



CORPORATE MEMBER :
NATIONAL STOCK EXCHANGE OF INDIA LTD.
BOMABY STOCK EXCHANGE LIMITED

Regd. Office : Unit No. L, Block No. 3, 3rd Floor, 87, Dum Dum Road, Club Town Estate, Kolkata - 700 074

Corp. Office : 3-Ashok Chambers, Gr. Floor, Bharuch Street, Masjid Bunder (East), Mumbai - 400 009.

Tel.: +91-22-4213 5800 / 2348 2800/ 6631 5395 • Fax: +91-22- 2348 4802 • E-mail : info@transglobalsec.in
Investor Grievances : investors@transglobalsec.in • Web. : www.transglobalsec.in

CLIENT ENROLLMENT FORM

CLIENT NAME : _____

CLIENT CODE : _____

NAME OF INTRODUCER : _____



Member : National Stock Exchange of India Ltd.
Bombay Stock Exchange Limited

SEBI REGISTRATION NO. NSE :

Cash : INB 231149437 Dated 20th Dec. 2000
F & O : INF 231149437 Dated 24th Apr. 2002
CD : INE 231149431 Dated 23rd Aug. 2010

CM / TM Code :

NSE 11494
BSE 3152

SEBI REGISTRATION NO. BSE :

Cash : INB 011149433 Dated 08th Sept. 2006

SEBI REGISTRATION NO. CDSL :

IN-DP-CDSL-359-2006 Dated 17th May 2006

CDSL DP ID : 45300

- Registered Office Address : Unit No.I. Block No.3, 3rd Floor, 87,
Dum Dum Road,
Club Town Estate, Kolkata – 700 074.
- Contact Details : Ph : 022- 4213 5800/ 2348 2800/ 66315395
Fax : 022- 2348 4802
Website : www.transglobalsec.in
- Corp. Office Address : 3-Ashok Chambers, Gr.Floor,
Bharuch Street, Masjid Bunder (East),
Mumbai - 400 009.
- Contact Details : Ph : 022-4213 5800/ 2348 2800/ 6631 5395
Fax : 022-2348 4802
Website : www.transglobalsec.in
- Compliance Officer Details **NSE** : Name : Sanika S. Belalekar
Phone : 022-4213 5800
Mobile : 99875 17718
E-mail : sanika.belalekar90@gmail.com
- Compliance Officer Details **BSE/CDSL** : Name : Mr. Sunil Gupta
Phone : 022--4213 5800
Mobile : 98211 44958
E-mail : sunilg69@gmail.com
- CEO Details : Name : Mr. Sunil Gupta
Phone : 022--4213 5800
Mobile : 982114 4958
E-mail : sunilg69@gmail.com

For any grievance/dispute please contact M/s. TRANSGLOBAL SECURITIES LTD. at the above address or email id- investors@transglobalsec.in and Phone no. 91-22-42135800 In case not satisfied with the response, please contact the concerned exchange at bseindia.com and Phone no. 91-22-22728097 for BSE and at nseindia.com and Phone no. 91-22-26598190 for NSE.

ANNEXURE - 1

ACCOUNT OPENING KIT

INDEX

S. No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
01	Account Opening Form	<p>A. KYC form - Document captures the basic information about the constituent and an instruction/check list.</p> <p>B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.</p>	1-3 4-11
02	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	12-17
03	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	18-21
04	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	22-23
05	Policies and Procedures	Document describing significant policies and procedures of the stock broker <i>(to be added by the stock broker)</i> .	24-28
06	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) <i>(to be added by the stock broker)</i> .	29
07	DP Accounting Opening Form	Individual & Corporate, Demat Charges, DP Agreement	30-41
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
08	Running Account Authorisation	Through this document client gives authorization to Member for maintaining running account of funds / securities and retain funds / securities for margin and other obligation.	43
09	Electronic Contract Note (ECN) Authorisation	Through this document client gives authorisation to Member for issue of ECN , Account Statement and other communications by e-mail.	44
10	Adjustment in different Exchanges / Segment Authorisation	Through this document client gives authorisation to Member for adjustment of balance in different Exchanges / Segments.	45-46
11	Check list of Documents and Acknowledgement	Checklist of all the details & documents submitted with this form.	47

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

B. Proof of Identity (POI) : - *List of documents admissible as Proof of Identity:*

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

C. Proof of Address (POA): - *List of documents admissible as Proof of Address:*

*(*Documents having an expiry date should be valid on the date of submission.)*

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.

6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

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



Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

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

B. ADDRESS DETAILS

1. Address for correspondence :
- City/town/village: _____ Pin Code: _____ State: _____ Country:
2. Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____ Fax: _____ Email id: _____
3. Specify the proof of address submitted for correspondence address: _____
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant):
- City/town/village: _____ Pin Code: _____ State: _____ Country:
5. Specify the proof of address submitted for permanent address:

C. OTHER DETAILS

1. Gross Annual Income Details (please specify):

Income Range (PA) <1Lacs 1-5 Lacs 5-10 Lacs 10-25 Lacs > 25 Lacs or

Net-worth as on (date) _____ (_____) (Net worth should not be older than 1 year)
2. Occupation (please tick any one and give brief details): Private Sector/ Public Sector/ Government Service/Business/ Professional/ Agriculturist/ Retired/ Housewife/ Student/ Others
3. Please tick, if applicable: Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)
4. Any other information:



DECLARATION

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

Signature of the Applicant

Date: _____
(DD/MM/YYYY)

FOR OFFICE USE ONLY

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

(_____)
Signature of the Authorised Signatory

Date _____

Seal/Stamp of the intermediary

PHOTOGRAPH
Please affix your
recent passport
size photograph
and sign across it

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Date of incorporation: _____ (dd/mm/yyyy) & Place of incorporation: _____
3. Date of commencement of business: _____ (dd/mm/yyyy)
4. a. PAN: _____ b. Registration No. (e.g. CIN): _____
5. Status (please tick any one):
Private Limited Co./Public Ltd. Co./Body Corporate/Partnership/Trust/Charities/NGO's/FI/ FII/HUF/AOP/
Bank/Government Body/Non-Government Organization/Defense Establishment/BOI/Society/LLP/ Others (please
specify)-----

B. ADDRESS DETAILS

1. Address for correspondence: _____
_____ City/town/village: _____ Pin Code: _____ State: _____ Country: _____
2. Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____ Fax: _____ Email id: _____
3. Specify the proof of address submitted for correspondence address: _____
4. Registered Address (if different from above) _____
_____ City/town/village: _____ Pin Code: _____ State: _____ Country: _____
5. Specify the proof of address submitted for registered address: _____


C. OTHER DETAILS

1. Gross Annual Income Details (please specify): Income Range (PA) <1Lacs 1-5 Lacs
 5-10 Lacs 10-25 Lacs > 25 Lacs-1 crore > 1 crore
2. Net-worth as on (date) (dd/mm/yyyy): _____ (*Net worth should not be older than 1 year)



Name, PAN, Residential address and photographs of Promoters/Karta/Trustees and whole time directors

Information about the promoter/key management person/parteners for non individual clients :


Name Mr./Mrs./Ms. _____
(Filled by Authorised Partner / Director)
Date of Birth ____ / ____ / ____ Gender Male Female 
* Correspondence Address _____
City _____ State _____ Country _____
Pin Code _____ Tel (Residence) _____ Fax _____
Tel. (Office) _____ Mobile : _____ Designation _____
Eq Stake in the entity (%) _____ Email _____
IT Pan No. _____ Educational Qualification _____ Residential Status Resident/NRI/Others


Please affix
and sign
across the
Photograph
⊗

Bank Account Particulars

Bank Name _____ Address _____
Telephone No. (s) _____ Account No. _____
Nature of Account _____ Date of Opening A/c. _____
Please submit a letter from the banker certifying account number and the period from which this account is in operation

Please sign this Declaration : The Information furnished above is true to the best of my knowledge and belief and I undertake to inform you of any changes therein immediately in writing. I am agreeable to enter into an agreement to abide by your terms and conditions. In case if any of the above information is found to be false or untrue than I am to be liable for it.

Name _____ Place _____ Date _____
Signature of key person (with seal) 

Name Mr./Mrs./Ms. _____
(Filled by Authorised Partner / Director)
Date of Birth ____ / ____ / ____ Gender Male Female 
* Correspondence Address _____
City _____ State _____ Country _____
Pin Code _____ Tel (Residence) _____ Fax _____
Tel. (Office) _____ Mobile : _____ Designation _____
Eq Stake in the entity (%) _____ Email _____
IT Pan No. _____ Educational Qualification _____ Residential Status Resident/NRI/Others

Please affix
and sign
across the
Photograph
⊗




Bank Account Particulars

Bank Name _____ Address _____
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Please sign This Declaration : The Information furnished above is true to the best of my knowledge and belief and undertake to inform you of any changes therein immediately in writing. I am agreeable to enter into an agreement to abide by your terms and conditions. In case if any of the above information is found to be false or untrue than I am to be liable for it.

Name _____ Place _____ Date _____

Signature of key person (with seal)  _____

Please Enclose Copy of Following Copy of latest Income Tax Return Copy of Pan Card
 Salary Certificate Bank Account Proof
 Documents of Key Persons Proof of Residence (Copy of Passport/Ration card/Driving Licence/Voters ID Card)

Please Provide the Details of Authorised Signatory in the aforesaid Format

DIN/UID of Promoters : Partners _____ Karta _____
 Whole time Directors _____

Please tick, if applicable, for any of your authorised signatories/Promoters/Partners/Karta/Trustees/whole time directors:

Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)
 Any other information _____

DECLARATION

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



Name & Signature of the Authorised Signatory

Date: _____
 (DD/MM/YYYY)

FOR OFFICE USE ONLY

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

(_____)
Signature of the Authorised Signatory

Date _____

Seal/Stamp of the intermediary

TRADING ACCOUNT RELATED DETAILS**A. BANK ACCOUNT(S) DETAILS**

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current/ Others-In case of NRI/NRE/NRO	MICR Number	IFSC code

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary name	DP ID	Beneficiary ID (BO ID)

C. TRADING PREFERENCES

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

Exchanges		Segments		
Name of the Exchange -1	Cash		Currency Derivative	
	F&O		Name of other Segments, if any	
Name of the Exchange -2			Depository Participant	



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

D. PAST ACTIONS

- Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- If client is dealing through the sub-broker, provide the following details:
Sub-broker's Name: SEBI Registration number:
Registered office address: Ph: Fax: Website:
- Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)
Name of stock broker:.....Name of Sub-Broker, if any:.....
Client Code: Exchange:
Details of disputes/dues pending from/to such stock broker/sub- broker:.....

F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :
- Specify your Email id, if applicable :

- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):
- Number of years of Investment/Trading Experience:
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:
- Any other information:.....

G. INTRODUCER DETAILS (optional)

Name of the Introducer

(Surname) (Name) (Middle Name)

Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify.....

Address and phone no. of the Introducer:

Signature of the Introducer :.....

H. NOMINATION DETAILS (for individuals only)

I/We wish to nominate	I/We do not wish to nominate
Name of the Nominee :	Relationship with the Nominee:.....
PAN of Nominee :	Date of Birth of Nominee
Address and phone no. of the Nominee :.....	

If Nominee is a minor, details of guardian:

Name of guardian : Address and phone no. of Guardian:

Signature of guardian

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

Name -----	Name -----
Signature -----	Signature -----
Address -----	Address -----

DECLARATION

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

Place -----
Date -----

(-----)
Signature of Client/ (all) Authorized Signatory (ies)

FOR OFFICE USE ONLY

UCC Code allotted to the Client: -----

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

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

.....
Signature of the Authorised Signatory

Date

Seal/Stamp of the stock broker

INSTRUCTIONS/ CHECK LIST

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

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 month
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

**In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

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

ANNEXURE – 4

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS *as prescribed by SEBI and Stock Exchanges*

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

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.

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 there under 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.
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 there under 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 there under 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.

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.



ANNEXURE – 5

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

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

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

2.1 Effect of "Leverage" or "Gearing":

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

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

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

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

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

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

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

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

4. GENERAL

- 4.1** The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2** The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.



ANNEXURE-6

GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.exchange.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 Ranging 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 a running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.

- c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.

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.

POLICIES & PROCEDURES

I) ORDERS FOR PENNY STOCKS / ILLIQUID STOCKS / UNREALISTIC PRICES

Any order placed by the client in a stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads and small capitalization which are typically known as penny stocks is liable to be rejected at the sole discretion of the Company. The Company may, depend on the market condition and RMS policy of the company, in its sole discretion and without disclosing any reasons, restrict trading in certain scripts or stock future & options and losses if any on account of such refusal shall be borne by client only. The details of such scripts may be disclosed by the Company on the web-site. The Exchange also releases list of said shares/ scripts from time to time. However, trading in said scripts may be allowed on special request only and at sole discretion of the company. Also the company has right to levy extra margin & to put some other terms & conditions on trading of said stocks.

Also any order placed by the client wherein the price is substantially different from the prevailing market price of the scrip is liable to be rejected at the sole discretion of the Company.

II) SETTING-UP CLIENT'S EXPOSURE LIMITS

The Company may, from time to time, impose and vary limits on the orders that the client can place (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 Company may vary or reduce the limits or impose new limits immediately, without any prior notice, on the basis of the Company's risk perception and other factors considered relevant by the Company including but not limited to limits on account of Exchange / SEBI directions / limits (such as broker level / market level limits in security specific / volume specific exposures etc.). The Company shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the Company's trading system on account of any such variation, reduction or imposition of limits. The Company 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 Company, or it may subject any order placed by the client to a review before its entry into the trading systems any 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 the Company / Exchange / SEBI and any other reasons which the Company may deem appropriate in the circumstances. Any losses on account of such refusal or due to delay caused by such review shall be borne exclusively by the client alone.

Notwithstanding above, the Company shall have absolute discretion to reduce the volume of business of the Client or restrict dealings by the Client without any prior notice to the Client having regard to, i) The volatility in the market; ii) In view of impending price sensitive announcements; iii) Any restrictions in relation to volume of trading/ outstanding business or margins stipulated by any Exchange; iv) Political instability in the country; v) Presence of any other price sensitive factors; vi) Failure by the Client to maintain the applicable collateral/ margin; and/ or vii) delays by the Client in meeting its obligations/ dues relating to the business/ dealings done under this Agreement or pursuant to any other agreement between the Client and the Stock Broker, including but not limited to the general terms and conditions.

The Company have margin based RMS system. The CLIENT will be permitted to trade up to a pre-determined number of times of the MARGIN (the "Multiple") and the quantum of the Multiple on the margin shall be decided at sole option or discretion of the Company in accordance to the business policy of the Company and directions of the Exchange or Clearing Corporation or SEBI. The CLIENT has to abide by the exposure limits set by the Company from time to time. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security as per VAR based margining system of the stock exchange and / or margin defined by RMS based on their risk perception. Client may take benefit of "credit for sale" i.e. benefit of share held as margin by selling the same by selecting Delivery option through order entry window on the trading platform, the value of share sold will be added with the value of deposit and on the basis of that client may take fresh exposure. In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin

III) BROKERAGE RATE AND OTHER CHARGES

The Client shall pay to the Company, brokerage, Exchange related charges, statutory levies and any other charges (including but not limited to security handling charges on settlement) as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Company renders to the Client. The Company shall not charge brokerage more than the maximum brokerage permissible as per the rules and regulations and bye laws of the Exchange / SEBI. The brokerage shall be paid in the manner intimated by the Company from time to time, including as a percentage of the value of the trade or as a flat fee or otherwise, together with the other levies and service tax as may be applicable from time to time on the same. The Client shall pay any applicable taxes including securities transaction taxes, duties and levies as may be levied on the transaction from time to time in addition to the brokerage.

The Company shall debit the charges of the depository participant for the trades and the bank charges for the realization of cheques etc. to the CLIENT's account.

IV) IMPOSITION OF DELAYED PAYMENT CHARGES / PENALTY

Without prejudice to margin funding guidelines issued by SEBI, any amounts, including but not limited to pay-in, margin obligation, which are overdue from a Client towards trading either in the cash or derivatives segment or on account of any other reason to the Company or to any of the group companies or associate companies, will be charged delayed payment charges at the rate of 2% per month or part thereof or such other rate as may be determined by the Company from time to time. The said charges will be directly debited to the account of the Client at the end of each month/such other interval as may be decided by the Company.

The Company will also be liable to pay delayed payment charges to the client for not making payment of its obligation on time, as per the exchange requirement / schedule at the rate of 2% p.m., except in the cases covered by the "Running Account Authorisation" given by the client to the Company.

The Company 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 Company 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 and the said amount will be directly debited to the account of the Client.

V) CLOSE OUT- RIGHT TO SELL CLIENT'S SECURITIES OR CLOSE CLIENT'S POSITION WITHOUT GIVING NOTICE TO THE CLIENT.

A). In case of Purchases:

Notwithstanding the margin position in case of purchase on behalf of Client, the transaction may be close out by selling the securities, in case the Client fails to make full payment to the Company within two days of trade execution or before pay-in-day (as fixed by stock exchange for the concerned settlement period), whichever is earlier, unless the Client already has an equivalent credit with the Company. The loss incurred in this regard, if any, will be met from the margin money of the Client. The Client shall make good the shortfall, if any, immediately on being intimated of the shortfall by the Company.

B) In case of Sale:

Notwithstanding the margin position in case of sales on behalf of Client, the contract may be closed out by effecting purchases if the Client fails to deliver the securities sold within two days of the trade execution or before delivery day (as fixed by stock exchange authorities for concerned settlement period), whichever is earlier. Loss on transaction, if any, will be deductible from the margin money of the Client. The Client shall make good the shortfall, if any, immediately on of being intimated of the shortfall by the Company.

C). Liquidation / Insolvency/ Death:

In 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, the Company may close out the transaction of the Client and claim losses, if any , against the estate of the Client. The Client or his successors, heirs and assigns shall be entitled to any surplus which may result there from.

D). Non payment of margin and other amounts:

Without prejudice to the Company's other rights (including the right to refer a matter to arbitration), the Company shall be entitled to liquidate / close out all or any of the Client's positions without giving notice to the client for non-payment of margins or other amounts including the pay-in obligation, 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.

The client shall ensure timely availability of funds / securities in form and manner at designated time and in designated bank and depository account(s), for meeting it's pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations / closing out shall be charged to & born by the client. In cases of securities lying in margin account / client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus, Stock split, Right issue etc will be given when the shares is actually received in the Company's designated demat account.

In case the payment of the margin / security is made by the client through a bank instrument, the Company shall give credit for the same only on the realization of the funds from the said bank instrument etc. Where the margin / security is made available by way of securities or any other property, the Company is empowered to decline its acceptance as margin / security & / or to accept it at such reduced value as the Company may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the Company may deem fit in its absolute discretion.


The Company 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-TM) percentage reaches or crosses stipulated margin percentage, whichever is earlier. The Company will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client shall bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).


VI) SHORTAGES:

The Company 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 Company from the Exchange, the Clearing corporation / Clearing house or other company or entity liable to make the payment and the client has fulfilled it's obligations first.

In case of purchase of securities by the Client, some times the Company may be unable to deliver the securities to the said purchaser on the pay out day due to non receipt of the securities from the stock exchange(s) or in case of non receipt of the said securities from another Client of the Company who has sold the securities against the said purchase transaction. In cases of short delivery from the exchange, the securities shall be delivered to the purchaser on the deliveries received from the exchange and in cases of short delivery due to non receipt of the said securities from another Client of the Company, the securities shall be delivered to the purchaser as per the policy of the company or may be closed out at the rate as worked out in accordance with applicable rules or such other terms or rate as amended from time to time.

Auction or close out in case of Market Shortage: If the securities are not received on or before settlement date or the securities received are not in deliverable state or due to any reason whatsoever, Client is not able to deliver securities and position is deliverable in market, these securities will be auctioned or closed out as per the rules of the concerned exchange. Consequently, Client will be responsible for any resulting losses and all associated cost including penalty levied by the exchange.

Close out in case of Internal Shortages: If the Client has short delivered any securities against his/ her/its pay-in obligation which resulted into internal shortage i.e. buy position of another client of the Company and could not be auctioned in the market then the Short delivering client is debited by an amount equivalent to ___%  above of closing rate of day prior to Pay-in / Pay-out Day. The securities delivered short are purchased from market on T+2 day and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.

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+2 day or Auction day on Exchange + ___%  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.

In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis 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.

VII) SITUATIONS UNDER WHICH A CLIENT MAY NOT ALLOWED TO TAKE FURTHER POSITION OR THE EXITING POSITION MAY BE CLOSED

The Company have margin based RMS system. Client may take exposure up to the amount of margin available with us. Client may not be allowed to take position in case of non-availability / shortage of margin as per our RMS policy of the company. The existing position of the client may also liable to square off / close out without giving notice due to shortage of margin / non making of payment for their pay-in obligation/outstanding debts as stated in para V - CLOSE OUT herein above.

VIII) TEMPORARILY SUSPENDING OR CLOSING ALIENT ACCOUNT AT CLIENT'S REQUEST

On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares / ledger balance settlement can take place. On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

IX) DE-REGISTERING A CLIENT

The company shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- (i) If the action 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 securities or disturb the normal / proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of a legal process against the client under any law in force;
- (iii) On the death / lunacy or other disability of the Client;
- (iv) If the client being a partnership firm, has any steps taken by the Client and / or its partners for dissolution of the partnership;
- (v) If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Company;
- (vi) 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;
- (vii) If the Client is in breach of any term, condition or covenant of this Agreement;
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- (ix) 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;
- (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (xi) If the Client has voluntarily or compulsorily 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;
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;


X) INACTIVE CLIENT ACCOUNT

A client account will be considered as inactive if the client does not trade for period of one year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares / credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account.

Client Acceptance of Policies and Procedures stated hereinabove:

Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I/we understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any breakdown in our back office/ front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. I/We shall be fully liable and responsible for any such problem/fault.

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/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 / us with through any one or more means or methods. I/we 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 always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator/mediator etc.



Sign of Client

TARIFF SHEET

Segment			Minimum Rs.	Percentage
Capital Market	Trading	1st Side		
		2nd Side		
	Delivery			
	Trade to Trade			
F & O	Futures	1st Side		
		2nd Side (Same day)		
		2nd Side (Any day)		
	Options	1st Side		
		2nd Side (Same day)		
		2nd Side (Any day)		
Currency	Futures	1st Side		
		2nd Side (Same day)		
		2nd Side (Any day)		
	Options	1st Side		
		2nd Side (Same day)		
		2nd Side (Any day)		

DEPOSITORY PARTICIPANT (CDSL) ACCOUNT DETAILS

Member : National Stock Exchange of India Ltd.
Bombay Stock Exchange Limited

SELECT ACCORDINGLY TYPE OF ACCOUNT

Type of Account (for Individual / NRI / Foreign National only) _____

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

OR

Type of Account (for Corporate / Clearing Member only) _____

Status (To be filled by DP)	Status (Please Tick whichever is applicable)
	<input type="checkbox"/> Body Corporate <input type="checkbox"/> Bank <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____

General Instructions for the Applicant _____

- Signatures can be in English or Hindi or any of the other languages contained in the 8th schedule of the Constitution of India Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal.
- Signatures should be preferably in black ink.
- Details of the Names, Address, and Tel No. etc. of the Magistrate / Notary Public / Special Executive Magistrate are to be provided in case of any attestation done by them.
- In case of additional signatures (For accounts other than individuals), separate annexure should be attached to the application form.
- In case of application under a Power of Attorney, the relevant Power of Attorney or the certified and duly notarized copy thereof must be lodged along with the application.
- All correspondence / queries shall be addressed to the first / sole applicant.
- Nomination : Nomination is allowed only in case of Individual account No. nomination is allowed on HUF account, Corporate account.
- Strike off whichever is not applicable.



Application Form for Opening a Securities Demat Account - Individual / Corporate

DP ID : 45300 (Equities)

Form No.									Date								
BO ID	1	2	0	4	5	3	0	0	Client ID								

I/We request you to open a Demat Account in my / our name as per the following details :
(To be filled by the applicant in BLOCK LETTERS in English)

Please Select the Account Type	<input type="checkbox"/> Individual	<input type="checkbox"/> Corporate
--------------------------------	-------------------------------------	------------------------------------

Sole / First Holders Details :

Title Mr. Mrs. Ms. Other Suffix _____

Name _____
(First name) (Middle name) (Last / Search name)

Father/Husband Name _____

Permanent / Registered _____

Address (If different from _____
Correspondence Address) _____ PIN _____

City _____ State _____ Country _____

Correspondence Address _____
(Indian address) _____ PIN _____

City _____ State _____ Country _____

Telephone No. _____ Mobile _____

Fax _____ PAN _____

Sex Male Female Date of Birth / Incorporation _____ Nationality Indian Other

E-mail _____ IT Circle ward/District _____

Occupation Service Central Govt. State Govt. Public / Private Sector NGO Statutory Body
 Professional Business Student Retired Housewife Other Specify _____

Financial Information :

Nature of Business (Products / services provided) _____

Income Range per annum: UP toRs.1Lac. Rs.1Lac.toRs.2Lac. Rs.2Lac.toRs.5Lac. More than Rs.5Lac.

Additional Information : (for corporate / clearing member only)

SEBI Regn. No. (If applicable) _____ SEBI Regn. Date _____

ROC Regn. No. (If applicable) _____ ROC Regn. Date _____

RBI Regn. No. (If applicable) _____ RBI Approval Date _____

Account Statement Requirement	<input type="checkbox"/> Daily	<input type="checkbox"/> Weekly	<input type="checkbox"/> Fortnightly	<input type="checkbox"/> Monthly
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I/We instruct the DP to receive each and every credit in my/our account [Automatic Credit] Yes No

Guardian Details : (if sole / first holder is minor)

Guardian Name _____
(First name) (Middle name) (Last name)

Relationship with the _____

Correspondence Address _____ PIN _____

City _____ State _____ Country _____

PAN _____ Fax _____ Date of Birth _____

Telephone No. _____ E-mail _____



For NRIs / OCBs :

Foregin Address _____

 _____ PIN _____

City _____ State _____
 Country _____ Telephone No. _____
 Fax _____ E-mail _____

* I/We hereby Declare that I/We has complied with and will continue to comply with,
 FEMA regulations and other applicable laws

Additional Details:

SMS Alert Facility Yes MOBILE NO. +91 _____ No
 easi Yes. If yes, please contact your DP for details [Facility through CDSL's website : www.cdslindia.com No
 wherein a BO can view his ISIN balances, transactions and value of the portfolio online.]

Name *

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

Bank Details (Dividend Bank details) :

Account type Saving Current Cash Credit Others (specify)
 Account number _____ Bank Name _____
 Bank Address _____
 _____ PIN _____

Bank Code (9 digit MICR code) _____ Branch _____
 City _____ State _____ Country _____

Do you wish to receive dividend / interest directly in to your bank account given below through ECS? Yes No

Joint / Second Holders Details :

Title Mr. Mrs. Ms. Other Suffix _____
 Name _____
 (First name) (Middle name) (Last / Search name)

Father/Husband Name _____
 Permanent Address _____

City _____ State _____ PIN _____
 Country _____
 Fax _____ PAN _____

Sex Male Female Date of Birth / Incorporation _____ Nationality Indian Other _____
 E-mail : _____

Nature of Business (Products / Services Provided) _____

Occupation Service : Central Govt. State Govt. Public / Private Sector NGO Statutory Body
 Professional Business Student Retired Housewife Other Specify _____



Joint / Third Holders Details :

Title Mr. Mrs. Ms. Other Suffix _____

Name _____
 (First name) (Middle name) (Last / Search name)

Father/Husband Name _____

Permanent Address _____

City _____ State _____ Country _____ PIN _____

Fax _____ PAN _____

Sex Male Female Date of Birth / Incorporation _____ Nationality Indian Other

E-mail : _____

Nature of Business (Products / Services Provided) _____

Occupation Service Central Govt. State Govt. Public / Private Sector NGO Statutory Body
 Professional Business Student Retired Housewife Other Specify _____

Clearing Members Details : *(to be filled by cms only)*

Name of the Stock Exchange _____



Name of the CC / CH _____

Trading Id _____




Clearing Member Id _____

Declaration :

I/We have read the terms & conditions DP-BO agreement (DP-CM agreement for BSE clearing Member Accounts) including the schedules thereto and the 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 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.

A) Names	B) Designation (For Corporate)	C) Signature of Holders
Sole / First Holder First / Sole Authorised Signatory (For Corporate)	Second Holder Second Authorised Signatory (For Corporate)	Third Holder Third Authorised Signatory (For Corporate)
A.		
B.		
C.		
Signature Across Photograph	Signature Across Photograph	Signature Across Photograph

(Signature should be preferably in black ink, if authorised signatories are more than 3, then separate annexure can be attached) (In case of minor holder, photograph of guardian has to be affixed along with minor's photograph.)

	First Holder	Second Holder	Third Holder
Name			
Specimen Signature			

Nomination Form

(Applicable for only Individual Account)

Please Select,

- I/We the sole holder / Joint holders / Guardian (in case of minor) hereby nominate the following person who is entitled to receive security Balance lying in my/our account, particulars whereof are given, in the event of the death of the Sole Holder or the death of all the Joint Holders.
- I/We do not wish to Nominate any one for this Demat Account.

DP ID _____ Client ID _____

Nominee Details :- Name _____

Relationship with BO (if any) : _____

Address _____

_____ PIN _____

Title Mr. Mrs. Ms. DOB (if Minor) _____ City _____

State _____ Country _____ Telephone No. _____

Fax _____ Email _____

*Guardian Details : (in case of Minor)

(As the Nominee is Minor on this date, I/We appoint following person to act as Guardians)

Name _____

Address _____

_____ PIN _____

Age _____ City _____ State _____ Country _____

* To receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder /all Joint holders.

This nomination is accordance with the section 109 A of the companies act, 1956, and shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.

Place : _____

Date _____

Details of the Witness :

	Name & Address (1)	Signature with Date
(1)	_____ _____ _____	☒
(2)	_____ _____ _____	☒



(Signature of 1st Holder)



(Signature of 2nd Holder)



(Signature of 3rd Holder)

(To be filled By DP)

Nomination accepted and registered wide
Registration No. _____

Date _____

For Transglobal Securities Limited

(Authorised Signatory)

Additional Details :

SMS Alert Facility

 Yes MOBILE NO. +91 _____

refer to Terms & Conditions given below

 No

Terms and Conditions - cum - Registration / Modification Form for receiving SMS Alerts from CDSL

Definition : In these Term sand Conditions the terms shall have following meaning unless indicated otherwise :

1. "Depository" means Central Depo-sitory Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registerd office at 17th Floor , P. J. Towers, Dalal Street, Fort, Mumbai 400 001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of Dps who are allowed to open DematAccounts for investors.
3. 'BO' means an entity that has opened a Demat Account with the depository. The term covers all types of Demat Accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service".
5. "Alerts" means a customized SMS sent to the Bo over the said mobile phone number.
6. "Sevice Provider" means a celluar service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

1. The service will be provided to the Bo at his/ her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the Bos who are residing in India.
3. The alerts will be provided to the Bos only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts :

1. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever factors including the infrastructure connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
2. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and /or inaccuracy. Incase the BO



observes any error in the information provided in the alert, the BO shall inform the depository and / or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damage etc. that may be incurred / suffered by the BO on account of opting to avail SMS alerts facility.

3. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO . The BO agrees to an on going confirmation for use of name, email address and mobile number for marketing offers between CDSL and other entity.
4. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account / unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
5. The information send as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any organization to confirm the authenticity of the person(s) receiving the alert.
6. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
7. If the BO finds that the information such as mobile number etc. has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees :

Depository reserves the right to change such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer :

The depository shall make reasonable efforts to ensure that the Bo's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository wil not be liable for any unauthorized use or access of the information and / or SMS laert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use / misuse of such information by any third person.

Liability and Indemnity : The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments : The depository may amend the terms and conditions at any time with or without giving any prior notice to the Bos. Any such amendments shall be binding on the Bos who are already registered as user of this service.



Governing Law and Jurisdiction : Providing the service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/We consent to CDSL providing to the service provider such Information pertaining to account / transaction in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/we further undertake to pay fee / charges as may be levied by the depository from time to time. I/we further understand that the SMS alerts would be sent for a maximum four ISIN at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose OF REGISTRATION / MODIFICATION (Please cancel out which is not applicable)

BOID

1	2	0	4	5	3	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DP ID)

(Please write your 8 digit Client Id)

Sole / First Holder's Name _____

Second Holder's Name _____

Third Holder's Name _____

Mobile Number on which message are to be sent +91 _____

(Please write only the mobile number without prefixing country code or zero)

The Mobile number is registered in the name of : _____

E-mail ID _____

(Please write only ONE valid email ID on which communication, if any, is to be sent)

Signature

Sole First Holder

Second Holder

Third Holder

Place : _____

Date : _____







Schedule of Charges for Demat Account

TARIFF STRUCTURE		
Scheme Choice		
Account Opening		
Account Closing		
Annual Maintenance		
Purchases through AR		
Purchases not through AR/Off-		
Mkt Transfer		
Sales through AR		
Sales not through AR/Off-		
Mkt Transfer		
Other Charges		
Custodial Charges		
Demat Charges		
Remat Charges		
Pledge Cration/Closure		
Documentation Charges		
Value Adds		
Transaction Statement		
Internet Facility		



Sole First Holder



Second Holder



Third Holder

Compliance Officer-TGSL

AGREEMENT BETWEEN THE DEPOSITORY PARTICIPANT AND THE PERSON SEEKING TO OPEN AN ACCOUNT WITH THE DEPOSITORY PARTICIPANT

This Agreement made and executed at MUMBAI / KOLKATA this _____ day of _____ between “**Transglobal Securities Limited**” of the legal entity having his/its office/registered office at : Unit No. L, Block No. 3, 3rd Floor, 87, Dum Dum Road, Club Town Estate, Kolkata - 700 074, herein after called “the Participant” of the one part, and 1st holder

Name _____ having his / its office / registered office / address at

2nd Holder Name _____

3rd Holder Name _____

herein after called “the Beneficial Owner” of the other Part.

WHEREAS the Beneficial Owner is desirous of opening a beneficial owner’s account with the Participant and the Participant has agreed to open an account in the name of the Beneficial Owner and render services to the Beneficial Owner as a participant, on the terms and conditions recorded herein below :

NOW THIS AGREEMENT WITNESS AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERE TO AS FOLLOWS :

General Clauses :

1. The parties hereto agree to abide by the provisions of the Depositories Act 1996 SEBI (Depositories and Participants) Regulations, 1996 Bye Laws Operating Instructions issued from time to time by CDSL from time to time in the same manner and to the same extent as if the same were sent out herein and formed part of this Agreement.

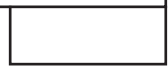
Fees, Charges and Deposits :

2. The Participant shall be entitled to change or revise the fees, charges or deposits form time to time provided however that no increase therein shall be effected be the Participant unless the Participant shall have given at least one month’s notice in writing to the Beneficial Owner in that behalf. In case the Beneficial Owner committing a default in the payment of any such amount payable to the Participant on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified), the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid not exceeding 18% per month or part thereof. On such continued default, the Participant after giving two days notice to the Beneficial Owner shall have a right to stop processing of instructions of Beneficial Owners till such time he makes payment along with interest if any.

Statement of Account :

3.1 The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter. The statement of accounts to be provided to the Beneficial Owner under this Agreement shall be in the form specified in Operating Instructions or as communicated by CDSL from time to time . The Participant shall furnish such statements at such shorter period as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.

3.2 It is agreed that if a Participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the Participant, then the Participant will furnish to the Beneficial Owner the statement of accounts under



its digital signature, as governed under the Information Technology, Act. 200. Provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode then irrespective of having forwarded the same via electronic mode, the Participant shall be obliged to provide a physical copy thereof to the BO.

3.3 It is agreed and understood between the parties that if the Participant does not have the facility of providing the statement of account in the electronic mode, then the Participant shall be obliged to forward the statement of account only in physical form.

Beneficial Owner shall intimate change of particular

4. The Participant shall not be liable or responsible for any loss that may be caused to the Beneficial Owner by reason of his/its failure to intimate change in the particulars furnished to the Participant from time to time, unless notified by the Beneficial Owner.

Depository not liable for claims against Beneficial Owner

5. CDSL shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/or expenses arising from the claims of third parties or for any fees, charges, taxes, duties, levies or penalties levied, imposed or demanded by any Central, State, statutory or revenue authority in respect of securities credited to the Beneficial Owner's account.

Authorised Representative

6. Where the Beneficial Owner is a body corporate or a legal entity, it shall simultaneously with the execution of the agreement furnish to the Participant, a list of officials authorised 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.

Closure of Account

7. The Beneficial Owner, may, at any time terminate this Agreement by calling upon the Participant to close his/its account with the Participant in the manner and on the terms and conditions set out in the Bye Laws and the procedure laid down in the Operating Instructions. In the event of termination of this agreement the Beneficial Owner shall either get the securities transferred to some other account or get the same rematerialised.

Stamp Duty

8. Any stamp duty (including interest or penalty levied thereon) payable on the Agreement and/or on any deed, document or writing executed in pursuance hereof between the parties hereto shall be borne and paid by the Beneficial Owner.

Force Majeure

9. Notwithstanding anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, non performance or delay in performance of any obligations under the agreement or for any harm, loss, damage or injury caused to the other due to causes reasonably beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or any other act of God, War, Rebellion, Revolution, Insurrection, Embargo or Sanction, Blockade, Riot, Civil Commotion, Labour action or unrest including Strike, Lock-out or Boycott, Interruption or failure of any utility service, enemy action, criminal conspiracy, act of terrorism or vandalism, sabotage, or intrusion, or any other irresistible force or compulsion.

Service of Notice

10. Any notice or communication required to be given under the Agreement shall not be binding unless the same is in writing and shall have been served by delivering the same at the address set out here in above against a written acknowledgment of receipt thereof or by sending the same by pre-paid registered post at the aforesaid address or transmitting the same by facsimile trasmission ,electronic mail or electronic data transfer at number or address that shall have been previously specified by the party to be notified. Notice given by person delivery shall be deemed to be given at the time of delivery. Notice given by post in accordance with this clause shall be deemed to be given at the commencement of business of the recipient of the notice on the third working day next following its posing, Notice sent by facsimile transmission, electronic mail or electronic data transfer shall be deemed to the given at the time of its actual transmission.

Arbitration

11. The parties hereto shall, IN respect of all disputes and differences that may arise between them, abide any the provisions relating to arbitration and conciliation specified under the Bye Laws.

Jurisdiction

12. The parties hereto agree to submit to the exclusive jurisdiction of the courts in Mumbai.

Governing Law

13. The Agreement shall be governed by and construed in accordance with the laws in force in India.

IN WITNESS WHEREOF the parties hereto have hereunto set and subscribed their respective hands/seals to this Agreement in duplicate on the day. month, year and place first hreinabove mentioned.

(SIGNEDAND DELIVERED by the within named the Beneficial Owner)

Beneficial Owner (Name)

 _____

 _____

 _____

For and on behalf of the Client Signature of Witness _____

Name : _____

Address : _____

(SIGNEDAND DELIVERED by the within named the participant)

For Transglobal Securities Limited

(Authorised Signatory)

Signature of Witness _____

Name _____

For Transglobal Securities Limited

Unit No. L, Block No. 3, 3rd Floor,
87, Dum Dum Road, Club Town Estate, Kolkata-700 074

VOLUNTARY DOCUMENTS

AUTHORITY LETTER FOR MAINTAINNING RUNNING ACCOUNT OF FUNDS / SECURITIES

To,

Transglobal Securities Ltd.

3-Ashok Chambers, Gr. Floor,
Bharuch Street, Masjid Bunder (East),
Mumbai - 400 009

I / We _____ (Name of client), client code _____ having trading account with you in CM, F&O/ NSE/BSE & in order to facilitate ease of operations and upfront requirement of margin for trade, I/we authorize you as under:

I/We request you to maintain running balance in my account & retain the credit balance in any of my / our account and to use the unused funds towards my/our margin / pay-in / other future obligation(s) at any segment(s) of any or all the Exchange(s) / Clearing corporation unless I/we instruct you otherwise.

I/We request you to retain securities with you for my / our margin / pay-in / other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation, unless I/we instruct you to transfer the same to my / our account.

I/We request you to settle my fund and securities account once in every calendar Monthly / Quarterly or such other higher period as allowed by SEBI / Stock Exchange from time to time except the funds given towards collaterals / margin in form of Bank Guarantee and / or Fixed Deposit Receipt.

In case I/we have an outstanding obligation on the settlement date, you may retain the requisite securities / funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the Exchange(s).

I / We further authorize you to utilize the retained funds / securities to set exposure or utilize the fund against purchase of securities or adjust against other dues due from me / us.


I / We understand and agree that no interest will be payable by you to me / us on the funds / securities so retained with you.

I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds / securities or statement of account or statement related to it, as the case may be at your registered office. After that I/we shall have no right to dispute the transaction, funds and/or securities ever and agree that you shall not be liable for any incidental loss/damage caused due to retention of funds and/or securities.

I/We hereby intimate you that the above authorization is revocable and I / we can revoke the same at any time.

Thanking you.

Yours faithfully,



(Signature)

Client Name: _____

Client Code: _____

AUTHORISATION FOR ELECTRONIC STATEMENT (VOLUNTARY)

To,

Transglobal Securities Ltd.

3-Ashok Chambers, Gr. Floor,
Bharuch Street, Masjid Bunder (East),
Mumbai - 400 009

Sub: Letter of Authority / Mandate of issuance of Statement in Electronic Form (Trading and Demat Account)

Dear Sir / Madam,

In reference to my / our dealing with you as your client, I/We confirm that I/We am/are desirous of receiving digital contract notes, bills, ledgers, transaction statements, monthly / quarterly demat statement of accounts / holding statement (s) / bills or other reports, statement(s), related notices, circulars, amendments and such other time to time in electronic form, subject to the terms and conditions prescribed by SEBI the respective Stock Exchanges and **Transglobal Securities Limited**.

I/We further hereby confirm that we wish to receive / continue to receive the electronic contract notes / statements on the following e-mail address, which e-mail address has been generated by me / us.

E-mail Account 1	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
E-mail Account 1	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

I/We further hereby agree that **Transglobal Securities Limited** shall fulfil the legal obligation, if the above statement (s) are sent electronically to any of the above mentioned e-mail account(s). I / We further agree that you shall be entitled to consider non-receipt of any delivery failure notification by you as confirm of delivery of the contract note at my/our e-mail address.




I/We understand and agree that any change in my / our e-mail address shall be communicated to **Transglobal Securities Limited** by me / us through a physical letter addressed to **Transglobal Securities Limited** or through secured access by way of client specific user id and password.

I have read the Terms and Conditions mentioned in the Enrollment Form & Member Client Agreement in the case of CDSL.

My/Our Unique Code is	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
My/Our BO ID is	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Thanks.

Yours Faithfully,

	NAME OF HOLDERS	CLIENT SIGNATURE(S)
SOLE/FIRST HOLDER		
SECOND HOLDER		
THIRD HOLDER		

AUTHORITY LETTER

Date

To,

Transglobal Securities Ltd.

3-Ashok Chambers, Gr. Floor,
Bharuch Street, Masjid Bunder (East),
Mumbai - 400 009





Dear Sir,

Sub: Letter of Authority – CASH, F&O Segment

I/We are dealing in securities with you at NSE/BSE in Cash Derivative Segment in order to facilitate ease of operations. I/We authorize you as under:

1. I/We authorise you to setoff outstanding in any of our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of cash margin or collateral shares provided to you by us.
2. I/ We hereby authorise you not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paperwork. I/We shall get the required details from contract notes issued by you.
3. I/We hereby authorise you to keep all the securities which we give you in margin including the payout of securities received by us for meeting margin /other obligation in stock exchange in whatever manner which may include pledging of shares in favour of bank and / or taking loan against the same of meeting margin/ pay-in obligation on our behalf or for giving the same as margin to the Stock Exchange or otherwise.
4. I/We request you to retain credit balance in any of my / our account and to use the idle funds towards our margin/future obligations at any or both the Exchanges unless I/we instruct you otherwise. I/We also authorize you to debit the necessary de-mat charged from time to time, for keeping the shares in your client de-mat beneficiary account on my/our behalf. I/We also authorise you to debit the financial charges @ 2% p.m. for the debit balances if any, in my/our account and not settled as per the exchange requirements.
5. I/We request you to retain Securities in your Demat account for my/our margin/future obligations at all Exchanges, unless I/We instruct you to transfer the same to my/our account.
6. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
7. I/We will collect from your office Contract Notes, Bills, Securities, etc. as per our convenience.
8. I/We request that you may send/dispatch me/us contract notes other documents through E-mail : on my/ our designated e-mail address of _____ . We will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute the same.
9. I/We will inform you the change my/ our my e-mail, if any, in future either by regd. post or through a digitally signed e-mail.
10. I/We authroize Mr./Ms. _____ to deal/transact on my/our behalf and to place order, give instructions, make and receive payments of securities and monies, collect contract notes, bills, order confirmations, trade confirmations, account statements and any other documents or communication, to sign any document, settle the account, enter into any compromise and to do any and all act(s) on my/our behalf which I/we can do and I/we the undersigned to hereby agree and declare and confirm that all the acts, and things done by him/her or his/her substitutes shall be my/our acts, deed and things validity done by me/us to all intents and purposes.

11. Trading of all Exchanges is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders We understand that there exists a possibility of communication failure or system problems or slower delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/ network, which may be beyond your control and may result in delay in processing or note processing buy or sell Orders either in part or in full. I/We agree that I/We shall be fully liable and responsible for any such problems/ fault.
12. I/We confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
13. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
14. I/We am/are agreeable for & authorise you to withhold funds pay-out towards all the applicable margins and debits.
15. All fines/penalties and charges lived upon you due to my acts/deeds or transactions may be recovered by you from my account.
16. I/We have a trading and depository relation with **Transglobal Securities Limited** , Please debit the charges relevant to depository services from my/our account on monthly basis.
17. **Adjustment of Balances in Family / Group Accounts.**

Sr.	Client Name	Client Code	Signature of Client
			
			
			
			

We the above mentioned family/group member have been regularly trading and investing with you on National Stock Exchange.

For the purpose of operations with you, we agree to be treated as a family / group account. In order to facilitate operations, we hereby authorize you to set off and adjust the outstanding of money and for securities in any of the above mentioned accounts against credits of money and/or securities available or arising in any of the above accounts irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of any exchange and/or against the value of cash margin or collateral shares provided to you by any member(s) of the family/group.

18. Mr. _____ Whose signature is appended below, to acknowledge contract notes/confirmation memo on daily basis and to receive any other communication on my/our behalf.

Contract Notes/Confirmation Memo or any other correspondence delivery to him will be deemed to be delivered to me and Member broker will not be liable for any documents lost of misplaced by the aforesaid person.

Name of the Authorised Person : _____ Signature of the _____
(Authorised Person)

Yours Faithfully,



Signature of the Client

Name

Client Code

KYC CHECKLIST

"Copies of all documents to be self attested.

I. General

- Passport Size Photo PAN Card
- Signed Across Pan Verification
- Clients signature on all required Places
- In person verification stamp on all docs (Individuals)
- Original seen and verified stamp on all docs
- Witness Signature All Copies Self Attested
- Agreement Date Financial Documentary Proof

II. Proof of Identify Holders :

- 1st Holder 2nd Holder 3rd Holder
- PAN Card with Photograph UID (Aadhaar)
- Any other Supporting Doc: _____

III. Proof of Permanent Address Holders :

- 1st Holder 2nd Holder 3rd Holder
- Ration Card Valid Passport
- Voter ID Valid Driving License
- Bank Passbook Electricity Bill
(Not more than (Not more than
3 months old) 3 months old)
- Land line Bill Bank Statement
(Not more than (Not more than
3 months old) 3 months old)
- Registered Lease Bank Verification Letter
of Sale Agreement
- Any other Supporting doc: _____

IV. Proof of Correspondence address

- Ration Card Valid Passport
- Voter ID Valid Driving License
- Bank Passbook Electricity Bill
(Not more than 3 months old)
- Land line Bill Bank Statement
(Not more than (Not more than
3 months old) 3 months old)
- Sell Agreement Leave & Licence Agreement
(Not more than 3 months old)
- Bank Verification Letter

IX. Financial Documentary Proof

- Copy of ITR Acknowledgement Bank account statement for last 6 months
- Copy of Annual Accounts Copy of Demat Account Holding Statement
- Copy of Form 16 in case of salary income Any other relevant documents substantiating ownership of assets.
- Net worth certificate Self declaration along with relevant supporting
- Salary Slip

V. Minor Account (Only for DP)

- PAN card of Minor Birth Certificate
- Address proof of PAN of Guardian
Guardian Passport
- Photograph of Minor Address proof of
& Guardian Minor
- Copy of School Leaving Certificate
- Mark sheet issued by Higher Secondary Board

VI. Bank Proof with MICR Code

(Individual, Minor, NRI)

- Cancelled cheque Bank Statement
- Pass Book Letter from bank

VII. NRI

- PAN Card Proof of Foreign Address
- Proof of Indian add Attestation
- PIS Letter FEMA Declaration
- Passport Bank Proof (NRI/NRO/A/C)
- Certified true copy of POA for operating account
(if any) with specimen signature of POA holder
- Copy of POI Card for NRI but foreign Nationals
(Check Nationality)
- OCI Card

VIII. Demat Proof (Latest of 1 year - Only for Trading)

- Client Master Welcome Letter
- DP Statement
- Transaction cum Holding Statement

ACKNOWLEDGEMENT

I/We hereby acknowledge the receipt of duly executed copy of KYC, MCA/, RDD and all other voluntary documents as executed by me/us. I acknowledge that the other details related to my account are as under :

Trading Code (NSE) _____ (BSE) _____

UCC (NSE) _____ (BSE) _____

My E-mail Id _____ (DP ID) _____

