second Holder
/ Authorized Signatory

Third Holder
/ Authorized Signatory

Checklist and Requirement

For Individuals

1. Recent Photographs (signed across)
2. PAN Card Certified True Copy (Mandatory)
3. Address proof
4. Aadhar card copy
5. Bank Proof
6. Demat Client Master
7. 1 Cheque of Rs.550 in Favour of “DRCHOKSEY FINSERV PRIVATE LIMITED”

Information Required for All Holder

1. Email ID
2. Mobile No
3. Place of Birth
4. Country of Birth
5. Gross Annual Income (INR)
6. Net worth in INR in Lacs
7. Father Name
8. Mother Name
9. Mother Maiden name
10. No of year experience in Share Market
11. No of Year Experience in Broking
12. Occupation details of Both Holders
 - a. Occupation- Self-Employee since
 - i. Salaried
 - ii. Self-employed
 - iii. Retired
 - iv. Housewife
 - v. Student
 - b. Nature of Business- Date of incorporation
 - i. Manufacturing
 - ii. Services Provider
 - iii. Stockbroker
 - iv. Trader
 - v. other

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