

Pragya Securities Pvt Ltd

Regd. & Corsp. Add.: 227 / 228, Kailas Plaza, V. B. Lane, Ghatkopar (E), Mumbai - 400075.
Tel.: 6728 3333 • **www.psec.co.in** • **Investor Grievance :** lgrd@psplonline.com
CIN : U67120MH1994PTC078185 **GST No.:** 27AAACP3247K1ZB

Sr. No. _____



Member : NSE
Single SEBI Reg. No. : INZ 000172539 **Dt.:** 28-03-2018
Segment : 1) CM 2) F&O 3) CD
Investor Grievance : ignse@nse.co.in **Tel. No.:** 2659 8190

CEO :
Name : Kishor K. Kansagra
Tel. No.: 2501 4787
e-mail : admin@psplonline.com

Member : BSE
Single SEBI Reg. No. : INZ 000172539 **Dt.:** 28-03-2018
Segment : 1) CM 2) F&O
Investor Grievance : is@bseindia.com **Tel. No.:** 2272 8097

Compliance Officer :
Name : Bhanudas R. Paste
Tel. No.: 2501 4040
e-mail : admin@psplonline.com

For any grievance/dispute please contact stock broker at the above address, email Id and phone No. in case not satisfied with the response, please contact the concerned exchange(s) at respective investor grievance, phone No. given above.

KNOW YOUR CLIENT (KYC) APPLICATION FORM

INDEX MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

Sr. No.	Name of the Document	Brief Significance of the document	Pg Nos.
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instructions / Check List.	A-1/2
	Check List	Instructions for filling KYC form.	
		B. Document captures the additional information about the constituent relevant to trading account.	A-3/4
2	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	A-7
3	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).	B-1/5
4	Risk Disclosure Document (RDD)	Documents detailing risks associated with dealing in the securities market.	B-6/9
5	Nominee	Document detailing for nomination	B-17/19
6	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investor's.	B-10/11
7	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	B-12/14
8	MITC	Most Important Terms & Conditions (MITC)	B-20

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

1	Authorisation for Running Account	For the operational convenience, if a client is dealing frequently and wishes to avoid exchange of funds and securities for every exchange/segment separately and on a daily/due date basis, this document may be signed by the client authoring broker to keep the account as running account across all exchange/segment.	A-5/6
2	Writeup on PMLA	(For Information Only) Brief Writeup on the provisions of prevention of money laundering Act 2002 (PMLA) which client needs to know.	B-15/16

KYC - A

A. Identity Details (Please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document). Father's/Spouse Name 2. Gender ☐ Male ☐ Female B. Marital States ☐ Single ☐ Married c. Date of Birth 3. Nationality ☐ Indian ☐ Other..... 4. Status please tick() ☐ Resident Individual ☐ Non Resident ☐ Foreign national (Passport Copy Mandatory for NRIs & Foreign Nationals) 5. PAN Please enclose a duly attested copy of your PAN Card Aadhaar Number, if any	 PHOTOGRAPH Please affix the recent passport size photograph and sign across it
6. Proof of identity submitted for PAN exempt cases Please Tick () ☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others	

1. Address for Correspondence

City / Town / Village										Pin Code:									
State					Country:														

2. Contact Details

Tel. (Off.)	(ISD)	(STD)								Tel.(Res)	(ISD)	(STD)							
Mobile	(ISD)	(STD)								Fax	(ISD)	(STD)							
E-Mail Id:																			

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick () against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify) _____

* Not more than 3 Month old. **Validity/Expiry date of proof of address submitted** d d m m y y y y

4. Permanent Address of Residents Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village										Pin Code									
State					Country														

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick () against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify) _____

* Not more than 3 Month old. **Validity/Expiry date of proof of address submitted** d d m m y y y y

6. Any other information:

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

Place: _____

Date: _____

SIGNATURE OF APPLICANT**FOR OFFICE USE ONLY**

AMC/Intermediary name OR code

☐ (Originals Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain

staff name

Designation

Name of the Organisation

Signature

Date :

Seal/Stamp of the intermediary should contain

staff name

Designation

Name of the Organisation

Signature

Date :

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & Address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCICard 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. PAN card with photograph, This is a mandatory requirement for all applicants except those who are specially exempt from obtaining PAN (listed in section D).
2. Unique identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card / document with applicant's photo, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public 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 and expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or sale

Agreement of Residence / Driving License / Flat Maintenance bill / insurance Copy.

2. Utility bills like telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
3. Bank account Statement / passbook - not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following; Bank Managers of Scheduled Commercial Banks / Scheduled co-operative Bank / Multinational foreign Banks / Gazetted Officer / Notary public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority
6. Identity card / document with address, issued by any of the following Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to universities and professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members.
7. For FII / sub account, Power of attorney given by FII/sub account to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemption / clarification 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, PFCs, Scheduled Commercial Banks, Multilateral and bilateral Development Corporation 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, authorised 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.

A. BANK ACCOUNT(S) DETAILS

No.	MICR No.	Bank Name, Branch Add. & Tel. No.	A/c Type	Account No.	IFSC Code
1					
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.

A. BANK ACCOUNT(S) DETAILS

No.	DP Name	Beneficiary Name	DP ID No.	BOID No.	Depository Name
1 x					NSDL / CDSL
2					NSDL / CDSL

☒ Shares bought by you will be transferred to your DP A/c stated by you at Sr. No. 1

TRADING PREFERENCES

*Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE
All Segments	☒
Cash / Mutual Fund	☒
F & O	☒
Currency	☒
Debt	☒
Commodity Derivatives	☒

If you do not wish to trade in any of segments / Mutual Fund, please mention here

☒ _____

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 / authorised persons in charge of dealing in securities during the last 3 years:

E. DEALING THROUGH SUB-BROKERS / AUTHORISED PERSON AND OTHER STOCK BROKERS

■ If client is dealing through the sub-broker, provide the following details:

Sub - Broker/AP Name			BSE SEBI Reg. No.	
			NSE SEBI Reg. No.	
Regd. Off. Address			SEBI Reg. No.	
			SEBI Reg. No.	
Signature	Sf	Tel. No.		Remister/AP
		Fax No.		Remister/AP
		Website		Remister/AP

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 ☐ 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): ☐ Yes ☐ No	
Number of years of investment/Trading Experience:	
Preference for Periodic Settlement Cycle ☐ Quarterly ☐ Monthly ☐ Other _____	
Gross Annual Income details	Income Range per annum ☐ Upto Rs. 1 Lac ☐ Rs. 1 Lac to Rs. 5 Lac ☐ Rs. 5 Lac to Rs. 10 Lac ☐ Rs. 10 Lac to Rs. 25 Lac ☐ Above Rs. 25 Lac
Net worth as on Date _____ Rs. _____ (Net worth should not be older than 1 year)	

Occupation	☐ Private / Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others _____
Please tick, if applicable ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)	
Any other information	

G. INTRODUCER DETAILS (Optional)

Name of introducer	Signature
Address / Tel.	
Status of the introducer	Sub Broker / Memisier / Authorized Person / Existing Client / Other please specify

Name	Signature
Place	
Date	X

FOR OFFICE USE ONLY

UCC Code allotted to the client:	
Documents verified with Originals / In person Verification done by	Client Interviewed / Approved by
Name of the Employee	
Signature	
Designation	
Employee Code	
Date	

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.

Date _____ Signature of the Authorised Signatory Seal/Stamp of the stock broker

227 / 228-Kailas Plaza, V. B. Lane, Ghatkopar (East), Mumbai-400 075.

(To be filled in by individual applying singly or jointly)

[illegible]

I/We wish to make a nomination. (As per details given below)

Nomination Details

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination can be made upto three nominees in the account			Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1	Name of the nominee(s) (Mr./Ms.)				
2	Share of each Nominee	Equally (If not equally, please specify percentage)	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form					
3	Relationship With the Applicant (If Any)				
4	Address of Nominee(s) City / Place: State & Country:				
	PIN Code				
5	Mobile / Telephone No of nominee(s)				
6	Email ID of nominee(s)				
7	Nominee Identification details _ [Please tick any one of following and provide details of some] ☒ Photograph & Signature ☒ PAN ☒ Aadhaar ☒ Saving Bank account no. ☒ Proof of Identity ☒ Demat Account ID				

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:

8	Date of birth {in case of minor nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in case of Minor nominee(s)}			
10	Address of Guardian(s) City / Place : State & Country :			
	PIN			
11	Mobile / Telephone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details - [Please tick any one of following and provide details of same] ☐ Photograph & Signature ☐ PAN ☐ Aadhaar ☐ Saving Bank account no. ☐ Proof of Identity ☐ Demat Account ID			

☐ Nomination Form

FORM FOR NOMINATION

Sole / First Holder (Mr./Ms.)		✗
Second Holder (Mr./Ms.)		☒
Third Holder (Mr./Ms.)		☒

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

Note :

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

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



Declaration Form for opting out of nomination

UCC		Client ID	1	2	0	2	8	1	0	0	0	0						
To, Pragya Securities Pvt Ltd 227 / 228-Kailas Plaza, Vallabh Baug Lane, Ghatkopar (East), Mumbai-400 075.																		
Sole / First Holder Name																		
Second Holder Name																		
Third Holder Name																		
I / We hereby confirm that I / We not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents information for claiming of assets held in my / our trading / demat account, which may also include documents issued by court or other such competent authority, based on the value of assets held in the trading / demat account.																		
Name																		
Signature X																		

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

Instructions for Applicants

1. If the Clearing member is a Sole Proprietor or an Individual, then the Corporate Account Opening Form should be filled in.
2. Signatures can be in English, 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.
3. Details of the Names, Address and Tel. No. e.t.c. of the magistrate / Notary Public / Special Executive Magistrate are to be provided in case of any attestation done by them.
4. In case of additional signatures, separate annexures should be attached to the application form.
5. In case of applications under a Power of Attorney. the relevant Power of Attorney or the certified and duly notarised copy thereof, Name of the POA, Signature of the POA, must be lodged with the DP alongwith the application.
6. All correspondence / queries shall be addressed to the **first/Sole Applicant** only.
7. Suffix refers to **Mr. X Junior** or **Mr. X Senior** or **Lord Y I** or **Lord Y II** etc.
8. Where the holder is a minor, person lawfully entitled to act on behalf of the minor should sign the nomination.
9. Strike off whichever is not applicable.
10. The Following documents are to be submitted by applicants.

1. One recent passport size photograph signature across the Photo.
2. Clear Xerox of PAN Card for all holders are required.
3. Proof of Address (Any one) for all holders.
 - Driving Licence • Electricity Bill (Not more than 2 months)
 - Passport • Voter's ID Card • Telephone Bill (Not more than 3 months) • Aadhaar
 - Bank Pass Book / Bank Statement (Statement must not be older than 3 months & must be verified by Bank Manager.
 - Valid Leave & Licence Agreement / Agreement for Sales.
4. i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
ii) Photocopy of the Bank Statement having name and address of the BO and not more than 4 months old, (or)
iii) Photocopy of the Passbook having name and address of the BO, (or)
iv) Letter from the Bank.
 - In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it should be self-certified by the BO.
5. Introduction By existing Account Holder.
6. In case Minor Applicant / Nominee, Birth Certificate require.
7. In case of HUF A/c. all above documents are required in Additional HUF PAN card & Declaration.
8. All Signatures should be preferably in black ink only.
9. Bank Proof • Copy of cancelled Cheque.
 - Copy of Bank Pass Book or Latest statement.

AUTHORISATION FOR RUNNING ACCOUNT

To,
PRAGYA SECURITIES PVT LTD
 Member: NSE / BSE
 (Capital Market / F&O and Currency Derivatives Segments)

Dated : _____

1. I/We am/are dealing with you in my/our accounts in the exchange/segments as specified in KYC documents. I/We have put my/our signatures here under to give my/our consent to treat my/our accounts with you as running account for the purpose of operational convenience.
2. I/We hereby give my/our consent and authorise you to set off and / or keep in abeyance my/our pay-out offunds/securities / premium / M to M and / or funds / securities / other collaterals placed by me/us for margins, against the pay-in of funds / securities / premium / MtoM and margins in any of the my/our account with you in any exchange / segment. I/we also authorise you to keep and utilise any funds / securities laying credit with you in any of my/our above mentioned accounts towards all the type of margins, including adhoc margin levied by you over and above exchange specified margins on my/our outstanding transactions and/or towards the pay-in and/or margins on our transactions to be done in future with you in any exchange/segment. I/We further authorise you to onward deposit my/our securities with exchanges and/or clearing corporation/house, for the purpose of margin / exposure limits. I/we shall not be entitled to claim from you any price differences, loss of profit and / or funds in my/our account. I/we assume the responsibility to take necessary action for availing corporate benefits on the retained securities where ever required and shall not be entitled to claim and damage or loss of profit on account of lapsed corporate benefits due to non action on my/our part.
3. I/We, also authorise you to keep with you Premium/MTOM/Securities and pay-out credits and utilize it for the above mentioned purposes until we specifically ask for the withdrawal. I/We also authorize you to issue your interbank a/c. transfer cheques and debit my/our account where there is a credit balance and credit my/our account where there is a debit balance and pass on the JV entries amongst my/our said accounts. Such inter exchange/segment transfer of funds / securities can be affected as and when required and/or at specific time interval as per your accounting practice through single cheque / JV for my specific account and as apart of the consolidated actual fund transfer through control account. I/We hereby declare and agree that any such inter exchange / segment adjustments of fund and securities shall be treated as due discharge of your obligations and I / We shall not have right to raise any claim on you without taking into account any such inter exchange / segment adjustments. I/We shall not have right to demand any payment of funds / delivery of securities until there is a net credit in my/our account across all the exchange / segment.
4. I/We, understand and agree that in case of payments towards pay-in obligations/margins are made through cheque / pay order / demand draft, the securities may be released and/or transaction orders may be executed only upon its realisation in your bank account and/or at your discretion only.
5. I/We, understand and agree that in case of purchase of securities, some times you may be unable to deliver the securities to the purchasing client on pay out day due to non receipt/short receipt of the securities from the exchange or from selling client when there are internal positions. in such cases, the securities shall be delivered to the purchasing client as and when it shall be received from the exchange or from the selling client or the transactions shall be closed out according to the rules and regulations of the concerned stock exchange. In such an event, the purchasing Client shall not be entitled to claim any price difference or loss of profit or any other charges on such transactions/securities.
6. I/We, understand and agree that the ledger statements in respect of transactions entered on all the exchange/segment shall be viewed as combined for the purpose of convenience and the payments made by me / us may be appropriated by you towards any exchange segment at your discretion. I/we agree to settle our mutual obligations of funds and securities at least once in month/quarter. For this purpose I/we authorize you to pass the required journal entries in my ledger to adjust inter-exchange/intersegmentdebits/credits and such journal entries, backed by actual funds transfer shall be considered as due discharge of your obligation. I/we further authorize you to automatically send/credit the securities and funds in my designated demat / banking account. I/we agree to verify our statements of funds and securities on your website and as may be sent by you from time to time. I/we shall bring to your notice, the discrepancy if any preferably within seven days from the end of respective settlement date.
7. I/We, understand and agree that without prejudice to your other rights (including the right to refer a matter to the arbitration), you shall be entitled to liquidate/close out all or any of the our positions as well as securities placed with/retained by you as margin for non-payment of margins, M to M, premiums, other lawful amounts, outstanding debts etc. and adjust the proceeds of such liquidation / close out against my/our liabilities / obligations. Such liquidation or close out may be effected in any exchange / segment against overdue of any other

exchange/segment in which I/we do business with you and all the consequential losses and charges shall be born by me/us. I/we understand and agree that all the funds and securities placed with you or retained by you towards the margins are subject to a lien in your favour and while enforcing your lien, you may decide at your discretion the liquidation of any particular funds / securities and its modalities.

8. I/we understand and agree that the exchange/segment wise intra-day/end of day outstanding positions and volume of business shall be decided mutually from time to time considering the availability of required margins to the credit of my/our account and subject to the limits specified by the Exchange/Clearing house/SEBI. However, not with standing any such arrangement in this regard. you have absolute discretion to reduce the outstanding positions and/or restrict the dealings on any exchange / segment / securities without citing any reasons.
9. I/we understand and acknowledge that the placing of order with you electronically or otherwise does not guarantee its execution at specific price. I/we understand that the orders are generally be routed to the exchange's computer system under the normal course of business. However, you shall not be liable for any resultant actual or notional profit / loss arising from difference in order and execution prices due to the delay in receiving the order instructions by the computer operator and / or due to the partial non-execution of orders on account of connectivity or system failure and software bugs at exchange or brokers office. suspension of trading, non availability of required quantity or for any other reasons whatsoever beyond the control of the trading member. I/we also understand and acknowledge that in case of market price orders, the actual execution price and quantity may be different that the order price and quantity.
10. I/we understand and acknowledge that any of your officials/employees/sub-brokers/affiliates are not authorised to advise the client and / or provide the information and recommendations about suitability and/or profitability of any investments and/or to carry out operations in my account at their discretion. I/we assumes full responsibility of our investment decisions. Neither you nor any of your directors, officials, employees, agent, sub-broker, affiliates shall have any responsibility / liability with respect to resultant profit / loss from any of my/our investment decision or transaction.
11. I/we hereby declare that I/we am / are not acting as unregistered intermediary on behalf of any other person and not associated with any other Stock Broker in the capacity of sub-broker/authorised person / authorised user / director/partner/employee and shall not get my/our self/selves so associated without prior written intimation to you.
12. I/we undertake and agree that I/we shall not, whether acting alone or in cencert with others, directly or indirectly, hold and controll the number of shares and/or take positions in any security beyond the limits fixed from time to time by the said Exchange / SEBI or under any other act, rules and regulations.
13. I/we hereby undertake to make, from time to time the necessary disclosures regarding my/our direct / indirect holding in securities business associations, other business dealings and all such other disclosures of information which are required to fulfill the statutory obligations under any rules, regulations and bye-laws of the Exchange / SEBI or under any other act, rules and regulations.
14. I/we are aware that you may tape-record the telephonic and on the desk conversation between the me/us and your dealers / sub-brokers/employees and I/we specifically permit you to use such records as an evidence to resolve disputes in connection with the transactions.
15. I/we understand and agree that any notice served on me/us either by hand delivery thereof or by Ordinary post / Registered AD/ Courier / Fax at the addresses registered with you or on the designated email Ids. would be deemed to have seen duly served. Not with standing anything statedc above, communication relating to orders. margin maintenance calls and other similar matters in the ordinary course of dealings between us may be communicated orally or telephonically. It is specifically agreed by me/us that the margin calls on outstanding positions under the abnormal market conditions given by you through telephone and / or mobile SMS shall be deemed as margin call notice duly served on me to enable you to liquidate / close out the outstanding positions.
16. I/we understand that this authorization can be revoked by me/us anytime by giving a written intimation to this effect at the registered / corporate office of the broker. However, the revocation shall be effective prospectively from the date of its receipt and shall not effect the rights of the broker to take necessary actions under this authorization with respect to the outstanding obligations of already executed transaction till the date of receipt of the revocation intimation.

X

Client's Signature

Account Code: _____

TARIFF SHEET

	CASH SEGMENT				
	Trading			Delivery	
	Minimum Rs.	Percent		Minimum Rs.	Percent
		1st side	2nd Side		
General Rates	0.10	0.10%	0.00%	0.10	1.00%
Special Rates					

	EQUITY FUTURES				
	Same Day			Any Day	
	Minimum Rs.	Percent		Minimum Rs.	Percent
		1st side	2nd Side		
General Rates	0.10	0.10%	0.00%	0.10	0.10%
Special Rates					

	EQUITY OPTIONS				
	Same Day			Any Day	
	Minimum Rs.	Percent		Minimum Rs.	Percent 2nd side
		1st side	2nd Side		
General Rates	Rs. 100 per lot	1.00% of Premium	0.00	Rs. 100 per lot	1.00% of Premium
Special Rates					

	CURRENCY FUTURES				
	Same Day			Any Day	
	Minimum Rs.	Percent		Minimum Rs.	Percent 2nd side
		1st side	2nd Side		
General Rates	0.05	0.05%	0.00%	0.05	0.05%
Special Rates					

	CURRENCY OPTIONS				
	Same Day			Any Day	
	Minimum Rs.	Percent		Minimum Rs.	Percent 2nd side
		1st side	2nd Side		
General Rates	Rs. 50 per lot	1.00% of Premium	0.00%	Rs. 50 per lot	1.00% of Premium
Special Rates					

- The above rates are inclusive of all charges except Securities Transaction Tax and Service Tax which will be charged extra at the rate prevailing from time to time.
- The General rates as mentioned here shall be applied unless the special rates as may be agreed by the sub-broker / Authorised Person / introducer and client and the same are mentioned here.

X

Client's Signature

Sf

Signature of Sub-Broker / AP / Introducer

Bf

Signature of Broker

Most Important Terms and Conditions (MITC)

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

X

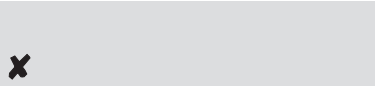
Client's Signature

Account Code: _____

ACKNOWLEDGMENT

I/We hereby acknowledge the receipt of copies following documents / papers.

- Rights and obligations.
- Risk Disclosure Document
- Guidance Note - Do's and Don't'
- Operational Business Policies
- PMLA Information
- Instructions / Check List
- Photocopy of KYC form, Running A/c. Authorization and Tariff Sheet signed and submitted by me.
- Account opening Letter



Client's Signature

Date :