

Name of Stock Broker/Trading Member/Clearing Member:

EXCHANGE NAME	SEGMENT	SEBI REGISTRATION NO.
NSE	Cash, F&O, Currency	INZ000167335
BSE	Cash, F&O	INZ000167335

Registered Office Address

“SIHL HOUSE”, Opp. Ambawadi Jain Temple Nehrunagar Cross Road, Ahmedabad 380 015 | Phone: +91-79-41072222

Email : helpdesk@sihl.in | Website : http://www.sihl.in

Corporate Office

“SIHL HOUSE”, Opp. Ambawadi Jain Temple Nehrunagar Cross Road, Ahmedabad 380 015

Phone: +91-79-41072222 | Fax +91-79-3002 8028

Compliance Officer Details :

Name : Mr. Utpal Shah

Phone No. : +91-79-4107 2222

E-mail Id : utpal.shah@sihl.in

CEO Details :

Name : Mr. Upendra T. Shah

Phone No. : +91-79-4107 2222

E-mail Id : upendra.shah@sihl.in

For any grievance/dispute please contact SHAH INVESTOR'S HOME LTD. at the above address or email id: helpdesk@sihl.in and Phone No. +91-79-4107 2222. In case not satisfied with the response, please contact the concerned exchange(s) at :

Exchange Name	E-mail ID	Phone No.
National Stock Exchange of India Ltd.	ignse@nse.co.in	1800-266-0058
Bombay Stock Exchange Ltd.	mahesh.ghadi@bseindia.com	022-22728517
NSDL	info@nsdl.co.in	022-24994200
CDSL	complaints@cdslindia.com	1800-200-5533

You can also lodge your grievances with SEBI at [http:// scores.gov.in](http://scores.gov.in) For any queries, feedback or assistance, please contact SEBI office or toll free Helpline at 1800-22-7575 / 1800-266-7575

Form No:					
Branch Name:	UniquelD:	NSDL ClientID:	NSDL ClieCCID:	Trading Code:	TradingCode CCID:

First Holder Signature	Second Holder Signature	Third Holder Signature
		

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions

- A) Fields marked with "*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.

- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick () in the box available before the section number and strike off the sections not required to be updated.



For Office Use Only	Application Type* <input type="checkbox"/> New <input type="checkbox"/> Updated
(To Be Filled By Financial Institution)	KYC Number _____ (Mandatory For KYC Update Request)
	Account Type* <input type="checkbox"/> Normal <input type="checkbox"/> Minor <input type="checkbox"/> Aadhaar OTP based E-KYC(non-face to face mode)

1. Personal Details

Name*			
Maiden Name (If any*)			
Father/Spouse Name*			
Mother Name*			
Date of Birth*			
Gender*		Marital Status*	
Citizenship*			
Residential Status*			
Occupation Type*			
Place/City of Birth*			
Country of Birth*			

2. Proof of Identity

PAN*		
Proof	Proof No	Proof ExpiryDate
<input type="checkbox"/> Passport		
<input type="checkbox"/> VoterID		
<input type="checkbox"/> Driving Licence		
<input type="checkbox"/> Proof Of Possession Of Aadhaar		

3. Proof of Address

Address Type*	RESIDENT/BUISNESS		
Proof of Address*			
Correspondence Address			
Address Line 1*			
Address Line 2			
Address Line 3			
City/Town/Village*		State*	
Country*		PIN Code*	

Permanent Address			
Address Line 1*			
Address Line 2			
Address Line 3			
City/Town/Village		state*	
Country*		PIN Code*	

4. Contact Details

Tel.(Off.)		Tel.(Res.)	
Mobile No.*		Fax	
Email ID*			

5. Remarks(If any)


6. Applicant Declaration

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I under take 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. I hereby declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time. I hereby give my consent for receiving information including Central KYC Registry



Checked the Sanction list available on UN Website and FATF Circular issued by the SEBI and after checking the list and circulars the KYC is APPROVED.

7. Attestation/For Office use only

Document Received	21 (SIGNATURE VERIFIED AS PER OUR RECORD)		
<input checked="" type="checkbox"/> Certified Copies <input type="checkbox"/> EKYC data received from UIDAI <input type="checkbox"/> Data Received from offline verification <input type="checkbox"/> Digital KYC Process <input type="checkbox"/> Equivalent e-document			
Intermediary/Institution Details		In-person verification(IPV), Documents verified with original & Client interviewed by	
Name	SHAH INVESTOR'S HOME LTD.	Employee/SB/AP name	
		Branch Name	
		Code	Designation
SIHL Stamp		Signature	
CKYC Institution Code	IN0037	Date	
NDML KRA MI ID	P0293		
CVL KRA POS Code	1200000943		

8. Bank Account Details

Primary Bank Details (For DP and Trading)			
Bank Name			
Account No.		Branch	
IFSC		MICR Code	
Address			
Account Type		Pay-Out Option	NEFT/RTGS

9. Request for updation of same mobile number / email id

1st Holder

Client Name	
Mobile No	
Email Id	

I hereby declare that the aforesaid mobile number belongs to : SELF

I hereby declare that the aforesaid E-mail ID belongs to : SELF

Signature of Client			
Date:		Place:	

10. Depository Account Details

I/We already have Demat A/c			
Depository Name	SHAH INVESTOR'S HOME LTD.		
DP ID	IN300343	BO ID	
Name of Depository Participant	NSDL		
Demat Account Proof Submitted	NEW ACCOUNT OPENING		
Beneficiary Name			

11. Trading Preference(Please sign in the relevant boxes you wish to trade.)

Exchange	Segment				
	Cash	F&O*	Currency*	Mutual-Fund	SLBM
NSE	<input checked="" type="checkbox"/>				
BSE	<input checked="" type="checkbox"/>				
*If you wish to trade in derivatives (F&O/Currency) segments, submit proof of financial details(Mandatory)					

12. FACILITIES

SMS and E-mail alerts from stock exchanges/depository	YES
Whether you wish to receive Contract Note & Standard documents in electronic mode	YES
*Standard Documents Rights & Obligations, Risk Disclosure Document, Guidance Note and Policies & Procedures, other terms and conditions	
I/We wish to avail facility of internet trading / wireless technology	YES
Trading Type:	<input checked="" type="checkbox"/> WebClient <input type="checkbox"/> Offline

13. Trading History

Trading Experience / Number of Years of Investment	
Stock Profile	
Details of disputes / dues pending from / to such stock broker / sub-broker In case dealing with multiple stock brokers, please provide details of all.	
Client Code(UCC)	Exchange
ACTIONS TAKEN BY SEBI / ANY OTHER AUTHORITY	Details of any action/ proceedings initiated/pending/ taken by SEBI/Stock Exchange/any other authority against the applicant/ constituent for dealing in securities during the last 3 years <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO if Yes, Mention the Details

14. Income, Education & Others Details

Gross Annual Income Detail	
Net-worth in	as on(date)
Occupation	
Educational Details	
Politically Exposed Person/Related to a Politically Exposed Person	




15. FATCA & CRS Declaration – Individuals

Are you the TAX Resident of any country other than India		
If yes please fill the following:		
#Country	%Tax Identification Number	Identification Type

To also include USA, if the individual is a citizen/ green card holder of USA
 % In case Tax Identification Number is not available, kindly provide functional equivalent\$

Certification: I/We have understood the information requirements of this Form as per the CBDT notified Rules 114F to 114H and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the Terms and Conditions below and hereby accept the same.

I/We understand that my personal details as provided /available in the bank records will be used for CBDT reporting.

Date		
Place		
Signature Of First Holder	Signature Of Second Holder	Signature Of Third Holder
		

**Extended KYC Annexure - Individuals (including sole-proprietors)
 (Applicable for Resident and Non-Resident Customers)**

CBDT Terms and Conditions:

The Central Board of Direct Taxes (CBDT) has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Please note that you may receive more than one request for information if you have multiple relationships with Shah Investor's Home Ltd. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

CBDT Instructions:

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number. \$ It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA/ CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
	If customer does not agree to be Specified U.S. person/ reportable person status
1. U.S. place of birth	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND 3. Any one of the following documents: a. Certified Copy of "Certificate of Loss of Nationality or b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
2. Residence/ mailing address in a country other than India	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; and 2. Documentary evidence (refer list below)
3. Telephone number in a country other than India (and no telephone number in India provided)	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; and 2. Documentary evidence (refer list below)
4. Standing instructions to transfer funds to an account maintained in a country other than India	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; and 2. Documentary evidence (refer list below)

List of acceptable **documentary evidence** needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body*
2. Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)* Government or agency thereof or a municipality

First Holder Signature	Second Holder Signature	Third Holder Signature
		

16. DETAIL OF INTRODUCER/AP/Subbroker

Name			
Registration No.			
Code		Signature	
PAN		Phone	
Address			

Declaration:

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize you [SIHL] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same.

17. Brokerage Structure

Segment	Brokerage Type	Value
BSE Equity Cash-Intraday		
BSE Equity Cash-Delivery		
NSE Equity Cash-Intraday		
NSE Equity Cash-Delivery		
NSE Equity Cash-SLBM		
F&O -Future		
F&O -Option		
Currency - Future		
Currency - Option		

Note:

Important Note : In case of Physical Contract notes or other related documents being dispatched to client, a difference of Rs. 25/- in total brokerage booked on a particular contract would be charged toward minimum processing fee. Delay payment charges @2% per month would be charged for debit/shortage in payin/margin default, as per exchange requirements. Depository/Pledge charges for the movement of shares between pool/ beneficiary/margin account for payin / payout or margin purpose will be charged.

Signature of Client			
Date:		Place:	

18. Securities Trading using Wireless Technology

Client Code	
Client Name	

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 whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through 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.

Signature of Client			
Date:		Place	

19. CLIENT DECLARATION CUM UNDERTAKING

To
SHAH INVESTOR'S HOME LTD.
'SIHL HOUSE' Opp Ambawadi Jain Temple
Nehrunagar Cross Road, Ahmedabad-380015

Sub: Letter for Authority / Undertaking

Dear Sir,

We the above mentioned entities / constituents have been regularly trading and investing with you on National Stock Exchange of India Ltd. (NSE), Bombay Stock Exchange Limited (BSF) and/ or MCX Stock Exchange Limited (MCX-SX).

For the purpose of operations with you, we have agreed among ourselves to be treated collectively as a FAMILY of account. In order to facilitate of operations:

a) We authorize your to accept and execute securities dealing orders placed by any of the aforesaid constituent for and on behalf of the other constituents in FAMILY. We further authorize your for acknowledging contract notes, communicating changes in KYC details and confirmation of accounts for and on behalf of the other constituents in FAMILY.

b) We hereby authorize your to set off the outstanding (including interest on delayed payment in any of the above mentioned accounts against credit available or arising in any of the above accounts irrespective of the fact that such credit in the account may pertain to transactions in any segment of any of any exchange and /or may pertain to the value of cash margin or against the value of sale proceeds of collateral shares provided to you by any constituent (s) of the family. We further authorize you to transfer the balance between our above mentioned accounts.

c) That I/We hereby authorize you to buy/sell shares/derivative contracts in above account for/on behalf of my / our account upon any instruction by above person (s).

d) The above mentioned person(s) is/are also authorized to receive all documents from SHAH INVESTOR'S HOME LTD. and is/are further authorized to do all acts necessary for operation in any account. All transactions, interalia included transfer of any or entire funds to his/her/their account with you.

e) That in future I/we shall not make any claim from SHAH INVESTOR'S HOME LTD. in any manner whatsoever of any collateral adjusted from cash or securities in my/our account to set off the outstanding debit amounts in the above mentioned accounts and I/we further state further state that if anybody on my behalf claims the above said adjusted amount, the said act shall be null void and shall be ineffective.

f) That any instruction in relation to operation of Group account / my / our account may be given through e-mail, writing, telephone, oral or any other means of communication by any authorized person/family member/my self/our self.

g) We agree that any deletion shall take effect only on completion of settlement and adjustments of balances in all the accounts of the Client's belonging to the family.

Client Name			
Client Code			
Signature of Client			
Date:		Place:	

1. Refusal Of Orders For Penny / Illiquid Stock

The stock broker may from time to time limit (quantity/ value) / refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies), the order being for securities which are not in the permitted list of the stock broker / exchange(s) / SEBI. Stock broker may require compulsory settlement / advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance / placement of order(s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client.

The stock broker may require reconfirmation of orders, which are larger than that specified by the stock broker's risk management, and has the discretion to reject the execution of such orders based on its risk perception.

2. Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions (such as broker level/ market level limits in security specific / volume specific exposures etc.) , and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone. Broker may refuse to allow clients to take fresh trades where broker's RMS policy can be in potential violation of the directions issued by the exchanges regarding abnormal/non-genuine transactions (Ref: NSE/INVG/39647 Circular Ref. No. 168/2018 & BSE Notice no. 20181213-31). If we suspects that there is an abnormal trading pattern, the amount equivalent to the trades in the security shall be blocked and released only after seeking rationale of the client on the said trades & carrying further scrutiny of KYC documents/source of funds.

The stock broker is required only to communicate / advise the parameters for the calculation of the margin / security requirements as rate(s) / percentage(s) of the dealings, through any one or more means or methods such as post / speed post / courier / registered post / registered A.D / facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc.; or any other suitable or applicable mode or manner. The client agrees that the postal department / the courier company / newspaper company and the e-mail / voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail / voice mail service provider, etc.; by the stock broker and the client "agrees never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever and once parameters for margin / security requirements are so communicated, the client shall monitor his / her / its position (dealings / trades and valuation of security) on his / her / its own and provide the required / deficit margin / security forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the stock broker to the client and / or whether or not such communication is received by the client.

The client is not entitled to trade without adequate margin / security and that it shall be his / her / its responsibility to ascertain beforehand the margin / security requirements for his / her /its orders /trades / deals and to ensure that the required margin / security is made available to the stock broker in such form and manner as may be required by the stock broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the stock broker intimates such shortfall in the margin to the client, make up the shortfall suo-moto immediately. The client further agrees that he /she /it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) & / or any claim / loss/ damage arising out of thenon-availability /shortage of margin /security required by the stock brokers / exchange / SEBI.

The stock broker is entitled to vary the form (i.e., the replacement of the margin / security in one form with the margin / security in any other form, say, in the form of money instead of shares) & / or quantum & / or percentage of the margin & / or security required to be deposited / made available, from time to time. The margin / security deposited by the client with the stock broker are not eligible for any interest.

First Holder Signature	Second Holder Signature	Third Holder Signature
		

The stock broker is entitled to include / appropriate any / all pay out of funds & / or securities towards margin / security without requiring specific authorizations for each payout.

The stock broker is entitled to disable / freeze the client account & / or trading facility / any otherservice facility, if, in the opinion of the stock broker, the client has committed a crime /fraud or has acted in contradiction of this agreement and / or is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

3. Applicable brokerage rate

The stock broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under:

i) For Capital Market and Future Segment: The maximum brokerage chargeable in relation to tradeseffected in the securities admitted to dealings on the Capital Market and future segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies.

It is hereby further clarified that in capital market where the sale / purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.

ii)For Option contracts: Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract.

It is hereby further clarified that brokerage on options contracts shall not exceed 2.5% of the premium amount or Rs. 100/- (per lot) whichever is higher.

4. Imposition of penalty / delayed payment charges

The client agrees that any amounts which are overdue from the client towards trading or on account of any other reason to the stock broker will be charged with delayed payment charges at such rates as may be determined by the stock broker.

The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

The client agrees to pay to the stock broker brokerage, commission, fees, all taxes, duties, levies imposed by any authority including but not limited to the stock exchanges (including any amount due on account of reassessment / backlogs etc.), transaction expenses, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account / transactions / services that the client avails from the stock broker.

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 to the extent of settlement / Margin obligation.

The stock broker maintains centralized banking and securities handling processes and related banking and depository accounts at designated place. The client shall ensure timely availability of funds/securities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The stock broker shall not be responsible for any claim / loss / damage arising out of non-availability / short availability of funds/securities by the client in the designated account(s) of the stockbroker for meeting the pay in obligation of either funds or securities. If the client gives orders / trades in the anticipation of the required securities being available subsequently for pay in through anticipated pay out from the exchange or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities / funds for pay in for any reason whatsoever including but not limited to any delays / shortages at the exchange or stock broker level / non release of margin by the stock broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions / square off / closing outs etc, shall be solely to the account of the client and the client agrees not to hold the stock broker responsible for the same in any form or manner whatsoever.

In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit / credit for the same only on the realization of the funds from the said bank instrument etc. at the absolute discretion of the stock broker.

Where the margin /security is made available by way of securities or any other property, the stockbroker is empowered to decline its acceptance as margin / security & / or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/ securities/ shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case open position (i.e. short/long) gets converted into delivery due to non-square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the payin obligation failing which the client will have to face auctions or internalclose outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

The stock broker is entitled to prescribe the date and time by which the margin / security is to be made available and the stock broker may refuse to accept any payments in any form after such deadline for margin / security expires.

Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/ security or to meet the funds/margins/ securities pay in obligations for the orders / trades / deals of the client within the prescribed time and form, the stock broker shall have the right without any further notice or communication to the client to take any one or more of the following steps.

First Holder Signature	Second Holder Signature	Third Holder Signature
		

- i) To withhold any payout of funds / securities.
- ii) To withhold / disable the trading / dealing facility to the client.
- iii) To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the stock broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are pending delivery / receipt.
- iv) To liquidate / square off partially or fully the position of sale & / or purchase in any one or more securities / contracts in such manner and at such rate which the stock broker may decide in its absolute discretion.
- v) To take any other steps which in the given circumstances, the stock broker may deem fit.

The client agrees that the loss(es) if any, on account of any one or more steps as enumerated herein above being taken by the stock broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the stock broker.

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

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/clearing house or other company or entity liable to make the payment and the client has fulfilled his / her/ its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under :

- i) The short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/Payout Day. The securities delivered short are purchased from market on T+3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisional amount debited earlier.
- ii) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+3 day or Auction day on Exchange +10%. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- iii) In cases of securities having corporate actions all cases of short delivery of cum transactions which can not be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

7. Temporarily suspending or closing a client’s account at the client’s request

- i) The client may request the stock broker to temporarily suspend his account, stock broker may do so subject to client accepting / adhering to conditions imposed by stock broker including but not limited to settlement of account and/ or other obligation.
- ii) The stock broker can withhold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

8. De-registering a client

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- i) If the actions of the Client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal / proper functioning of the market, either alone or in conjunction with others.
- ii) If any adverse action such as enquiry, adjudication, suspension, cancellation prosecution, debarring from capital market is / was initiated / pending / completed against him by SEBI/ Exchange or any other regulatory or government authority at any point of time to trade in capital market, either in past or at present;
- iii) The agreement can be terminated at the discretion of SIHL after giving prior notice of 30 days by registered AD or courier;
- iv) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- v) If the Client upon the death, winding up or has voluntarily or compulsory become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- vi) If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
- vii) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- ix) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable.

First Holder Signature	Second Holder Signature	Third Holder Signature
		

- x) If the Client suffers any adverse material change in his / her/ its financial position or defaults in any other agreement with the Stock broker
- xi) If the Client is in breach of any term condition or covenant of this Agreement;
- xii) The client has violated the Applicable law particularly the securities Law and Bye-laws, Rules and Regulations of the respective Stock Exchanges on which the Client trades;
- xiii) If the client migrates to a jurisdiction which prohibits trading in Indian securities or otherwise subjects the Stock Broker or any of its employees to any licensing or registration requirements;
- xiv) If any covenant or warranty of the Client is incorrect or untrue in any material respect; However, notwithstanding any termination of the agreement, all transactions made under/ pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Stock Broker.

9. Policy for Dormant / In-active account:

In any account, in which no transactions have taken place during the period of 12 months from the date of last transaction, the same shall be considered as Dormant/In-active. Such transaction date may relate to any of the following date, whichever is later.

- i) Entry related to contract or bill generation for buy/sell transaction or
- ii) Entry related to payment of funds to securities by clients or
- iii) Entry passed by the broker by way of JV due to any penalty amount whether or not imposed by Exchange or SEBI or other authorities etc.

To designate the client's account as Dormant/In-active account, the period of 12 months shall be counted from the last day of respective month in which any of the aforesaid last transaction took place. In case Broker treats the account of client as the dormant/in-active account the funds or securities lying with the broker shall be refunded / returned to clients immediately on demand by the client. In order to reactive the account, client needs to instruct the Broker in writing at least 2 days in advance at its Ahmedabad R. O. The Broker will try to promptly reactivate the said account subject to fulfillment of such conditions as broker may consider fit and proper. Such written request may also be sent by way of Fax on 079-3002 8028 / 079-3002 9029 to Mr. Rajesh Punjabi / Mr. Jayesh Pittaliya (Trading Account Dept. / Demat Account Dept.) or by email rajesh.punjabi@sihl.in / jayesh.pittaliya@sihl.in to the Broker. However, Broker may, in its own discretion to waive / reduce the period of 2 days as the circumstances may warrant on case to case basis.

Client Acceptance of Policies and Procedures stated here in above:

I have fully understood the same and do hereby sign the same and agree not to call into question the validity enforce ability and applicability of any provisions clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me with through any one or more means or such as post / speed post / courier registered post / registered A.D / facsimile / telegram / cable / e-mail / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer, by informing the client through employees / agents of the stock broker by publishing / displaying it on the website of the stock broker / making it available as a download from the web side of the stock broker; by displaying it on the notice board of the branch / office through which the client traders or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc. or any other suitable or applicative mode or manage that the postal department/the courier, newspaper company and the e-mail / voice mail service provider and such other service provider shall be my agent and the delivery shall be completed when communication is given to the postal department / the courier company / the e-mail / voice mail service provider, etc. by the stock broker and I agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These policies and procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me and stock broker before any court of law / judicial/ adjudicating authority including arbitrator/ mediator etc.

Signature of Client			
Date:		Place:	

CONSENT FOR SMOOTH OPERATIONAL CONVENIENCE

This document is purely voluntary and all / any part thereof can be deleted before signing. The same can also be revoked by you at any time after execution by sending your written request to do so. If you are not agreeing then please don't sign.

To,

SHAH INVESTOR'S HOME LTD.
"SIHL HOUSE", Opp.Ambawadi Jain Temple,
 Nehrunagar Cross Road,Ahmedabad-380 015
Phone : 079 - 4107 2222

Dear Sir,

I hereby declare that I am a regular investor in the stock markets in India. I am conversant with the laws, practices, rules, regulations, guidelines, circulars, etc. prescribed by the Securities and Exchange Board of India (SEBI) and National Stock Exchange of India Limited (NSE), Bombay Stock Exchange Limited (BSE) and MCX Stock Exchange Ltd. (MCX-SX). I hereby further declare that I am holding the shares in my demat account no. _____ with you. I request you to kindly register me with you as your client on **NSE CM/ NSE F&O/ NSE CD/ BSE CM / BSE F&O / BSE MF / MCX - SX CM / MCX - SX F&O**. Accordingly, I do hereby give my following consents and do authorise you as under:

1) You are requested to accept all my buy/sell orders over the telephone / fax conveyed by myself or Mr./Ms. who is duly authorized by me, and thus no need to take my orders in writing every time. All such orders and trades will be binding on me. I have noted that you may record our telephone conversations for security purpose.

2) I do not require your order modification / confirmation / cancellation and trade confirmation slips. Your Contract Notes provides me full details as required by me and which is binding on us.

3) You can adjust any amounts receivable from me against any credits standing into my account or from my forthcoming pay-outs payable to me.

4) I request you to keep my securities, margin and funds with you to meet my pay in obligation in the succeeding settlements in the same segment as well as cash & derivative segments of NSE, BSE and MCX-SX.

5) Further, it is observed that many times the date on which payment is due to me from you and the date which I am required to make payment to you are very close and therefore exchange of cheques become unnecessary paper work. I therefore request you not to issue cheques / make payments settlement wise unless specifically advised by me.

6) Further, I hereby give my consent to maintain my account as RUNNING ACCOUNT for funds and securities. The securities lying in my withhold account should be considered as margin deposit. Further, I declare that:


a. I understand that I can revoke the authorization at any time by submitting the application

b. I have given my consent for Quarterly Monthly Settlement of my funds and securities. I give my consent to retain my funds up to Rs.10000/- (Rupees Ten Thousand Only) from such settlement (or such amount allowed by SEBI from time to time). I am aware that on the settlement of account, I will receive a statement and I shall bring any dispute arising from the statement of account to the notice of the broker within 7 working days from the receipt of my statement of my account.

c. If I have outstanding obligations on the settlement date, you may retain the requisite securities / funds towards such obligation and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the respective exchanges.

7) I have noted that you are doing Proprietary Trading on your own account.

8) I have subscribed for SMS Confirmation of my trade details, ledger balances, margins, auto debit mandate and instructions, intimation for account turning to dormant status and any other SMS communication services SIHL decides to add or remove in future. In case of non-receipt of SMS due to technical error, network problems or any other server related problems, I fully understand that SIHL is not responsible for the same.

9) I hereby authorize the undersigned Mr./Ms. (Name) _____ (Sign.)  _____ to collect & acknowledge on my behalf the Bills, Contracts and other documents.

10) I have no objection if due to punching error you might have to change the client codes for trade done or transfer the trade to your Vandha Account / Error Account as the circumstance may warrant within the prescribed parameters and rules & regulations of the exchanges.

11) You are free to adjust debit/credit in between my various accounts viz. F&O initial margin A/c, F&O, M to M A/c, Cap. Market A/c, Margin A/c or any other account maintained with you. The same can be done by passing Journal Voucher entries or in such other manner as my deemed fit and proper by you.

12) I shall not divulge into any sub-broking activities and shall not issue any bills / contracts / confirmation notes etc, to anyone else for the trade done on NSE / BSE / MCX - SX.

13) Authorization for inter Exchange / Segment fund balance transfer and stock transfer: I hereby authorize you to transfer my debit/credit balance in the ledger account arising during the course of trade in one Exchange/Segment to my ledger account in another Exchange/Segment or transfer any stock purchased / laying in my account in one Exchange/Segment to my ledger account in another Exchange/Segment as often as may be required. The transfers may be completed by passing journal entries in your books.

14) I agree that all fines / penalties / charges etc levied upon you by NSE/BSE/MCX-SX any other Regulatory Authority for my transaction /deals/ actions/ mistakes are recoverable by you from my accounts.

15) Being your client, I agree that we will submit the certified true copies of income proof or financial details (Any One):

First Holder Signature	Second Holder Signature	Third Holder Signature
		

- a. Copy of ITR Acknowledgment.
- b. Copy of Annual Accounts.
- c. In case of salary income – Salary Slip, Copy of form 16.
- d. Copy of Demat Account holding statement.
- e. Bank Account statement for last 6 months.
- f. Any other relevant documents substantiating ownership of assets.
- g. Self-declaration with relevant supporting documents.

16) My funds lying with you may be used for the purpose of placing FDRs with Banks to be submitted to ICCL/ NSCCL / MCX-SX CCL and /or as Margin FDRs for obtaining Bank Guarantee in favour of NSE / BSE / ICCL/ NSCCL/ MCX - SX CCL

17) You can utilize my credit balance for Additional Base Capital as Margin with NSE / BSE / MCX-SX exchanges for my exposure.

18) To undertake to pay the demat charges / fees and such other charges incurred by SIHL and that I further authorise SIHL to debit my account with SIHL with the said charges as and when the same becomes due for payment and I hereby undertake to pay the same immediately on demand made by SIHL. I / We hereby authorised you to charge interest @ not more than 24 % p.a. on the non-payment of Annual Maintenance Charge (AMC).

19) My attorney / SIHL shall not be liable for any loss that may result from failure inability in electronic connectivity of rejection of my application for any reason whatsoever.

20) I have read & received copies of account opening documents i.e. Client Registration Form (KYC), Risk Disclosure Document, Rights and Obligation of members, Power of Attorney, authorised persons and clients, guidance note, ECN Declaration and other documents executed by me.

21) Issuance of contracts, statement accounts for funds & securities and other documents in digital format:

a. Pursuant to the terms of the client registration form entered into between us, I hereby agree and give consent to accept the contract notes and/or statement accounts for funds & securities and / or any other documents for transactions carried on by me with/through Shah Investor's Home Ltd, in digital form on the email id registered with you.

b. I also authorize to send any other important notices and communications including changes in the terms and conditions to the email id mentioned in this mandate letter.

c. I undertake to check the contract notes and bring the discrepancies to Shah Investor's Home Ltd. through notice within 24 hours of issuance of the contract notes. My non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.

d. Digital contract notes / any statements/circular / notice or any other document issued and sent to the registered email id by Shah Investor's Home Ltd, are subject to the terms and conditions specified herewith shall be binding on me.

e. This instruction, to issue digital contract note / statement of funds and securities other important announcement / communication/notices, is applicable with immediate effect.

f. I am bound / I agree to intimate you any change in the e-mail id.

g. I hereby accept to the terms and conditions as specified herewith.

TERMS AND CONDITIONS

a. The Digital Contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.

b. Digital Contract notes will be mailed to the E-mail address provided to us in the format as may be prescribed by the Exchanges from time to time.

c. Digital Contract notes will also be available at U R L <https://www.sihl.in>

d. Clients can view the Digital Contract notes on U R L by using the username & password.

e. The digital contract notes will be archived at an interval of 15 days. If the client intends to view the digital contracts notes for a period prior to 15 days client may request for the same in writing.

f. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.

g. Discrepancies, if any, should be sent to the branch or to E-mail : helpdesk@sihl.in within 24 hours of issuance of digital contract notes.

OTHER COMMUNICATION (such as Statement of Funds and Securities / Important announcements and notices)

h. All Other communication shall be emailed to client at the email id given by the client

i. In case of Statement of Funds and Securities, Client will have time to report the discrepancies within 7 days of the issuance of the Statement.

j. In case of Important Announcement and Notices, the client will have to raise the query within the time specified in the respective communication. If the client is not able to respond within the time specified, it shall be assumed that client has taken the note of the communication and he does not have any objection and/or query on the said communication.

k. Feedback or objections may be raised by sending an email to helpdesk@sihl.in or any other specified email mentioned in the communication.

First Holder Signature	Second Holder Signature	Third Holder Signature
		

OTHER CLAUSES

- l. Any changes in the above terms and conditions shall be intimated to client from time to time through an email or letter.
- m. Non-bouncing of email shall be considered as a valid delivery to the client and stock broker shall not be responsible for the consequences thereof.
- n. Non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the e mail id of the client.

22. Authority to debit the Account opening Charges for offline Trading Account: I hereby authorize you to debit the Trading account maintained with you for the account opening charges for offline trading account. Any such sum be debited to my account shall be binding on me.

23. Authority to Debit the Demat Account operating charges: I have trading account as well as Demat account with you. I find it extremely inconvenient to give cheques against your depository bills. For the convenience of payment of all the charges pertaining to my Demat Account, I hereby authorise you to debit the trading account maintained with you for the debit charges payable to you as Depository Participant for providing depository services. Any such sum debited to my account shall be binding on me.

24. INVESTMENTS OR ANY OTHER ADVICE:

- a. The Client agrees that the Stock Broker shall not be required to provide the client with any form of legal, tax, investment or accounting related advice or advice regarding the suitability or profitability of a security or investment.
- b. The client agrees that none of these services available on the web-site or through any literature or brochure issued by the Stock Broker shall amount to investments advice on the part of the Stock Broker.
- c. The client also acknowledges that the Stock Broker's employees are not authorized to give any such advice and that the client will not solicit or rely upon any such advice from the Stock Broker or any of its employees.
- d. The client agrees that in the event of the Stock Broker or any employee or official of the Stock Broker providing any information, recommendation or advice to the client, the client may act upon the same at the sole risk and cost of the client and the Stock Broker shall not be liable or responsible for the same.
- e. The Stock Broker, its officers, directors, partners, employee's agents Authorized Person, Sub-Brokers, Technical Analysts will have no liability with respect to any investment decision or transaction of the client.

25. No failure or delay by either party to exercise any right, power or privilege hereunder shall operate as a waiver nor shall any single or partial exercise of any right, power or privilege preclude any other or further exercise thereof or the exercise of any other right, power or privilege as herein provided.

26. I shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

27. Trading Terminal / Web based system / Mobile App based system (Repitrade) Access Charges: I hereby agree to the terms and conditions for the Repitrade Access Charges, namely: You are authorized to debit my account maintained with you, an amount as specified by you from time to time on a monthly basis, towards Access Charges for Repitrade.

I understand that this Access Charges will be debited to my account at the beginning of the next month, in the event that net brokerage generated from the transactions carried on by me in the previous month is below a specified amount.

You are also authorized to deactivate my Repitrade account in the event of you not being able to recover the Access Charges due to you or due to any other terms and conditions imposed by you for the access of Repitrade.

I understand that, in case, my Repitrade account is deactivated due to non-payment of Access Charges, I will contact your dealer to place offline trades.

I agree to intimate the change of e-mail id as per your KYC update procedure.

I agree and bind myself to any of the terms and conditions, as may be imposed by you from time to time, for the usage of Repitrade Access.

I understand and confirm that the payment of access fees does not amount to guarantying connectivity or uptime in any manner. Any entries passed by you in accordance with this authorization shall be binding on me.

Signature of Client			
Date:		Place:	

Declaration

(NON-MANDATORY)

I (Name) _____ an individual / a sole proprietary concern having my / our residence at _____

have/has registered with you as client and executed Client Registration Form, Risk Disclosure Documents, Rights and Obligation, policies and procedures etc. for dealing in Capital Market Segment and/or Futures and Options Segment, CD segment of National Stock Exchange of India Limited (NSE) and Bombay Stock Exchange Limited (BSE), and MCX Stock Exchange Ltd. (NSE, BSE, and MCX-SX collectively known as Exchange) on NSE-Cash, BSE-Cash.

I hereby declare that I am a regular investor in the stock markets in India. I am conversant with the laws, practices, rules, regulations, guidelines, circulars, etc. prescribed by the Securities and Exchange Board of India (SEBI) and National Stock Exchange of India Limited (NSE) and Bombay Stock Exchange Limited (BSE), MCX Stock Exchange Ltd.(MCX-SX).

I hereby further declare that I am holding the shares in my demat account no. _____ with DP SIHL

I hereby further declare that I will not give any third party shares for settlement of my obligations to the Exchange.

I hereby further declare that I will not receive or give any monies in cash or in kind for completing the settlement obligations to the Exchange.

I hereby further declare that I am aware of the illegal practices that are prevalent in the Stock Market.

I hereby further declare that I will not carry out any unfair trade practices such as Synchronized deals, Structured deals, Circular Trading in the Capital Market.

I hereby further declare that I/We will not place any order on the Exchange which will reflect as an arrangement for profit or loss transactions. All the orders placed on the exchange will be in the normal market where there is corresponding underlying securities positions in the cash or futures segment of the respective Exchange.

I am aware that :-

(A) Section 11 of the SEBI Act, 1992 read with 11B inter alia prescribed that

(a) Without prejudice to the provisions contained in sub-section (1) (2) (2A) and (3) of 11B, the Board may, by an order for reasons to be recorded in writing, in the interests of investors or securities market, take any of the following measures, either pending investigation or inquiry or on completions of such investigation or inquiry, namely:-

(1) Restrain person from accessing the securities market and prohibit any person associated with securities market to buy, sell or deal in securities.

(B) Section 4 Prohibition of manipulative, fraudulent and unfair trade practices

(a) Without prejudice to the provisions of regulation 3, no person shall indulge in a fraudulent or an unfair trade practices in securities.

(b) Dealings in securities shall be deemed to a fraudulent or an unfair trade practices if it involves fraud and may include all or any of the following namely:-

1. indulging in an act which creates false or misleading appearance of trading in the securities market;
2. dealing in a security not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of such security for wrongful gain or avoidance of loss;
3. advancing or agreeing to advance any money to any person thereby inducing any other person to offer to buy any security in any issue only with the intention of securing the minimum subscription to such issue;
4. paying, offering or agreeing to pay or offer, directly or indirectly, to any person any money or money's worth for inducing such person for dealing in any security with the object of inflating, depressing, maintaining or causing fluctuation in the price of such security;
5. any act or omission amounting to manipulation of the price of a security;
6. entering into a transaction in securities without intention of performing it or without intention of change of ownership of such security;
7. selling, dealing or pledging of stolen or counterfeit security whether in physical or dematerialized form;

I hereby further declare that I will not indulge either directly or indirectly in any of the above mentioned fraudulent or unfair trade practices either individually or in concert with other persons/entities. In the event of any of the above fraudulent or unfair trade practices is noticed by the Exchange or Regulatory Authorities, then I shall be solely responsible for such acts as noticed and you shall not be responsible for my illegal and fraudulent and unfair trade practices in the capital market.

I hereby give this declaration to you without any coercion, with sound mind and voluntarily to you which shall be part of my Client Registration Form and Member Client Agreement executed on the dates mentioned therein.

Signature of Client			
Date:		Place:	

22. Demat Account Opening - NSDL

I/ We request to open a Depository Account in my / our name as per the following details. Date :

22a. Type of Account

Status		Sub-status	
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22b. Account Holder Details

Name Of The First Holder			
PAN		UID	
Name Of The Second Holder			
PAN		UID	
Name Of The Third Holder			
PAN		UID	
Nationality			

22c. NSDL - Details of Guardian (In case the account holder is minor)

Name of Guardian (Mr./Mrs./Ms.)			
Relationship		PAN	

22d. NSDL - Additional Detail

Account statement requirement	ELECTRONIC FORM
I/We instruct the DP to receive each and every credit in my / our account	YES
I/We wish to receive dividend/interest directly into my/our Bank A/c through ECS (If not marked, the default option would be 'Yes'. ECS is mandatory for locations notified by SEBI from time to time.)	YES
I/We request you to send Electronic Transaction-Cum-Holding Statement through E-mail (Please mention E-mail ID in KYC form)	YES
SMS Alert Facility on Mobile Number as given in KYC Form (Mandatory, If you have given PoA. If POA is not granted and you do not wish to avail of this facility, cancel this option)	YES
I/We would like to instruct the DP to accept all the Pledge instructions in my / our account without any other further instruction from my / our end.	YES
I/We would like to share the E-mail ID with the RTA.	YES
I/We would like to receive the annual report (If not marked, default option will be 'Physical')	EMAIL

22e. Declaration

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

	Sole/First Holder	Second Holder	Third Holder
Signature			

Nominee Form for Demat Account and Trading Account

I/We the Joint Holder / Guardian (in case of minor) hereby declare that :

I/We do not wish to nominate anyone for this Demat/Trading Account.

I/We nominate the following person who is entitled to receive security/funds balances lying in my account, particulars whereof are given below, in the event of my / our Death.

1st Nominee Details

Name of Nominee : Mr./Ms./Mrs.		
PAN		
DOB (Mandatory in case of minor)		
Relationship with the BO (If any)		

Address Of Nominee

Address Line1*			
Address Line2*			
Address Line3*			
City/Town/Village*		State	
Country		Pincode	
Phone/Mobile		Email	


As the Nominee is a Minor as on Date, to receive the securities and fund in this account on behalf of the nominee in the event of the death of the all joint holders, I / We appoint following person to act as Guardian

Name Of Guardian : Mr./Mrs.		
PAN		
Address Line 1		
Address Line 2		
Address Line 3		
City/Town/Village*		State*
Country*		PIN Code*
Phone		Mobile
Email		Relationship of Guardian with Nominee
Percentage of Allocation of Securities*		

This Nomination shall supersede any prior Nomination made by me / us and also any testamentary document executed by me / us.

Signature of Witness for Nomination




Name of the Witness	Address	Signature of Witness And Date
1.		
2.		

First Holder		
Second Holder		
Third Holder		

Date:		Place:	
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23. Declaration

I/we acknowledge the receipt of copy of document, "Rights and Obligations of the Beneficial Owner and Depository Participant". The rules and regulations of the Depository and Depository Participants pertaining to an account are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting. I am/we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.

Client Signature			
	Sole/First Holder	Second Holder	Third Holder
Sign of Client			

24. To Opt for RGESS/To Opt Out BSDA/To Opt BSDA

To Opt For Rajiv gandhi equity Saving scheme(RGESS)

I / We Wish to Enroll This account for RGESS. I / we Declare that I am / we are Eligible to avail this Scheme.

To Opt-Out Basic Service Demat account(BSDA)

I/We have been informed by you that our beneficiary account may be eligible for BSDA conversion as per rules, regulations and provision of SEBI. However after being informed of the charge structure and various other considerations I /We have to request you that I/We do not want to opt for BSDA conversion / selection for our beneficiary demat account with you. I/We have been made aware of requirement of Rs. 500/- (Rupees Five Hundred Only) refundable deposit to convert account to BSDA and I /We have decided to inform you in writing whenever I/We would want to convert/opt my/our account to BSDA.

To Opt Basic Service Demat Account(BSDA) Please Tick Any Of the following Scheme

Please Refer the charges Structure For BSDA Service On Page No - 25




BSDA SCHEME	Description	Tick
BSDA SCHEME-A	<=50,000/-(No AMC*)	<input type="checkbox"/>
BSDA SCHEME-B	<50,000/- to 2,00,000/- AMC Rs. 100/-	<input type="checkbox"/>

Note:

1. At Any time During the year, if the account valuation increases from Rs.50,000 that Account Will Be Moved to BSDA-B Scheme Automatically and Debit Note For 100/- Will raised in the client Account immediately. Similarly if the holding valuation increase from Rs.2,00,000 For BSDA -B account holders, their Account will be converted to normal Accounts automatically and Debit note For the Difference of Normal AMC will be raised.
2. Transaction Statements Shall be sent ONCE at the end of each quarter as Opposed to every month For regular accounts.
3. Holding statements (in case of no transaction in the account) will be sent ONCE at the end of each year as opposed to once at the end of each quarter.
4. Mobile Number Registration will be Compulsory for BSDA Accounts.

Note:

1. All Communication Shall be Sent at the Address Of the First Holder Only.
2. Thumb Impression and signature other than English Or Hindi Or any Of the Other Language not Contained in the 8th Schedule of the Constitution of India Must be Attested by a Magistrate or a notary Public or a special Executive Magistrate.
3. Instructions Related To Nomination, are as below;
 - (i) The Nomination Can be made Only by Individuals Holding Beneficiary Owner Account On their Own Behalf Singly Or Jointly. Non-Individuals including Society, Trust, body Corporate, Partnership Firm, karta of Hindu Undivided Family, holder Of Power of attorney cannot nominate. If the Account is held jointly all joint holders will sign The Nomination form.
 - (ii) A minor Can Be Nominated. In that event, the name and address of the guardian of the minor nominee Shall be Provided by the beneficial Owner,
 - (iii) The Nominee shall not be a trust, society, body Corporate, partnership firm, karta of hindu undivided family or a power of attorney holder. A non resident Indian can be a nominee, Subject to the exchange controls in force, From Time To time,
 - (iv) Nomination in respect of the Beneficiary owner Account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities,
 - (v) Transfer Of Securities in favour of nominee shall be valid discharge by depository and Participant against the legal heir,
 - (vi) the cancellation of nomination can be made by individual only holding beneficiary only owner account on their own behalf singly or jointly by the same person who made the original nomination, non-individual include society, trust, body corporate, partnership firm, karta of hindu undivided family, holder of power of attorney, cant cancel the nomination. If the beneficiary owner Account is held jointly, all joint holder will sign cancellation form,
 - (vii) on cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the nominee.
4. For Receiving Statement Of Account in Electronic Form:
 - (i) Client Must ensure the confidentiality of the password of the email account.
 - (ii) Client Must Promptly inform the Participant if the mail address has changed.
 - (iii) Client May Opt to terminate this facility by giving 10 days Prior notice. Similarly, participants may also terminate this facility by giving 10 days Prior notice.
5. Strike off whichever is not applicable.

Sole/First Holder	Second Holder	Third Holder
		

Account Opening Charges[Year 2021-2022]



NSDL

REGD. Office: "SIHL HOUSE",Opp.Ambavadi Jain Temple,Nehrunagar Cross Road,Ambavadi,Ahmedabad-380015
Phone:+91-7941072222 **Fax:**+91-7930029029,26405001,02
Depository Participant With NSDL(DP Id: IN 300343)

Category	For Annual Maintenance Charges Paid Till May 15, 2021			For Annual Maintenance Charges Paid After May 15, 2021		
	1-Year	5-Year	10-Year	1-Year	5-Year	10-Year
Individual	350 Rs.	1400 Rs.	2350 Rs.	500 Rs.	2500 Rs.	5000 Rs.
Non-Resident Indians(NRI)	350 Rs.	-	5500 Rs.	500 Rs.	-	5500 Rs.
Corporates, Trust & Others	1200 Rs.	-	12000 Rs.	1300 Rs.	-	12000 Rs.
LMF Refundable	-	-	4000 Rs.	-	-	4000 Rs.
Note:	* Rates are Inclusive of GST at Prevailing Rates * All the Charges are Non-Refundable * Amount Rounded off to the nearest rupee * New AMC Applicable after completion 10 years					

SERVICE CHARGES

Service	Charges	Remarks
Demat	Rs 100/- Per ISIN/ Per DRF Upto 15 Certificates	* Rs 30/- per certificate on every additional certificate * Courier and consulting charges will be charged extra
Remat	Rs 200/- Per RRF For 1 Certificates(100 shares)	* Rs 50/- per certificate on every additional certificate
Transaction (Sell/Debit)	* Rs 16/- Per ISIN For Auto Pay-in * Rs 25/- Per ISIN under Lifetime * Rs 40/- Per ISIN under 1-Year and 5-Years	
Emergency Transfer	Rs 80/- Per ISIN for Market, Off-Market, Inter Depository Transfer	Timings 9:30 A.M to 10:30 A.M Pay-in Related, Same day Till 4:00 P.M From Monday to Friday and Till 2:00 P.M on Saturdays
Corporate Bond (Sell/Debit)	Rs 100/- Per ISIN Transfer	
Old Financial Years Record	Rs 100/- Per Pledge	
Pledge Creation	Rs 80/- Per Transaction	
Physical CAS Sent by Depository	Rs 12/-	Per Instance of Physical CAS Dispatch by Depository
Pledge Closure/Invocation	Rs 40/- Per Transaction	
Holding/Valuation Statement Print	Rs 10/- Per Page	* Stamp Charges Rs 50/- Per Page
Client Master Print	Rs 10/- Per Page	
Lost DIS Book Cancellation	Rs 100/-	Per Book
NDU Charges As Applicable	Rs 100/- Or Rs 0.015% On Transaction Value Whichever is Higher	Per Request

Note: Service Charges are inclusive of GST at Prevailing Rates

First Holder Signature	Second Holder Signature	Third Holder Signature
		

Note:(Conditions apply*)

1. Charge schedule is based on NSDL charge structure. (Including of GST).
2. For clearing member's, AMC will be Rs. 11,000/- + GST and actual transaction charges will be levied as per NSDL Bill.
3. We reserve the right to change the service charges with 30 days prior notice.
4. Transaction cum Holding Statement: Free of Cost every month, provided any transaction have taken place during that period OR once in a quarter.
5. **Statement & Client Master on demand shall be charged Rs. 10/-per page.**
6. Rejection of transfers shall be charged Rs. 10/-per Rejected Transfer.
7. ISIN list will be charged Rs. 10/- per copy of list.
8. Blank Demat Request Form will be charged Rs. 1/- perform.
9. On request, 10 Slips will be given free of cost on usage basis during accounting year. Than after on request of additional delivery slips, Rs. 100/-perbook of 10 slips will be levied to each Normal Accounts.
10. **Valuation report will be charged Rs. 10/-per page.**
11. Interest @13% + GST will be charged on Annual Maintenance Charges received after 30th June for FY.
12. You have to pay AMC of particular year, if you are availing LMF scheme after 15th May for accounting year.
13. For any Correction or Overwriting, Client's Signature Required.
14. For Off-Market Transaction, Transaction Value is above 5,00,000/-, provide PAN copy of all holder with self-attested.
15. **On non-receipt of DIS sent along with account opening kit after opening new Demat Account, we shall block such DIS in DPM and Back office system and destroy after two months**

	Sole/First Holder	Second Holder	Third Holder
Sign of Client			

RATE CARD FOR BSDA SERVICE

DP Name	Shah Investor's Home Limited - DP ID IN -300343
Statutory charges at the time of account opening	Nil
Advance/Deposit	Rs. 1000/- Refundable Deposit
Account Maintenance	1. For Valuation upto Rs 50,000/- Charges Nil 2. For Valuation From Rs 50,001/- to Rs 2,00,000/- Charges Rs. 118/-
Transaction Charges	Rs 70/- For Market, Off-Market, Inter-Depository Transfer
Demat	Rs.350/- per ISIN /per DRF upto 10 certificates + Rs.50/- per certificate will be charged extra on every additional certificates (Courier Charges will be Extra)
Remat	Rs. 200/-per RRF for 1 certificate (100 shares) + Rs.50/- per certificate will be charged on every additional certificate or Rs.50/- for every 100 security per part thereof whichever is higher.
Transaction (Debit)	1. Rs.70/- per ISIN for Normal Account, 2. Rs.26/- per ISIN for Auto Pay-in Accounts 3. Rs.100/- per ISIN for Emergency Transfer
Pledge Creation	Rs.110/- per ISIN
Pledge Creation confirmation	Nil
Pledge Closure	Rs.60/- per SIN
Pledge Invocation	Rs.60/-perISIN
Failed instruction charges	Rs.20/- per rejected trade
Other charges, if any	1. statement on demand - Rs.25/- Per Statement 2. Valuation Report on Demand - Rs.20/- Per Page 3. Subscription for IDEAS - Rs.50/- Per Financial Year 4. ISIN List - Rs.10/- Per copy 5. Blank Demat Request Form - Rs.1/- PEr Form 6. DIS Requisition Form - Rs.20/- Per Form 7. GST at prevailing rate is Include in all service charges

Notes:

- * Charges Schedule is based on NSDL/CDSL Charge Structure (Inclusive of GST).
- * Late Charges @ Rs 6/- Per month will be charged on AMC Received after 30 June, 2021
- * **Transaction Cum Holding statement (CAS) will sent by NSDL/CDSL every month only in case of transaction, otherwise once in six months** * For Clearing Members AMC will be Rs 11,000/- + GST and charges will be levied as Per NSDL/CDSL Bills
- * **Pay Demat AMC Online - Log on to www.sihl.in**
- * **Demat AMC Cheque should be payable in the name of "shah Investor's Home Limited"**
- * All the Rates unless otherwise Specified are Inclusive of GST

	Sole/First Holder	Second Holder	Third Holder
Sign of Client			

26. ACKNOWLEDGEMENT

To,
SHAH INVESTOR'S HOME LTD.
'SIHL HOUSE' Opp Ambawadi Jain Temple
Nehrunagar Cross Road, Ahmedabad-380015




I/We hereby acknowledge that the following documents were made available to me:

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients (Trading).
2. Rights and Obligations of Beneficial owner and Depository Participant (DP).
3. Risk Disclosure Document for Capital Market and Derivatives Segments.
4. Guidance Note - Dos and Donts for Trading on the Exchange(s) for Investors.
5. Policies and Procedures of SHAH INVESTOR'S HOME LTD. pursuant to the SEBI circular dated December 03, 2009.
6. Rights & Obligations of Clearing Member/Participant and its Client (SLBS).
7. Useful Dos and Donts for the client.
8. General Terms and Conditions governing securities Trading and Broking services of SHAH INVESTOR'S HOME LTD.
9. Terms & Conditions for Basic Services Demat Account.
10. Terms & Conditions for Easi facility.
11. Format for Power of Attorney.
12. Tariff Sheet as applicable to Demat Account.

I/We understand that the Voluntary documents executed by me/us are out my/our free will.

I/We hereby confirm that I/We have clearly understood and agree to abide by the Policies and Procedures described by SHAH INVESTOR'S HOME LTD. I/We have read and understood the Terms and Conditions governing securities trading and broking services of SHAH INVESTOR'S HOME LTD. as mentioned in para 1 to 18 and agree to abide by the same. I/We also understand and agree that these Policies and Procedures as well as Terms and Conditions can be changed by SHAH INVESTOR'S HOME LTD. from time to time with prior notice of 15 days through email.

I/We am/are aware that the login Id and password of my trading account will be sent on my Email ID & alerts on Mobile no. furnished in KYC form and any changes thereof.

Client Signature			
	Sole/First Holder	Second Holder	Third Holder
Sign of Client			

ANNEXURE - 4

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 3 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).

Client Information

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.
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

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 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.

First Holder Signature	Second Holder Signature	Third Holder Signature
		

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 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.

First Holder Signature	Second Holder Signature	Third Holder Signature
		

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 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.

First Holder Signature	Second Holder Signature	Third Holder Signature
		

ANNEXURE - 5

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 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.

First Holder Signature	Second Holder Signature	Third Holder Signature
		

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, website 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.

First Holder Signature	Second Holder Signature	Third Holder Signature
		

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.

First Holder Signature	Second Holder Signature	Third Holder Signature
		

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.

First Holder Signature	Second Holder Signature	Third Holder Signature
		

ANNEXURE - 6

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-www.bseindia.com, www.nseindia.com, www.mcx-sx.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:
 - 13.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.
 - 13.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.
 - 13.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.
 - 13.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 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.

First Holder Signature	Second Holder Signature	Third Holder Signature
		

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 Signature			
	Sole/First Holder	Second Holder	Third Holder
Sign of Client			

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause:

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI From Time to time.

Beneficial Owner information:

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities




11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/Depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the OP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

First Holder Signature	Second Holder Signature	Third Holder Signature
		

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the OP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,

1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing! Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the OP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

23. The OP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the OP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and/or SEBI

30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

31. 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 Depository, where the Beneficial Owner maintains his/her account, 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 Signature			
	Sole/First Holder	Second Holder	Third Holder
Sign of Client			