

Form No.

CLIENT REGISTRATION FORM



CRIMSON FINANCIAL SERVICES LTD.

Member : NSE, BSE, MCX-SX & USE
(Capital Market, F&O and Currency Derivatives Segment)



Client Name _____

Client Code _____

Date of Registration _____



CRIMSON FINANCIAL SERVICES LTD.

SEBI Registration Numbers :

NSE CM : INB 230886533, F&O : INF 230886533, CDS : INE 230886533 • Dated : 27-2-1996

BSE CM : INB 010886530, F&O : INF 010886530 • Dated 2-7-2010

MCX-SX CDS : INE 260886533 • Dated : 30-9-2008

USE CDS : INE 270886533 • Dated : 1-4-2010

Registered cum Corporate Office :

Crimson Square, Convenient Shopping Centre, BA Block,
Mangolpuri Industrial Area Phase-2, New Delhi-110083

Tel.: 011-49571500 • Fax : 011-41833515

Website : <https://www.crimson.net.in>

e-mail : crimson@crimsonfin.com, crim_co@hotmail.com

crim_complaints@hotmail.com

Compliance Officer

SAHIL GUPTA

Ph.: 011-49571506

Email : sahilgupta@crimsonfin.com

Director

S. P. GUPTA

Ph.: 011-49571505

Email : spg.cfsl@gmail.com

For any grievance/dispute please contact CRIMSON FINANCIAL SERVICES LTD. at the above address or email id- crim_complaints@hotmail.com and Phone No. +91-11-49571500. In case not satisfied with the response, please contact the concerned exchange(s) at (NSE) ignse@nse.co.in and Phone No. 1800220058, (BSE) is@bseindia.com and Phone No. +91-22-22728097, (MCX-SX) investorcomplaints@msx-sx.com and Phone No. +91-22-67319000, Ext. 8883 (USE) investorcomplaints@useindia.com and Phone No. +91-22-42444904, 42444932. You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.

ACCOUNT OPENING KIT

INDEX OF DOCUMENTS

GENERAL DOCUMENTS

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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent.	3-7
		B. Document captures the additional information about the constituent relevant to trading account.	8-11
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading).	12-16
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	17-20
4.	Guidance Note	Document detailing do's and don'ts for trading on exchanges, for the education of the investors.	21-22
5.	Policies and Procedures	Document describing significant policies and procedure of the stock broker.	23-26
6.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	27

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Declarations and Authorisations	Designated E-mail Id, Actual settlement of funds, Running Account Authorisation, Authority for Set-Off, Trading disruption due to technology related problems.	28-29
2.	Declaration by Partnership Firm, Joint Holders of Bank and Demat Accounts	Declarations for ease of operations	30

ACKNOWLEDGEMENT BY CLIENT

I/we, hereby confirm that I/we have received a copy of the complete set of KYC booklet including photocopies of all documents submitted by me/ us from Crimson Financial Services Ltd. I/ we also confirm that I/ we have got my/ our Unique Client Code

I/ we also acknowledge that the trading member has duly informed to me/us that it does client based trading and also does own Pro account trading

Date :.....

Place :.....



Client's Signature



INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
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), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
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 Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by 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. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
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. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
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 apostilled or consularised) 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 upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, 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. **In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:**

Types of entity	Documentary Requirments
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership Firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

SAMPLE COPY OF BOARD RESOLUTION FOR TRADING ACCOUNT

Extracts from the minutes of the meeting of the board of directors of.....Ltd., held on....., at..... a.m/p.m at the registered office of the company at.....
 “Resolved that an account of the company be opened with Crimson Financial Services Ltd., a member of the National Stock Exchange, Bombay Stock Exchange, MCX Stock Exchange and United Stock Exchange for buying / selling shares in Capital Market Segment or Equity Derivative Contracts in Futures & Options Segment or currency derivative contracts in Currency Derivatives segment in NSE / BSE/ MCX-SX or USE, for the company and that Mr....., Director of the company be and is hereby severally authorized to issue buy / sell instructions to Crimson Financial Services Ltd., on behalf of the company and deal with them in all matters relating to the said purchase / sale of shares or derivative contracts and sign and exeute all necessary application forms and documents for the purpose.”

Sd/- Chairman
 Certified True copy

KNOW YOUR CLIENT (KYC) APPLICATION FOR INDIVIDUALS

PHOTOGRAPH

*Please affix
the recent
passport size
photograph
and sign across it*

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. Name of the Applicant :
2. Father's/Spouse Name :
3. a. Gender : Male Female b. Marital Status : Single Married
- c. Date of Birth :
4. a. Nationality :
- b. Status Resident Individual Non Resident Foreign National
5. a. Permanent Account Number (PAN) :
- b. Unique Identification Number (UID) / Aadhaar, if any :
6. Specify the proof of identity submitted :

B. ADDRESS DETAILS

1. Correspondence Address :
- City/Town/Village : State :
- Country: Pin Code :
2. Contact Details : Tel.: (O).....Tel. (R).....
- Mobile Fax
- E-mail.....
3. Specify the proof of address submitted for correspondence address :
4. Permanent Address :
- (If different from above or overseas address, mandatory for Non-Resident Applicant)*
- City/Town/Village : State :
- Country: Pin Code :
5. Specify the proof of address submitted for Permanent address :

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.



Signature of the Applicant

Date : _____(dd/mm/yyyy)

FOR OFFICE USE ONLY

Originals Verified and Self-Attested Document copies received

Signature of the Authorized Signatory

Seal/Stamp of the Intermediary

Date :

KNOW YOUR CLIENT (KYC) APPLICATION FOR NON-INDIVIDUALS

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. Name of the Applicant :
2. Date of incorporation :

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Place of incorporation :
3. Date of commencement of business :

--	--	--	--	--	--

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--	--	--	--	--	--
4. a. Permanent Account Number (PAN) :

--	--	--	--	--	--	--	--	--	--	--	--

b. Registration No. (e.g. CIN) :
5. Status (Please tick any one) : Private Limited Co. Public Ltd. Co. Body Corporate Partnership Trust Charities
 NGO's FI FII HUF AOP Bank Govt. Body Non-Govt. Organization
 Defense Establishment BOI Society LLP Others _____

B. ADDRESS DETAILS

1. Correspondence Address :
-
- City/Town/Village : State :
- Country: Pin Code :

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2. Contact Details : Tel.: (O).....Tel. (R).....
- Mobile Fax
- E-mail.....
3. Specify the proof of address submitted :
for correspondence address
4. Registered Office Address :
(If different from above or overseas address, mandatory for Non-Resident Applicant)
.....
- City/Town/Village : State :
- Country: Pin Code :

--	--	--	--	--	--
5. Specify the proof of address :
submitted for Registered office address

C. OTHER DETAILS

1. Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and whole time directors :

PHOTOGRAPH

Sign across the
Photograph

PHOTOGRAPH

Sign across the
Photograph

Name.....	Name.....
PAN.....	PAN.....
Residential Address.....	Residential Address.....
.....
.....
DIN :	DIN :
UID :	UID :

(Attach separate sheet if space is insufficient)

4. Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors :
 : Politically Exposed Person (PEP) Related to Politically Exposed Person (PEP)

5. Any other information :

LIST OF MEMBERS OF THE HUF

This is to certify that following are the family members under _____(HUF)

S.No.	Name	Gender (Male/Female)	Relationship with Karta	Date of Birth							
				D	D	M	M	Y	Y	Y	Y
1.				D	D	M	M	Y	Y	Y	Y
2.				D	D	M	M	Y	Y	Y	Y
3.				D	D	M	M	Y	Y	Y	Y
4.				D	D	M	M	Y	Y	Y	Y
5.				D	D	M	M	Y	Y	Y	Y
6.				D	D	M	M	Y	Y	Y	Y
7.				D	D	M	M	Y	Y	Y	Y

For _____(HUF)

Karta

DECLARATION

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



Signature of Authorised Signatory

Date : _____(dd/mm/yyyy)

Name of Authorised Signatory _____

FOR OFFICE USE ONLY

(Originals verified) True Copies of documents received (Self-Attested) Self Certified Document copies received

Signature of the Authorized Signatory

Date :

Seal/Stamp of the Intermediary

TRADING ACCOUNT RELATED DETAILS (For Individuals & Non-Individuals)**A. BANK ACCOUNT(S) DETAILS** (Through which transactions shall generally be routed)











Bank Name	Branch Address	Bank Account Number	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving		
			<input type="checkbox"/> Current		
			<input type="checkbox"/> Others - in case of NRI / NRE / NRO		

B. DEPOSITORY ACCOUNT(S) DETAILS (Through which transactions shall generally be routed)

Depository Participant Name	Name of Depository	DP ID	Beneficiary ID (BO ID)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL		
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL		
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL		

C. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Stock Exchange	Market Segment/s
<input type="checkbox"/> NSE 	<input type="checkbox"/> Cash  <input type="checkbox"/> F&O 
<input type="checkbox"/> BSE 	<input type="checkbox"/> Currency Derivative 
<input type="checkbox"/> MCX-SX 	<input type="checkbox"/> Cash  <input type="checkbox"/> F&O 
<input type="checkbox"/> USE 	<input type="checkbox"/> Currency Derivative 

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

A. OTHER DETAILS

- Gross Annual Income Details : Income Range per annum : Below Rs. 1 Lac Rs. 1 Lac to 5 Lac
(please specify) Rs. 5 Lac to 10 Lac Rs. 10 Lac to 25 Lac Rs. 25 Lac to 1 Crore >1 Crore
- OR
Net Worth (Net worth should not be older than 1 year) Amount Rs.....
as on (date) (Compulsory for Non-Individuals)
- Occupation : Private Sector Public Sector Government Service Business Professional
(please tick any one and give brief details) Agriculturist Retired Housewife Student Others_____Please Specify
- Please tick, if applicable : Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)
- Any other information :

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 :

.....

G. INTRODUCER DETAILS (optional)

Name of the introducer :.....

Status of the Introducer : Sub Broker Remisier Auth. Person Existing Client Others _____

Address and Ph. No. of the Introducer :.....

Sign. of the Introducer.....

H. NOMINATION DETAILS (for individuals only)

I/We wish to nominate I/We do not wish to nominate

Name of the Nominee :.....

Relationship with the Nominee :.....

PAN of Nominee :..... Date of Birth of Nominee :.....

Address and Ph. No. of the Nominee :.....

If Nominee is a minor, details of guardian :

Name of the Guardian :.....

Address and Ph. No. of Guardian :.....

Sign. of Guardian.....

WITNESSES (Only applicable in case the account holder has made nomination)

Name _____

Name _____

Signature _____

Signature _____

Address _____

Address _____

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place _____

Date _____



Signature of Client / All Authorized Signatory (ies)

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

	Document verified with Originals	Client Interviewed By	In-Person Verification Done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

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

Signature of the Authorised Signatory

Date _____

Seal / Stamp of the Stock Broker

INSTRUCTIONS / CHECK LIST

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

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net Worth Certificate
Copy of Demat Account Holding Statement	Bank Account Statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents.

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

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS

as prescribed by SEBI and Stock Exchanges

1. The client shall invest/trade in those securities/ contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/ notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/ notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/ payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any

Mandatory

purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.

16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.

21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/ partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/ Promoter(s)/ Partner(s)/ Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and

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vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the

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IT Act, 2000 and as per the extant rules/regulations/ circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights

which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.

44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/ circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.



Client's Signature

**INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY
PROVIDED BY STOCK BROKERS TO 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 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 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 password 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's Signature

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines

prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time. Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some

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securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3 Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price.

Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors:

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 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 wasting 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.

2.4 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.
3. 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.

3. TRADING THROUGH WIRELESS TECHNOLOGY / SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.



Client's Signature

GUIDANCE NOTE - DO'S AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS**BEFORE YOU BEGIN TO TRADE**

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges websites (www.nseindia.com, www.bseindia.com, www.mcx-sx.com, www.useindia.com) and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working

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days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/ compliance officer exclusively for the purpose of registering complaints.



Client's Signature

POLICIES AND PROCEDURES PERTAINING TO DEALING WITH CLIENTS

Stock Broker shall endeavor to keep its clients updated about such changes through regular and timely display of updated documents on its website and through direct/indirect communications to clients to the extent possible. The client may, if he or she so wishes, obtain an updated copy of this document by specifically requesting any of the offices of Stock Broker in writing. Although while preparing and updating this document, sufficient care has been taken to cover all important aspects and parameters pertaining to delivery of service, method of such delivery, restrictions and leverages etc., Stock Broker does not warrant that this document contains all the information about policies and procedures prescribed or practiced by Stock Broker; nor does it claim that all important aspects and parameters have been covered in this document. The document is intended to generally provide comprehensive information to clients about issues and matters presently envisaged. Neither this document nor any of the clauses or its interpretation should be taken as basis for guidance on matters not covered in this document.

1. **Refusal of order for Penny stocks:**

Stock Broker shall have the absolute discretion to accept, refuse or partially accept any buy or sell order for execution from a client in respect of penny stocks, illiquid stocks, stocks having low liquidity, illiquid "options", far month "options", writing of "options", stocks in S, Z and B2 category and any other contracts which as per the perception of Stock Broker are extremely volatile or subject to Market manipulation.

Stock Broker may permit restrictive acceptance of orders in such scrips/contracts in controlled environments like orders received from clients being forwarded by branches to a centralized desk at HO instead of allowing trading in such scrips/Contracts at branch level or through Online trading platform. Stock Broker shall not be responsible for delay in execution of such orders and consequential opportunity loss or financial loss to the client.

Stock Broker may cancel orders in such scrips received from clients before execution or after partial execution without assigning any reasons thereof. Stock Broker may take appropriate declarations from the clients before accepting such orders.

Stock Broker shall have the prerogative to place such restrictions, notwithstanding the fact that the client has adequate credit balance or margin available in his account and/or the client had previously purchased or sold such securities / contracts through Stock Broker itself.

2. **Setting up client's Exposure limits:**

Purchase Limit : Stock Broker may provide a exposure limit for intraday and delivery based purchases by a client which would be a multiple (varying between one to four times) of the clear ledger balance in the account of the client plus value of paid up collaterals computed after appropriate haircut. The value of the "multiple" and the "haircut" shall be decided by Stock Broker based on Market Volatility and quality of collaterals.

Sell Limit : Stock Broker may provide a sell limit to the client equivalent to the value of securities held by the client in his POA enabled Demat account plus the collateral held by Stock Broker on behalf of the client in its Beneficiary and Margin Pool account after making appropriate adjustments for the unsettled delivery positions of the client.

Exposure for F&O : Stock Broker may provide exposure for F&O based on availability of initial margin (SPAN + Exposure) in the form of cash and approved securities (with appropriate hair cut).

Client-wise differential Limits : Stock Broker shall have the prerogative to allow differential purchase limits and sell limits varying from client to client, depending upon credit worthiness, integrity and past conduct of each client.

3. **Applicable Brokerage Rates:**

- (a) Stock Broker charges brokerage to its clients at rates not exceeding the maximum chargeable as prescribed by exchanges/SEBI, which is at present 2.5% of the value of the transaction. The actual brokerage rates chargeable to a client will be as per the terms agreed with the client in the KYC at the time of client registration. Stock Broker may charge brokerage on option contracts expiring worthless and option contracts exercised/assigned. In case of low value securities, Stock Broker may prescribe minimum brokerage per share which may exceed 2.5% of the value of the transaction subject to a maximum of Rs. 0.25 per share.

(b) The brokerage will be exclusive of the following except in cases where it is agreed otherwise:

- Service Tax and Education Cess
- SEBI/exchange/Clearing member charges
- Stamp duty
- Statutory charges payable to Exchange/SEBI/ Govt. Authorities etc.
- Any another charges towards customized/ specialized service

4. Imposition of Penalty / delayed payment charges by either party, specifying the rate and the period:

The Exchange/ Clearing Corporation / SEBI levies penalties on the broker for irregularities observed by them during the course of business. Stock Broker shall recover such imposed penalties/levies, if any, by the Exchange/Regulatory, from such clients on account of whose dealings such penalties/levies have been imposed. Few of the examples of violations for which penalties may be levied are as under:

- (a) Auction of securities pursuant to short deliveries by the client.
- (b) Non adherence to client level exposure limits in cash, F&O and currency segments.
- (c) Short margin reporting in any segment as may be stipulated by the respective Exchange.
- (d) Any other reason which may be specified by the Exchanges/ Clearing Corporation/SEBI from time to time. Such recovery would be by way of debit in the ledger of the client and amounts would be adjusted in the ledger of the client and amounts would be adjusted in client ledger account.

(A) BY STOCK BROKER ON ITS CLIENTS:

- (1) Stock Broker may levy penalty/delayed payment charges from clients who have delayed payment against settlement obligation or margin obligation at the rate of 18% per annum. Stock Broker may waive these charges for such clients if it is satisfied that the respective client has not willfully delayed payment.
- (2) Levy of such charges and payment thereof by client does not amount to Stock Broker agreeing to fund the settlement obligations or margin obligations of the client. The penalty/delayed payment charges are being imposed to ensure that the clients pay money towards their obligations on time.
- (3) The client shall have an obligation to make payment of such penalty/ delayed payment charges upon Stock Broker debiting the amount in the respective client's ledger account by journal entry and by communication of the same to the client by way of sending statement of account either in hard copy or by email.

(B) BY CLIENTS ON STOCK BROKER:

- (1) In respect of clients who have instructed Stock Broker to maintain running account: Such clients shall be entitled to claim interest/delayed payment charges from Stock Broker upon satisfaction of the following conditions:
 - (a) The client has submitted written request for pay out of his funds subject to the same being equal to or less than his clear unencumbered credit balance in his client account for respective segment.
 - (b) Such interest shall be payable to client upon the client raising his claim for the same with evidence of submission of request and computation of claim. Such interest shall be payable at the rate of 18% per annum.

5. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues

Stock Broker shall have right to sell client's securities, both unpaid securities as well as collaterals deposited towards margins, or close out client's open positions, without giving notice to the client where there is a delay/ failure of the client to meet the pay-in obligations and / or there is a failure of the client to bring additional margins to cover the increase in risk in the dynamic market conditions.

a. Unpaid Securities in Capital Market :

- i. In case of unpaid obligation on T+3, Stock Broker may sell the unpaid/ partially paid securities. In addition Stock Broker may sell the collaterals deposited by the client towards margins and/ or paid securities purchased by the client in earlier settlements where the sale of proceeds of unpaid securities are inadequate to cover the pay-in obligations and/ where the unpaid securities appear to be comparatively illiquid and cannot be sold at reasonable rates to the extent required.

- ii. Stock Broker may follow the LIFO method for liquidation of securities but it shall not be binding on it to follow this method in all cases.

b. The margin shortfall in F&O:

- i. Positions of the client may be closed out to the extent of margin shortfall on the T+1 basis.
- ii. While computing margin shortfall, value of unapproved securities shall not be considered.
- iii. As per the current Exchange requirements, the Member Broker is required to maintain a 50:50 ratio between cash and collaterals margin deposited with the Exchange. Stock Broker shall therefore have the prerogative to insist for at least 50% of margin in cash and may not consider the value of securities over and above the cash component for the purpose of calculating margins shortfall and close out the F&O position wherever it finds the deviation. However, sales made in capital market segment shall not be considered while closing F&O positions on T+1 basis due to margin shortfall.

c. Intra-day Positions :

Stock Broker shall have right to close out any intra-day positions taken by the client after a defined "Cut-off" time (Presently 20 minutes before close of market).

d. General :

- i. While selling the securities/ closing the clients positions, Stock Broker may take into account the sales made by the client, positions closed by the client or collections received from the client till a cut-off time (presently 02.15pm).
- ii. While selling the securities/ closing the clients positions, Stock Broker may not take into consideration Cheques/Bank drafts/Pay orders deposited by the client with Stock Broker until clear proceeds of such instruments are received by Stock Broker in its bank account.
- iii. Stock Broker shall have the right to sell client's securities or close out client's open positions but it shall not be under any obligations to undertake this exercise compulsorily. Stock Broker shall therefore not be under any obligation to compensate/ or provide reasons of any delay or omission on its part to sell client's securities or close open positions of the client

6. Shortages in obligations arising out of internal netting of trades:

The transaction, which remains unsettled due to Internal Shortages of Securities, shall be closed out and settled amongst the buyer and seller as under:

- (a) The internal shortage quantity of shares will be deemed to have been squared off amongst the short deliverer and the purchaser at the auction rate of that scrip available from exchange trading system of the 'relevant day' ('relevant day' defined as the day on which the scrip would have been auctioned, had the obligation been against the exchange and not netted off within office of Stock Broker).
- (b) In the event of there being no auction of that particular scrip on the 'relevant day' or auction rate not being available for any reason whatsoever, the internal shortage quantity of shares will be deemed to have been squared off amongst the short deliverer and the purchaser at the highest of the following:
 - (i) Highest price on any day from the date of trade till the 'relevant day'.

7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client :

Stock Broker may not allow client to take further positions or may close out existing positions of client under following circumstances:

- (a) If the client has failed to meet his margin or settlement obligation.
- (b) In the event of Stock Broker taking a view that there is likely to be huge volatility in the market and Stock Broker may have prescribed that client wishing to trade further must deposit required amount of additional margin upfront, in the event of the client not fulfilling such conditions, Stock Broker may refuse to accept further orders from the client.
- (c) If Stock Broker believes that the order placed by the client is not on account of genuine trading or investment objective, Stock Broker may refuse to allow the client to take further positions.
- (d) If the client fails to furnish documents /informations as may be called for by Stock Broker from time to time as per regulatory requirements and/ or as per its internal policy.
- (e) Any ban imposed on the client by any regulatory authority.

Mandatory

- (f) Where name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI/EXCHANGES, where the information available for such debarred entity resembles with the information pertaining to the client and it is not possible to arrive at a view that the client and the debarred entity bearing the same name and other details are two different entities.
- (g) Depending on the market circumstances, if Stock Broker is of the view that the positions of the client are at risk, Stock Broker may close the existing position of the clients without waiting for the pay in schedule of the Exchanges. Stock Broker may take actions under this policy with or without giving any notice or intimation to the client. Stock Broker will not be responsible for any opportunity loss or actual loss to the client in the event of any action taken by it pursuant to this policy.

8. Temporarily suspending or closing a client's account at the client's request:

If a client does not want to trade either for a limited period or for indefinite period, he may inform Stock Broker in writing of his intentions not to trade for a limited period or for indefinite time, as the case may be. Upon receipt of such request, Stock Broker, after making such verification as it may find necessary, shall suspend the client's trading account for such limited period or for indefinite time, as requested by the client.

If a client whose trading account has been temporarily suspended wishes to reactivate the same, the client will have to forward written request for reactivation to the registered office of Stock Broker.

If a client has not executed any trade in any segment for which he is registered since last 12 months, he shall be considered as an inactive client. Orders for such client shall be accepted and executed only after due verification about genuineness of the order and that the order has, in fact, placed by such client.

9. Deregistering a client :

Without prejudice to Stock Broker's rights and remedies available under the Agreement, Stock Broker may forthwith, at its sole and absolute discretion, deregister the client with/without prior notice/intimation in the following circumstances:

- (a) If the client makes request for deregistration in writing.
- (b) If Stock Broker is satisfied and believes that the client is not interested in executing transactions through Stock Broker.
- (c) If the client is not maintaining his account as per the requirements and Stock Broker wishes to sever the relationship with the client after giving such due notice.
- (d) Where the client indulges in any irregular trading activities like synchronized trading, price manipulation, trading in illiquid securities/ options/contracts, self trades, trading in securities at prices significantly away from market prices, etc.
- (e) Any enquiry/investigation initiated by the Exchanges/regulators against the client;
- (f) Any regulatory action taken/initiated against the client by the Exchange/regulators including but not limited to debarring the client from accessing the capital market;
- (g) Where name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI/Exchanges (where no information other than name is available);
- (h) Name of the client appears in database/websites of CIBIL, Watch Out Investors, World Check, etc.;
- (i) The client having suspicious back ground or link with suspicious organization;
- (j) Where the client is non traceable, has pending disputes with Stock Broker, possibility of a default by the client;
- (k) Any other circumstances leading to a breach of confidence in the client for reasons like return of undelivered couriers citing reason of 'No such person/ Addressee left/ Refusal to accept mails, etc. continues cheque bouncing, or not furnishing the financial and other details as may be called for by Stock Broker from time to time, etc;
- (l) Upon receipt of written information about the death of the client;

General:

Stock Broker shall have the right at its sole and absolute discretion to amend/change/revise any of the above said policies and procedure at time in future and the same shall be binding on the client forthwith.

Any action taken by Stock Broker in accordance with the policies and procedures mentioned herein above cannot be challenged by the client, and Stock Broker shall not be liable to the client for any loss or damage (actual/notional) which may be caused to the client as a result.

I have read and understood the policies and procedures described in this above schedule and agree to be bound by the same



Client's Signature

TARIFF SHEET

I/ we agree to pay to the trading member brokerage at the following rates. The trading member shall have the right to change the brokerage rates by giving advance notice to the client at the address recorded with the Trading member or to my designated e-mail Id:

Segment	Nature of Trade	Brokerage %	Minimum Brokerage
Cash (NSE & BSE)	Daily Square Up		
	Delivery		
Equity Derivatives	Futures		
	Options		
Currency Derivatives	Futures		
	Options		

1. The brokerage shall be calculated on per share basis upto 2 decimal points and rounded off to the nearest paisa.
2. Exchange transaction charges shall be charged extra.
3. Service Tax on all eligible services shall be charged extra as applicable.
4. Securities Transaction Tax shall be charged extra as applicable.
5. Any other tax imposed subsequently shall be charged extra.



Client's Signature

DECLARATION BY CLIENT

I/we hereby express our specific confirmation / consent to the following provisions and declare as under:

1. Designated E-Mail ID for receiving Electronic Contract Notes, Reports, Financial Statements etc.,

- i) I/ we hereby opt for Electronic Contract Notes and authorize you to issue electronic contract notes(ECN) and send such contract notes and all other reports, financial statements etc., to my/ our e-mail id, which shall be treated as my/ our designated e-mail Id.
- ii) I/ we declare that the above e-mail Id is my / our own and has not been created by you. I/ we undertake to regularly open the mail box and keep the account running
- iii) I/ we declare that the log reports of your dispatching software shall be conclusive proof of dispatch of e-mail
- iv) I /we shall not hold you responsible under any circumstances in the event of an e-mail getting bounced due to any reason beyond your control e.g., inbox being full or my/ our account being blocked etc.
- iv) I/ we agree to notify any change in my/ our e-mail Id in writing through a physical letter to you.

2. Actual Settlement of funds and Securities

I / we hereby opt for actual settlement of funds and securities once in a calendar

Month

Quarter

3. Running account authorization

I / we hereby give/ renew the running account authorization as under:

- a. That in order to facilitate operations I / we authorize you to maintain a running account instead of settlement to settlement clearance of dues or delivery of securities and no interest shall accrue on the balances lying in the account.
- b. that this running account authorization can not be signed by any other person except me/ us and can be revoked by me/ us any time in writing
- c. that you may retain the requisite securities / funds towards my/ our outstanding obligations and also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the Exchanges.
- d. That the actual settlement of funds and securities shall be done at least once in a calendar month / quarter as per choice given above in para 3 and while settling the account, a statement of accounts containing an extract from the client ledger for funds and an extract from the register of securities displaying all receipts/ deliveries of funds/ securities and details of all funds and securities retained shall be provided by you to me/ us.
- e. That I / we agree to bring any dispute arising from the aforesaid statement of accounts to your notice within 7 working days from the date of receipt of the said statement of accounts failing which the same shall be treated as correct.
- f. That there shall be no inter client adjustments for the purpose of settlement of running account.

4. Authorisations

In order to ensure ease of operations I / we authorize you as under:

- i) To set off debits in any of my/ our accounts against credits available or arising in other accounts with you, irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of any Exchange and / or value of cash margin or collateral shares provided by me/ us to you.

Non-Mandatory

- ii) To retain credit balances in any of my/ our accounts and use the idle funds towards my/ our margin / future obligations at any segment of any Exchange.
- iii) To retain securities in your demat account for my/ our margin / future obligations in any segment of any exchange unless I / we instruct you to transfer the same to my/ our account.
- iv) To consider my/ our telephonic instructions for order placing/ order modification/ order cancellation as written instruction and give us all confirmations over telephone or via designated e-mail Id mentioned in this KYC booklet., unless instructed otherwise in writing .
- v) To not provide me/ us with order/ trade confirmation/ modification/ cancellation slips to avoid unnecessary paper work. I/we am/ are comfortable with telephonic confirmations and confirmations via e-mail.
- vi) To not send me / us physical contract notes as I have opted for Electronic Contract Notes.

5. Declaration regarding trading disruptions due to technology related problems

- a) As trading on the stock exchanges takes place in electronic mode, based on VSAT, Leased Line, ISDN, Modem and VPN or Internet or wireless or mobile phones or a combination of various technologies and the computers and network systems and devices used to place / modify/ cancel orders, I understand and agree that there exists a possibility of communication failure or system problems or slow/ delayed response from the system or trading halts including trading halts due to sun outage, which are beyond your control and agree that I/ we shall be liable and responsible for such problems and shall not hold you responsible for the same.
- b) I/ we further agree that in case trading terminals are provided to me for trading activities on any type of connectivity, I/ we shall not sublet the same through any means without your prior written approval. I/ we shall abide by the rules, regulations, guidelines and circulars of the Exchanges issued from time to time as applicable and shall be liable for non adherence to the same.



Client's Signature

DECLARATION BY PARTNERS IN CASE OF PARTNERSHIP ACCOUNTS

We hereby declare and authorize you as under :

- We recognize that the Demat account can not be opened with a Depository Participant in the name of Partnership firm as per regulations.
- To facilitate the operation of the trading account and for the purpose of completing the securities transfer obligations, pursuant to the trading operations, we authorize you to recognize the BO account No....., with..... a DP with NSDL / CDSL having DP ID....., in the name of....., who are partners of the firm, as a designated account for holding shares of the partnership firm.
- We agree that the obligations for shares purchased and / or sold by the firm shall be handled and completed through transfers to/ from the above mentioned account.
- We recognize and accept that transfers made by you to the above BO account shall be complete discharge of obligations by you in respect of the trades executed in the trading account of the firm.

1 _____ 2 _____ 3 _____ 4 _____

Signatures of all partners of the firm

CONSENT OF THE JOINT HOLDER IN RESPECT OF JOINT BANK ACCOUNT

With reference to the trading account opened with you in the name of....., I/ we declare as under :

- I am aware that Account No....., with (Bank)....., (branch) in which I/ we am/ are joint holders has been mentioned as the designated bank account in the trading account.
- I/ we do not have any objection to the above and agree that the funds lying in the aforesaid bank account may be utilized by the trading account holder for meeting the funds pay in obligations in respect of the transactions undertaken by the trading account holder through you.
- I/ we agree that the funds due to the trading account holder from you on account of funds pay out obligations in respect of the transactions undertaken by the trading account holder through you may be deposited in the aforesaid bank account.

Signatures of the Joint Bank account holders: 1 _____ 2 _____

CONSENT OF THE JOINT HOLDER IN RESPECT OF JOINT DEMAT ACCOUNT

With reference to the trading account opened with you in the name of....., I/ we declare as under :

- I am aware that BO Account No....., with(DP) Having DP ID....., in which I/ we am/ are joint holders has been mentioned as the designated demat account in the trading account.
- I/ we do not have any objection to the above and agree that the securities lying in the aforesaid BO account may be utilized by the trading account holder for meeting the securities pay in obligations in respect of the transactions undertaken by the trading account holder through you.
- I/ we agree that the securities due to the trading account holder from you on account of Securities pay out obligations in respect of the transactions undertaken by the trading account holder through you may be transferred to the aforesaid BO account.

Signatures of the Joint BO account holders: 1 _____ 2 _____





CRIMSON FINANCIAL SERVICES LTD.

Member : National Stock Exchange of India Ltd., SEBI Regn. No.: INB/INF/INE 230886533

Member : Bombay Stock Exchange Ltd., SEBI Regn. No.: INB/INF 010886530

Member : MCX Stock Exchange Ltd., SEBI Regn. No.: INE 260886533

Member : United Stock Exchange of India Ltd., SEBI Regn. No.: INE 270886533

Registered Office :

Crimson Square, Convenient Shopping Centre, BA Block,

Mangolpuri Industrial Area Phase-2, New Delhi-110083

Tel.: 011-49571500 • Fax : 011-41833515

Website : <https://www.crimson.net.in>

e-mail : crimson@crimsonfin.com, crim_co@hotmail.com

crim_complaints@hotmail.com

