

CLIENT REGISTRATION FORM INDIVIDUAL/ NON-INDIVIDUAL



AJMERA ASSOCIATES LIMITED

Branch Name		Date of Account Opening	
Branch Code		Form No	
AP Name:		Client Code	
AP Code:		Client Name	



AJMERA ASSOCIATES LTD.

CIN NO.: U67120MH2001PLC134203

Registered & Correspondence Office Address:

63/67 Ajmera House, 4th Floor, Off. K. H. Ajmera Chowk, Pathakwadi Mumbai: 400002

Tel.: 022-40628888 Fax: 022-40628989 Website: www.ajmera.co.in

Exchange	Segment	SEBI Registration No.	Member Code	Date of Registration
BSE	Cash/ Equity Derivative (FO) Commodity	INZ000177531	0911	26-04-2018
NSE	Cash/ Equity Derivative (FO) Currency Derivative (CD)	INZ000177531	11858	26-04-2018
MCX	Commodity	INZ000177531	10665	26-04-2018
MSE	Currency Derivative (CD)	INZ000177531	11400	26-04-2018
CDSL	Depository Participant	IN-DP-CDSL-210-2003	30300	01-05-2003

Clearing Member Details:	Segment
ICCL- BSE Limited, P J Towers, Dalal Street, Fort, Mumbai -400001	BSE (Cash), BSE (FO); NSE (Cash), NSE (FO)
ICICI Bank Limited- Capital Market Division, 122, 1st Floor, Mistry Bhavan, Dinshaw Vachha Road, Churchgate, Mumbai 400020	NSE (CD); MSE (CD)
Globe Capital Market Limited- Lotus Corporate Park, Laxmi Nagar, Goregaon (East), Mumbai 400 063.	BSE (Commodity); MCX (Commodity)

Compliance Officer:	Ms. Shweta J Shetty Ph.: 022-40628853 Email: compliance@ajmera.co.in
Director/CEO Details:	Mr. Ashish Kishore Ajmera Ph : 022-40628844 Email id : ashish@ajmera.co.in

For any grievance/dispute please contact **Ajmera Associates Ltd.** the above address or email id- investorcomplaints@ajmera.co.in and Phone no. 022-40628888.

In case not satisfied with the response, please contact the concerned Exchange(s)/SEBI at below given Email-Id and Phone No.:

Exchange/ Depository	Email ID	Phone No.
Bombay Stock Exchange Ltd. (BSE)	is@bseindia.com	022-22728138
National Stock Exchange of India Ltd. (NSE)	ignse@nse.co.in	022-26598190
Metropolitan Stock Exchange of India Ltd. (MSE)	investorcomplaints@msei.in	022-61129000
Multi Commodity Exchange (MCX)	grievance@mcxindia.com	022-6731 8888
Central Depository Services (India) Ltd. (CDSL)	complaints@cdslindia.com	022-22723333

SEBI has set up a centralized web based complaints redress system (SCORES) for easy retrieval and tracking of complaints of the investors. Clients may also lodge and follow up their complaints and track the status of such complaint from anywhere through SCORES by visiting www.scores.gov.in

IDENTITY VERIFIED "IN PERSON"

Date: _____

Signature of Employee/Branch Manager: _____ Place : _____

Name of Employee/Branch Manager: _____

Designation / Department: _____ Employee Code: _____

Head – Office / Branch: _____

DOCUMENTS VERIFIED "IN ORIGINAL"

Date: _____

Signature of Employee/Branch Manager: _____ Place: _____

Name of Employee/Branch Manager: _____

Designation / Department: _____ Employee Code: _____

Head – Office / Branch: _____

-----: **FOR OFFICE USE ONLY** :-----

VERIFIED "NOT A DEBARRED ENTITY"

VERIFIED "Not a Individual or Entity as covered" on <http://www.watchoutinvestors.com>

VERIFIED "Not a Individual or Entity as approved by UNSCO" on <http://www.un.org/sc/committees/1267/consolist.shtml>

Signature of Employee: _____

Name of Employee: _____

Designation / Department: _____

Employee Code: _____

Date: _____ Place: _____

INDEX OF DOCUMENTS			
Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, CDSL & EXCHANGES			
KYC for Trading and / or Demat Account			
1.	Know Your Client	Know Your Client (KYC) enables to know/ understand the customers and their financial dealings to be able to serve them better.	
2.	FATCA & CRS Declaration	FATCA & CRS Annexure for Individuals and Non-Individuals accounts	
4.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock Exchange(s)	
Trading Documents			
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).	
4.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
5.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors in Equity and Commodity Market.	
6.	Policy and Procedures	Document describing significant policies and procedures of the stock broker (to be added by the stock broker).	
Documents for Demat Account (If DP services availed through AAL)			
7.	Rights and Obligations	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories.	
8.	Terms and Condition for Receiving SMS alerts from CDSL	Terms & Conditions for receiving alerts on the Debits and or Credits in the Demat Account of the Client through Short Message Services (SMS) from Depository.	
9.	SMS Alerts and / or TRUST Facility	A. Registration Form for availing SMS Alert and/ or Trustfacility B. Terms and Conditions for Trust Service	
10.	Tariff Sheet (Demat)	The Charges payable by the Client for availing DP services.	
11.	Basic Service Demat A/c.	BSDA Facility.	
12.	Option form for Issue of DIS Booklet	The option given to the client for having delivery instruction Slip Book.	
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
13.	Power Of Attorney	A written document in which one person (the principal) appoints another person to act as an agent on his or her behalf, thus conferring authority on the agent to perform certain acts or functions on behalf of the principal.	
14.	Running account letter	It is request from client to maintain running account for securities and fund in order to meet the obligation of exchange in all Segment, and request letter for trading in CFC.	

15.	Request letter Electronic Communication services & Terms & Conditions of ECS	Allows client's to receive correspondence like Contract notes, Financial statements etc through regd. E-mail Id.	
16.	Authority Letter	Authority given by the client to Debit Demat Charges in my/our trading Account and disclosure for Proprietary Trading.	
17.	Authority letter	Authorizing for squaring off outstanding position	
18.	Margin letter	Margin Deposit Letter	
19.	SMS Authority Letter	Authority given by client for SMS Addition	
20.	NRI Undertaking/Declaration	Declaration from the NRI Client to abide by the rule of SEBI, RBI and FEMA etc.	
21.	Fit & Proper Person Declaration	Declaration of Fit & Proper Person as per Regulation 20 of SCR (SECC) Regulations, 2012	
22.	Authorization Letter	Authorization by client for Disclosure of Clients Details	
23.	Undertaking	Request for trading in Commodity forward Contracts / commodity derivatives on MCX /BSE as your client	
24.	Consent Letter	Letter to receive the contract note and trade confirmations by email. The client may, if he deems shall execute this instruction.	
24.	Undertaking	Undertaking	
FORMATS			
25.	Bank verification Letter	To be provided on letter head or attested by Bank	
26.	Declaration by HUF	To be provided on letter head (if applicable)	
27.	Declaration by Sole Proprietary	To be provided on letter head (if applicable)	
28.	Declaration & Authority by Partners of Partnership Firm	To be provided on letter head (if applicable)	
29.	Board Resolution for KRA	To be provided on letter head of Corporate/Trust/LLP	
30.	Board Resolution for Corporate/ Trust/ LLP	To be provided on letter head of Corporate/Trust/LLP	
31.	Points to be mentioned in trust Deed	To be provided by the Trust (if applicable)	

FORM - BSE STAR MUTUAL FUND

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MANDATORY

Identity Proof: (Any One)	<input type="checkbox"/> PANCard <input type="checkbox"/> Aadhar Card
Bank Proof: (Any One)	<input type="checkbox"/> Statement <input type="checkbox"/> Pre-Printed Cheque Leaf <input type="checkbox"/> Bank Passbook <input type="checkbox"/> Banker's Letter
MICR Proof: (Any One)	<input type="checkbox"/> Cancelled Cheque <input type="checkbox"/> Banker's Letter <input type="checkbox"/> Photostat Cheque Leaf
Address Proof: (Any One)	<input type="checkbox"/> Passport <input type="checkbox"/> Voter ID <input type="checkbox"/> Driving Licence <input type="checkbox"/> Telephone Bill <input type="checkbox"/> Electricity Bill <input type="checkbox"/> Ration Card <input type="checkbox"/> Bank Passbook <input type="checkbox"/> Others (Please Specify)
DEMAT Proof: (Any One)	<input type="checkbox"/> Client Master <input type="checkbox"/> Pre-Printed DIS <input type="checkbox"/> Transaction / Holding
Financial Details: (Compulsory for Trading in Derivatives Segment) (Any One)	<input type="checkbox"/> Copy of ITR Acknowledgment <input type="checkbox"/> Copy of Annual Accounts <input type="checkbox"/> Networth Certificate <input type="checkbox"/> Copy of Form 16 (in case of Salary income) <input type="checkbox"/> Salary Slip <input type="checkbox"/> Bank Account Statement (Last 6 Month) <input type="checkbox"/> Copy of DEMAT Account Holding Statement <input type="checkbox"/> Any other relevant document substantiating Ownership of Assets <input type="checkbox"/> Self-Declaration along with relevant Supporting

Additional Instruction:

1. 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.
2. 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.

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

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

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.

5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

F. Additional

1. Copy of cancelled cheque leaf / pass book/bank statement specifying name of the constituent, MICR Code or/the bank should be submitted.
2. Demat master or recent holding statement issued by DP bearing name of the client.
3. 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 client 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.

CLIENT REGISTRATION FORM

(This information is the sole property of the trading member/ brokerage house and would not be disclosed to anyone unless required by law or except with the express permission of clients)



AJMERA ASSOCIATES LTD.

(CIN: U67120MH2001PLC134203) ISO/IEC 27001:2013/ISO 9001:2015 Certified

63-67 Ajmera House, 4th Floor, Off. K. H. Ajmera Chowk, Pathakwadi Mumbai: 400002.

Tel.: 022-40628888 Fax: 022-40628989 E-mail: compliance@ajmera.co.in Website: www.ajmera.co.in

CEO: Mr. Ashish Kishore Ajmera & Compliance Officer: Ms. Shweta J. Shetty Ph.: 022-40628853 Email: compliance@ajmera.co.in

Member Code: BSE – 911, NSE: 11858, MSE: 11400, MCX: 10665 & DP: 30300

SEBI Registration No.: INZ000177531 {BSE (CM, FO & Commodity)}	SEBI Registration No.: INZ000177531 {NSE (CM, FO& CDs)}
SEBI Registration No.: INZ000177531 {MSE (CDs)}	SEBI Registration No.: INZ000177531 {MCX (Commodity)}
CDSL Registration No.: IN-DP-CDSL-210-2003	

CLEARING MEMBER DETAILS : ICCL- BSE Limited, P J Towers, Dalal Street, Fort, Mumbai -400001	BSE (Cash), BSE (FO); NSE (Cash), NSE (FO)
ICICI Bank Limited - Capital Market Division, 122, 1st Floor, Mistry Bhavan, Dinshaw Vachha Road, Churchgate, Mumbai 400020	NSE (CD); MSE (CD)
Globe Capital Market Limited - Lotus Corporate Park, Laxmi Nagar, Goregaon (East), Mumbai 400 063.	BSE (Commodity); MCX (Commodity)

I / We request you to open a Demat/ Trading Account in my/ our name as per the following details:

Trading Account Commodity Account Demat Account All

Client ID

1	2	0	3	0	3	0	0							
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 ClientCode

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Select the Stock Exchange & Market Segment

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

(Client's Signature)

Client Signature	<input type="checkbox"/>	BSE Cash / Capital Market	_____
	<input type="checkbox"/>	BSE Equity Derivative Market	_____
	<input type="checkbox"/>	NSE Cash / Capital Market	_____
	<input type="checkbox"/>	NSE Equity Derivative Market	_____
	<input type="checkbox"/>	NSE Currency Derivative Market	_____
	<input type="checkbox"/>	BSE Commodity Market	_____
	<input type="checkbox"/>	MCX Commodity Market	_____
	<input type="checkbox"/>	MSE Currency Derivative Market	_____

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.

TYPE

Nationality Indian Others

Type of Account (Please tick whichever is applicable)

Status	Sub Status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c (MANTRA)	<input type="checkbox"/> Individual Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Others (Specify)
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter Others (Specify)
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National-Depository Receipts	<input type="checkbox"/> Others (specify)
<input type="checkbox"/> Non Individual	<input type="checkbox"/> HUF <input type="checkbox"/> Partnership Firm	<input type="checkbox"/> Corporate

PERSONAL & CONTACT DETAILS FOR INDIVIDUAL

Name of the Individual

Father / Husband Name

Mother Name

Date of Birth

D	D	M	M	Y	Y	Y	Y
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 PANNo.

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Gender Male Female Marital Status Married Single

Service Central Govt. State Govt. Public Sector Private Sector NGO Statutory Body

Occupation Professional Business Farmer Retired House-Wife Student
Others (Specify)

Education Under Graduate Graduate Post Graduate Professional Others

Unique Identification Number (UID) / Aadhaar, if any,

Nature of Business

Name of Employer / Establishment

Address

Contact No.

Specify the proof of Identity Submitted.

(A) RESIDENCE ADDRESS (Foreign Address if the first / sole Holder is NRI)

Flat No. Bldg. Name

Street No./Name

Landmark / Area

City State

Country Pin

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 Mobile

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Tel(R) Tel(O)

Fax E-mailid

Ownership / Title Self Owned Owned by relation Jointly Owned Rented

Specify the proof of Add. submitted for Permanent Add.

(B) CORRESPONDENCE ADDRESS (Indian Address if the first / sole Holder is NRI)

Flat No. Bldg. Name

Street No./Name

Landmark / Area

City State Country

Pin

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 Tel(O) Fax

Specify the proof of Add. submitted for Corps. Add.

Affix
Passport Size
Photograph
Only
Please Sign
Across the
Photograph

KNOW YOUR CLIENT (KYC) APPLICATION FORM

FOR NON-INDIVIDUALS

PHOTOGRAPH

Please affix the recent passport size photographs 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: _____

C. OTHER DETAILS

- 1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: _____
- 2. a) DIN of whole time directors: _____
- b) Aadhaar number of Promoters/Partners/Karta: _____

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I 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 and Self-Attested Document copies received

(.....)
Name & Signature of the Authorised Signatory
Date

Seal/Stamp of the intermediary

Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and Wholetime/Other Directors :

1. Name

Date of Birth / /

Bank Name Bank Account No.

Bank MICR Code Bank IFSC Code

Residential Address

DIN UID DPIN

Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Whole time/Other Directors:
 Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) Not a Politically Exposed Person (PEP) Not Related to a Politically Exposed Person (PEP)

2. Name

Date of Birth / /

Bank Name Bank Account No.

Bank MICR Code Bank IFSC Code

Residential Address

DIN UID DPIN

Photographs of Promoters / Partners / Karta / Trustees / Whole time / Other Directors & authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Whole time/Other Directors:
 Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) Not a Politically Exposed Person (PEP) Not Related to a Politically Exposed Person (PEP)

3. Name

Date of Birth / /

Bank Name Bank Account No.

Bank MICR Code Bank IFSC Code

Residential Address

DIN UID DPIN

Photographs of Promoters / Partners / Karta / Trustees / Whole time / Other Directors & authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Whole time/Other Directors:
 Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) Not a Politically Exposed Person (PEP) Not Related to a Politically Exposed Person (PEP)

4. Name

Date of Birth / /

Bank Name Bank Account No.

Bank MICR Code Bank IFSC Code

Residential Address

DIN UID DPIN

Photographs of Promoters / Partners / Karta / Trustees / Whole time / Other Directors & authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Whole time/Other Directors:
 Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) Not a Politically Exposed Person (PEP) Not Related to a Politically Exposed Person (PEP)

GUARDIAN'S DETAILS (Only if the account holder is minor)Title: Mr. Mrs. Ms. Others _____ **Nationality** Indian Others _____

Guardian's Name _____

Father's / Spouse Name _____

Date of Birth _____

PAN No. _____

Gender Male Female**Marital Status** Married Single

Relationship of guardian with BO _____

Unique Identification Number (UID) / Aadhar, if any, _____

Specify the proof of Identify Submitted _____

Occupation: Private sector Public Sector Government Service Self-Employed Business
 Professional Agriculturist Student Retired House-wife Others _____
(Specify)

Address _____

City/Town/Village _____ Pin Code _____ State _____ Country _____

Tel.(R/O) _____ Mobile _____ SMS Facility Yes No

Fax _____ E-mail ID _____

Specify the proof of address submitted for correspondence address: _____

Please tick, if applicable Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

Any Other Information _____

Name of Office / Business _____

Address _____

Financial Details- Income Range Up to 1,00,000 1,00,000 to 5,00,000 5,00,000 to 10,00,000
(Per Annum Rs.) 10,00,000 to 25,00,000 More Than 25,00,000**BANK DETAILS****1. Bank Name** _____ **Branch** _____

Address _____

A/c. No.: _____ MICR No.: _____

IFSC Code: _____

A/c Type Savings Current Others (Specify) _____**2. Bank Name** _____ **Branch** _____

Address _____

A/c. No.: MICR No.:

IFSC Code:

A/c Type Savings Current Others (Specify)

- (i) Photocopy of the cancelled cheque having the name of the account where the cheque book is issued (or)
 - (ii) Photocopy of the Bank Statement having name and address of the holder BO
 - (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.

DEMAT DETAILS

1. CDSL NSDL Beneficiary Name

Depository Participant Name **Ajmera Associates Ltd**

(Through which transactions will generally be routed) (Default for Payout)

DP ID No. 12030300 BO Account Number

2. CDSL NSDL Beneficiary Name

Depository Participant Name

DP ID No. BO Account Number

OTHER DETAILS

Income Range Up to 1,00,000 1,00,000 to 5,00,000 5,00,000 to 10,00,000
(Per Annum in Rs.) 10,00,000 to 25,00,000 More Than 25,00,000

OR Network Ason

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

(Network should not be older than 1 year)

INVESTMENT EXPERIENCE No Prior Experience Capital Market _____ yrs.
 Derivatives Market _____ yrs. Other Investment Field _____ yrs.

Please tick, if applicable

Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

Whether you wish to receive physical contract not or Electronic Contract Note (ECN) (please specify) Yes No

Specify your Email ID, if applicable :

Whether you wish to avail of the facility of internet trading / wireless technology (please specify) Yes No

Any other information

INTRODUCTION DETAILS

Introducer's Name

Address

Tel./Mobile

PAN No.

Introducer's Signature

Status of Introducer:

Sub Broker/ Remisier/ Authorized Person/ Existing Client/ Other Please specify _____

GST REGISTRATION DETAILS

GST Registration No. :	
Taxpayer Trade Name:	
Taxpayer Legal Name:	
Address	

DEALINGS THROUGH SUB-BROKERS

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

Name			BSE SEBI Reg. No.	
Regd. Off. Address			NSE SEBI Reg. No.	
Signature	Tel.No.		Remisier/AP	
	Fax No.		Remisier/AP	
	Website			

BROKER DETAILS

Whether registered with any Broker - Member Yes No

If Yes, Then Provide Details as given below. (If registered with multiple members, provide details for all)

BROKERS NAME	SUB BROKER'S NAME (if any)	EXCHANGE	CLIENT CODE

Details of disputes/dues pending from / to such stock broker / sub-broker.

ACTIONS TAKEN

Details if 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.

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 am / we are to be held liable for it.



(Client's Signature)

Place _____ Date _____

FOR OFFICE USE ONLY

<input type="checkbox"/> (Originals verified) True copies of documents received	Signature of the Authorised Signatory		Seal / Stamp of the intermediary
	Name		
<input type="checkbox"/> (Self-Attested) Self Certified Document copies received	Signature		
	Designation		
	Date		

JOINT HOLDER DETAILS FOR DEMAT ACCOUNT OPERATION

SECOND HOLDER DETAILS

Second Holder Name

Father / Husband Name

Date of Birth **PAN No.**

Gender Male Female **Marital Status** Married Single

Service Central Govt. State Govt. Public Sector Private Sector NGO Statutory Body

Occupation Professional Business Farmer Retired House-Wife Student
Others (Specify)

Education Under Graduate Graduate Post Graduate Professional Others

Unique Identification Number (UID) / Aadhaar, if any,

Nature of Business

Affix
Passport Size
Photograph
Only
Please Sign
Across the
Photograph

RESIDENCE ADDRESS

Flat No. **Bldg. Name**

Street No./Name

Landmark / Area

City **State**

Country **Pin** **Mobile**

Tel(R) **Tel(O)**

Fax **E-mail Id**

Please tick, if applicable Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

Any Other Information

Financial Details- Income Range (Per Annum in Rs.) Up to 1,00,000 1,00,000 to 5,00,000 5,00,000 to 10,00,000 10,00,000 to 25,00,000 More Than 25,00,000

Specify the proof of Identify Submitted

THIRD HOLDER DETAILS

Third Holder Name

Father / Husband Name

Date of Birth **PAN No.**

Gender Male Female **Marital Status** Married Single

Affix
Passport Size
Photograph
Only
Please Sign
Across the
Photograph

Service Central Govt. State Govt. Public Sector Private Sector NGO Statutory Body

Occupation Professional Business Farmer Retired House-Wife Student

Others (Specify)

Education Under Graduate Graduate Post Graduate Professional Others

Unique Identification Number (UID) / Aadhaar, if any,

Nature of Business

RESIDENCE ADDRESS

Flat No. Bldg. Name

Street No./Name

Landmark / Area

City State

Country Pin Mobile

Tel(R) Tel(O)

Fax E-mail Id

Please tick, if applicable Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

Any Other Information

Financial Details-Income Range Up to 1,00,000 1,00,000 to 5,00,000 5,00,000 to 10,00,000
(Per Annum in Rs.) 10,00,000 to 25,00,000 More Than 25,00,000

Specify the proof of Identify Submitted

HOLDERS DETAILS

SMS Alert Facility Refer to Terms & Conditions given as Annexure- 2.4	MOBILE NO. +91 [[Mandatory, If you are giving Power of Attorney / POA]] (if POA is not granted & you do not wish to avail of this facility, cancel this option)									
Transactions Using secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2.6	I wish to avail the TRUST facility using the Mobile Number registered for SMS Alert Facility, <input type="checkbox"/> Yes <input type="checkbox"/> No I have read and understood the Terms and Conditions prescribed by CDSL for the same. I/We wish to register the following clearing member IDs under my/our below mentioned BO ID Registered for TRUST.									
	<table border="1" style="width: 100%;"> <thead> <tr> <th style="width: 33%;">Stock Exchange Name/ID</th> <th style="width: 33%;">Clearing Member Name</th> <th style="width: 33%;">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)								
Easi	To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.									

STANDING INSTRUCTIONS

I / We instruct the DP to receive each and every credit in my / our account Yes No

Do you wish to receive dividend / interest directly into your bank account given above through ECS Yes No

I / We request you to send Electronic Transaction-cum-holding statement at sole / first holder Yes No
 Email ID stated in the Account Opening Form or at _____

I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further instruction from my / our end Yes No

I / We would like to share the email ID with the RTA Yes No

I / We would like to receive the Annual Report Physical / Electronic / Both
 Physical and Electronic

DP Statement: Print Email Both None

Mental Disability: Yes No

CAS Mode: Physical No

Account Statement requirement Daily Weekly Fortnightly Monthly

SMS Alert Facility: Yes No If Yes, Mobile No.




DETAILS OF COLLATERAL SECURITIES DEPOSITED

Collateral Details	Collateral's Declared Value	% Haircut	Assigned Value
Cash			
Marketable Securities			
Bank Guarantees			
Immovable Property			
Jewellery			
Others (Specify)			

DECLARATION

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

BENEFICIAL OWNER(S)

	Name	Signature
First / Sole Holder		
Second Holder		
Third Holder		

Place

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

IN - PERSON VERIFICATION

Name of Staff

Member: Designation

Employee Code

Date of Verification

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Signature
Stamp

NOMINATION DETAILS (FOR TRADING AND DEMAT ACCOUNT)

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

- I / We do not wish to nominate any one for this trading and/or demat account
- I / We nominate the following person who is entitled to receive security / funds balances lying in my / our trading and/or demat account particulars where of are given below, in the event of my / our death.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name :			
*First Name:
Middle Name:
*Last Name
*Address:			
*City:			
*State:			
*Pin:			
*Country:			
Telephone No:			
Fax No:			
Nomination Details	Nominee 1	Nominee 2	Nominee 3
PAN No:			
UID:			
Email ID:			
*Relationship with the BO:			
Date of Birth (Mandatory if Nominee is a Minor):			
Name of the Guardian of Nominee (if the nominee is minor):			
*First Name:
Middle Name:
*Last Name
*Address of the Guardian of nominee:			
*City:			
*State:			
*Country:			
*Pin:			
Age			
Telephone:			
Fax No:			
Email ID:			
*Relationship of the Guardian with the Nominee:			




*Percentage of allocation of securities:			
*Residual securities [Please tick any one nominee. If tick not marked default will be first nominee]:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Note: Residual securities: in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

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

Note: One witnesses shall attest signature(s) / thumb impression(s)

Details of the Witness	Witness
Name of witness	
Address of witness	
Signature of witness	

	First / Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature			

Nomination Registration No. _____ Dated _____




FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

	First/Sole Holder	Second Holder (if any)	Third Holder (if any)
Client Code:		NA	NA
Demat Account No.			
1. Are you U.S. person	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Specify country of tax residency (If resident of more than one country, please specify all)			
3. Specify country of citizenship (If citizen of more than one country, please specify all)			
If ticked on "Yes" in point no.1 and "specifies countries other than India" in point no.2 and 3 above, please provide below details:-			
4. Provide Tax Identification Number			
5. Specify country of birth			
6. Specify city of birth and pin code			
7. Source of Wealth	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Rental Income <input type="checkbox"/> Prize money <input type="checkbox"/> Royalty <input type="checkbox"/> Other (Please specify) _____	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Rental Income <input type="checkbox"/> Prize money <input type="checkbox"/> Royalty <input type="checkbox"/> Other (Please specify) _____	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Rental Income <input type="checkbox"/> Prize money <input type="checkbox"/> Royalty <input type="checkbox"/> Other (Please specify) _____

DECLARATION

I / We hereby declare, agree and confirm the following:-

- a) The details furnished above are true to the best of my knowledge and belief and shall undertake to inform Ajmera Associates Ltd. within 30 days, in case of any change in the above given status on a future date;
- b) If I/we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by Ajmera Associates Ltd. to the relevant tax authority, or information may be shared with concerned Asset Management Companies (AMCs) or such other product providers, to whom FATCA/CRS norms are applicable or to any of the Government Agencies/Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India;
- c) If my / our Country of Birth is US, however, I / We declare that I / We are not US Person, I / We shall provide a certificate of relinquishment of citizenship (Loss of nationality) OR a self certification stating reasons for not having such a certificate despite relinquishing US citizenship OR not obtaining US citizenship at birth.

First/Sole Holder Signature	Second Joint Holder Signature	Third Joint Holder Signature
		



Supplementary KYC Information & FATCA-CRS Declaration - Entities & HUF

Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

PAN* Name

Type of address given at KYC KRA: Residential Residential or Business Business Registered Office

City of incorporation

Country of incorporation

Net Worth in INR. In Lakhs Net Worth as on DD / MM / YYYY

(Date should not be older than one year)

Is the entity involved in / providing any of these services:	Foreign Exchange / Money Changer Services	YES <input type="checkbox"/> NO <input type="checkbox"/>	Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates]	YES <input type="checkbox"/> NO <input type="checkbox"/>	Money Laundering / Pawning	YES <input type="checkbox"/> NO <input type="checkbox"/>	Any other information [if applicable]

Entity Constitution Type <small>Please tick as appropriate</small>	<i>Partnership Firm</i> <input type="checkbox"/>	<i>HUF</i> <input type="checkbox"/>	<i>Private Limited Company</i> <input type="checkbox"/>	<i>Public Limited Company</i> <input type="checkbox"/>	<i>Society</i> <input type="checkbox"/>	<i>AOP/BOI</i> <input type="checkbox"/>
	<i>Trust</i> <input type="checkbox"/>	<i>Liquidator</i> <input type="checkbox"/>	<i>Limited Liability Partnership</i> <input type="checkbox"/>	<i>Artificial Juridical Person</i> <input type="checkbox"/>	<i>Others specify</i> _____	

Please tick the applicable tax resident declaration -

1. Is Entity a tax resident of any country other than India Yes No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Country	Tax Identification Number	Identification Type (TIN or Other %, please specify)

*In case Tax Identification Number is not available, kindly provide its functional equivalent or Company Identification Number or Global Entity Identification Number. In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

FATCA Declaration

(Please consult your professional tax advisor for further guidance on FATCA classification)

PART A (to be filled by Financial Institutions or Direct Reporting NFFEs)

1. We are a, Financial institution⁶ or Direct reporting NFFE⁷ (please tick as appropriate)

GIIN

Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

Name of sponsoring entity

GIIN not available (please tick as applicable)

Not required to apply for - please specify 2 digits sub-category¹⁰

Not obtained - Non-participating FI

PART B (please fill any one as appropriate to be filled by NFEs other than Direct Reporting NFEs)

1. Is the Entity a publicly traded company ¹ (that is, a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <input type="checkbox"/> <small>(If yes, please specify any one stock exchange on which the stock is regularly traded)</small> Name of stock exchange _____
2. Is the Entity a related entity ² of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <input type="checkbox"/> <small>(If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)</small> Name of listed company _____ Nature of relation: Subsidiary of the Listed Company or Controlled by a Listed Company Name of stock exchange _____
3. Is the Entity an active ³ NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> <small>(If yes, please fill UBO declaration in the next section.)</small> Nature of Business _____ Please specify the sub-category of Active NFE <input type="text"/> <small>(mention code - refer 2c of Part D)</small>
4. Is the Entity a passive ⁴ NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> <small>(If yes, please fill UBO declaration in the next section.)</small> Nature of Business _____

UBO Declaration

Category (Please tick applicable category): Unlisted Company Partnership Firm Limited Liability Partnership Company
 Unincorporated association / body of individuals Public Charitable Trust Religious Trust Private Trust
 Listed Company (Need not provide UBO details sought under) Others (please specify _____)

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s).

Owner-documented FFI's⁵ should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner / Controlling person	#Tax ID Type - TIN or Other, please specify	Address - Include State, Country, PIN / ZIP Code & Contact Details
#Country - Tax Residency*	Beneficial Interest - in percentage	
#Tax ID No. - Or functional equivalent for each country ^{2c}	#Type Code ¹¹ - of Controlling person	
1. Name	Tax ID Type	Address
Country	Beneficial Interest	
Tax ID No.	Type Code	ZIP State: Country:
2. Name	Tax ID Type	Address
Country	Beneficial Interest	
Tax ID No.	Type Code	ZIP State: Country:
3. Name	Tax ID Type	Address
Country	Beneficial Interest	
Tax ID No.	Type Code	ZIP State: Country:

If passive NFE, please provide below additional details. (Please attach additional sheets if necessary)

PAN	Occupation Type - Service, Business, Others	DOB - Date of Birth
City of Birth	Nationality	Gender - Male, Female, Other
Country of Birth	Father's Name - Mandatory if PAN is not available	
1. PAN	Occupation Type	DOB DD/MM/YYYY
City of Birth	Nationality	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/>
Country of Birth	Father's Name	<input type="checkbox"/> Others <input type="checkbox"/>
2. PAN	Occupation Type	DOB DD/MM/YYYY
City of Birth	Nationality	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/>
Country of Birth	Father's Name	<input type="checkbox"/> Others <input type="checkbox"/>
3. PAN	Occupation Type	DOB DD/MM/YYYY
City of Birth	Nationality	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/>
Country of Birth	Father's Name	<input type="checkbox"/> Others <input type="checkbox"/>

Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India:

* To include US, where controlling person is a US citizen or green card holder
^{2c}In case Tax Identification Number is not available, kindly provide functional equivalent

⁴Refer 3(iii) of Part D | ⁵Refer 3(vi) of Part D | ¹¹Refer 3(iv) (A) of Part D

FATCA Terms and Conditions

Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).
 If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010. Please note that you may receive more than one request for information if you have multiple relationships with ABC. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

Certification

I have understood the information requirements of this Form (read along with the Instructions & Definitions) and hereby confirm that the information provided by us on this Form is true, correct, and complete. I also confirm that I have read and understood the FATCA Terms and Conditions above and hereby accept the same.

Name	<input style="width: 100%;" type="text"/>
Designation	<input style="width: 100%;" type="text"/>

Signature >>	<input style="width: 100%; height: 50px;" type="text"/>	Place _____	
			Date ___/___/___

PART D FATCA Instructions & Definitions

1 **Financial Institution (FI)** - The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.

ÿ Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.

ÿ Custodial institution is an entity that has a substantial portion of its business, holds financial assets for the account of others and where the entity's gross income attributable to holding financial assets and related financial services equals to or exceeds 20 percent of the entity's gross income during the shorter of -

(1) The three financial years preceding the year in which determination is made; or

(2) The period during which the entity has been in existence, whichever is less.

ÿ Investment entity is any entity:

ÿ that primarily conducts a business or operates for or on behalf of a customer for any of the following 3 activities-

- Trading in money market instruments, foreign exchange, foreign currency, etc.
- Individual or collective portfolio management
- Investing, administering or managing funds, money or financial asset on behalf of other persons;

or

ÿ The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

||

(An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:

- (i) the three-year period ending on 31 March of the year preceding the year in which the determination is made; or
- (ii) the period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 - refer point 2c.)

ÿ Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

ÿ FI not required to apply for GIIN:

A. Reasons why FI not required to apply for GIIN:

Code	Sub-category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors and Investment Managers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

2. Non-financial entity (NFE) - Foreign entity that is not a financial institution

Types of NFEs that are regarded as excluded NFE are:

a. Publicly traded company (listed company)

A company is publicly traded if its stock are regularly traded on one or more established securities markets (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)

b. Related entity of a publicly traded company

The NFE is a related entity of an entity which is regularly traded on an established securities market;

C. Active NFE : (is any one of the following):

Code	Sub-category
1	Less than 50 percent of the NFE's gross income for the preceding financial year or other appropriate reporting period is <i>passive income</i> and less than 50 percent of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of <i>passive income</i> ;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank , or an entity wholly owned by one or more of the foregoing;
3	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for NFE status if the entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
4	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
5	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
6	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	Any NFE is a 'non for profit' organization which meets all of the following requirements: It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; It is exempt from income tax in India; It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof.

3. Other definitions

(i) Related entity

An entity is a related entity of another entity if either entity controls the other entity or the two entities are under common control For this purpose, control includes direct or indirect ownership of more than 50% of the vote or value in an entity

(ii) Passive NFE

The term passive NFE means any NFE that is

- (a) not an Active NFE or publicly traded entity or a entity related to a publicly traded entity
- (b) the gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity
- (c) a withholding foreign partnership or withholding foreign trust as defined under the relevant U.S. Treasury Regulations.

(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

(iii) Passive income

The term passive income means the portion of gross income that consists of-

- (a) Dividends, including substitute dividend amounts;
- (b) Interest
- (c) Income equivalent to interest, including substitute interest and amounts received from or with respect to a pool of insurance contracts if the amounts received depend in whole or part upon the performance of the pool;
- (d) Rents and royalties, other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFE
- (e) Annuities
- (f) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- (g) The excess of gains over losses from transactions (including futures, forwards, and similar transactions) in any financial assets,
- (h) The excess of foreign currency gains over foreign currency losses
- (i) Net income from swaps
- (j) Amounts received under cash value insurance contracts

But not passive income will not include in case of a non-financial entity that acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as a dealer.

(iv) Controlling persons

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under the PMLA Rules. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions.

Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:

- i. More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- ii. More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- iii. More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

(A) Controlling Person Type:

Code	Sub-category
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement--trust-trustee
06	CP of legal arrangement--trust-protector
07	CP of legal arrangement--trust-beneficiary
08	CP of legal arrangement--trust-other
9	CP of legal arrangement--Other-settlor equivalent
10	CP of legal arrangement--Other-trustee equivalent
11	CP of legal arrangement--Other-protector equivalent
12	CP of legal arrangement--Other-beneficiary equivalent
13	CP of legal arrangement--Other-other equivalent

(v) Specified U.S. person – A U.S. person other than the following:

- (a) a corporation the stock of which is regularly traded on one or more established securities markets;
- (b) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (c) the United States or any wholly owned agency or instrumentality thereof;
- (d) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (e) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (f) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (g) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (h) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (i) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (j) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (k) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (l) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (m) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Owner documented FFI

An FFI meets the following requirements:

- (a) The FFI is an FFI solely because it is an investment entity;
- (b) The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- (c) The FFI does not maintain a financial account for any non-participating FFI;
- (d) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
- (e) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFFE.

(vii) Direct reporting NFE

A direct reporting NFFE means a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.

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 Member's designated website, if any

BROKERAGE STRUCTURE

1. CAPITAL MARKET SEGMENT	FIRST SIDE		SECOND SIDE	
Trading Account	%	Min. Paise	%	Min. Paise
a. Square of same day	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. Delivery	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
2. F & O SEGMENT	FIRST SIDE		SECOND SIDE	
Trading Account	%	Min. Paise	%	Min. Paise
a. Brokerage	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
3. CURRENCY DERIVATIVE SEGMENT	FIRST SIDE		SECOND SIDE	
Trading Account	%	Min. Paise	%	Min. Paise
a. Brokerage	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
1. OPTION TRADING	Per Lot FIRST SIDE		SECOND SIDE	
Trading Account	%	Min. Paise	%	Min. Paise
a. Index Option	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. Stock Option	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Currency Option	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
5. Commodity Segment	Brokerage %		Charge On	
Trading			One Side	Both Side
Delivery				
Options				

Place _____ Date _____ (Client's Signature)

FOR OFFICE USE ONLY

UCC Code allotted to the Client :			
Documents verified with Originals / In person Verification done by		Client Interviewed / Approved by	
Name			
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

**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 thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock- broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.

28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub- broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

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

35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

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



(Signature of First / Sole Holder)



(Signature of Second Holder)



(Signature of Third Holder)

**INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK
BROKERS TO CLIENT**

***(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable.
Additionally, the clauses mentioned herein shall also be applicable.)***

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.

8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non- execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.



(Signature of First / Sole Holder)



(Signature of Second Holder)



(Signature of Third Holder)

MANDATORY

**RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET, DERIVATIVES SEGMENTS AND
COMMODITIES**

This document contains important information on trading in Equities/Derivatives/commodities 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, Commodity future 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.

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 commodity derivatives being traded on the Exchange.

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/Commodities 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/commodities. 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/commodities 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/commodities as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts/commodities 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/Commodities.

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/Commodity 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/Commodities. 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/Commodities.

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/ Commodities, and such order gets activated if and when the security / derivatives contract/ Commodities 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/Commodities 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/ Commodities 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:

Traders/Manufacturers make 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 / Commodity Derivatives 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 Commodity Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

In the Commodity/ derivatives market, the amount of margin is small relative to the value of the Commodity derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives/Commodity 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/Commodity 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/Future Commodity 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/Commodity. 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.

4.3 Deposited cash and property:

You should familiarize yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm become insolvent or bankrupt. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property, which has been specifically identifiable as your own, will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the Member of the Exchange, the same shall be subject to arbitration as per the Rules, Byelaws and Business Rules of the Exchange.

4.4 Commission and other charges:

Before you begin to trade, you should obtain a clear explanation of all commissions, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.



(Signature of First / Sole Holder)



(Signature of Second Holder)



(Signature of Third Holder)

**GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) IN EQUITY
SEGMENT****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.nseindia.com, www.bseindia.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 Stockexchange.
13. In case you have given specific authorization, 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 may 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.
 - 15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

- 16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
- 17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/COMPLAINTS

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



(Signature of First / Sole Holder)



(Signature of Second Holder)



(Signature of Third Holder)

GUIDANCE NOTE - DO'S AND DON'TS FOR THE CLIENTS IN COMMODITY SEGMENT**Do's**

1. Trade only through Registered Members of the Exchange. Check from the Exchange website at following link [https://www.mcxindia.com/membership/notice-board/Member- AP](https://www.mcxindia.com/membership/notice-board/Member-AP) Details to see whether the Member is registered with the Exchange.
2. Insist on filling up a standard 'Know Your Client (KYC)' form before you commence trading
3. Insist on getting a Unique Client Code (UCC) and ensure all your trades are done under the said UCC.
4. Insist on reading and signing a standard 'Risk Disclosure Agreement'.
5. Obtain a copy of your KYC and/ or other documents executed by you with the Member, from the Member.
6. Cross check the genuineness of trades carried out at the Exchange through the trade verification facility available on the Exchange website at the following link <https://www.mcxindia.com/en/login> .The trades can be verified online where trade information is available up to 5 working days from the trade date.
7. Insist on a duly signed Contract Note in specified format for every executed tradewithin 24 hours of trade, highlighting the details of the trade along with your UCC.
8. Ensure that the Contract Note contains all the relevant information such as Member Registration Number, Order No., Order Date, Order time, Trade No., Trade rate, Quantity, Arbitration Clause, etc.
9. Obtain receipt for collaterals deposited with the Member towards margins.
10. Go through the Rules, Bye-laws, Regulations, Circulars, Directives, Notifications of the Exchange as well as of the Regulators, Government and other authorities to know your rights and duties vis-à-vis those of the Member.
11. Ask all relevant questions and clear your doubts with your Member before transacting.
12. Insist on receiving the bills for every settlement.
13. Insist on Monthly statements of your ledger account and report any discrepancies in the statement to your Member within 7 working days. In case of unsatisfactory response report the discrepancy to the Exchange within 15 working days from the date of cause of action.
14. Scrutinize minutely both the transaction & holding statements that you receive from your Depository Participant.
15. Keep Delivery Instruction Slips (DIS) book issued by DPs in safe possession.
16. Ensure that the DIS numbers are preprinted and your account number (UCC) is mentioned in the DIS book.
17. Freeze your Demat account in case of your absence for longer duration or in case of not using the account frequently.
18. Pay required margins in time and only by Cheque and ask for receipt thereof from the Member.
19. Deliver the commodities in case of sale or pay the money in case of purchase within the time prescribed.
20. Understand and comply with accounting standards for derivatives.
21. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the Member. Note that the clauses as agreed between you and the Member cannot be changed without your consent.
22. Get a clear idea about all brokerage, commissions, fees and other charges levied by the Member on you for trading and the relevant provisions/ guidelines specified by SEBI/Commodity exchanges.

23. Make the payments by account payee cheque in favour of the Member. Ensure that you have a documentary proof of your payment/deposit of commodities with the Member, stating date, commodity, quantity, towards which bank/ demat account such money or commodities (in the form of warehouse receipts) deposited and from which bank/ demat account.
24. The payout of funds or delivery of commodities (as the case may be) shall not be made to you within one working day from the receipt of payout from the Exchange, in case you have given specific authorization for maintaining running account to the member. Thus, in this regard, the running account authorization provided by you to the Member shall be 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) You need to bring any dispute arising from the statement of account to the notice of the Member in writing preferably within 7 (seven) working days from the date of receipt of funds/commodities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Commodity exchanges without delay.
 - c) In case you have not opted for maintaining running account and pay-out is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the Member. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Commodity exchange.
 - d) Please register your mobile number and email id with the Member, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the commodity exchanges.
25. You should familiarize yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the commodity derivatives or the member becomes insolvent or bankrupt.
26. Please ensure that you have a documentary proof of having made the deposit of such money or property with the member, stating towards which account such money or property deposited.
27. In case your problem/grievance/issue is not being sorted out by concerned Member/Authorised Person then you may take up the matter with the concerned Commodity Exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

Don'ts

1. Do not deal with any unregistered intermediaries.
2. Do not undertake off-market transactions as such transactions are illegal and fall outside the jurisdiction of the Exchange.
3. Do not enter into assured returns arrangement with any Member
4. Do not get carried away by luring advertisements, rumors, hot tips, explicit/ implicit promise of returns, etc.
5. Do not make payments in cash/ take any cash towards margins and settlement to/ from the Member.
6. Do not start trading before reading and understanding the Risk Disclosure Agreement.
7. Do not neglect to set out in writing, orders for higher value given over phone.
8. Do not accept unsigned/duplicate contract note/confirmation memo.
9. Do not accept contract note/confirmation memo signed by any unauthorized person.
10. Don't share your internet trading account's password with anyone
11. Do not delay payment/deliveries of commodities to Member.
12. Do not forget to take note of risks involved in the investments.
13. Do not sign blank Delivery Instruction Slips (DIS) while furnishing commodities, deposits and/or keep them with Depository Participants (DP) or member to save time.
14. Do not pay brokerage in excess of that rates prescribed by the Exchange
15. Don't issue cheques in the name of Authorized Person.



(Signature of First / Sole Holder)



(Signature of Second Holder)



(Signature of Third Holder)

POLICY & PROCEDURES

In Pursuance to the SEBI circular Ref MIRSD / SE / CIR - 19/2009 DATED 03-12-2009 various policies and procedures followed by Ajmera Associates Ltd are stated below under appropriate headings.

1. REFUSAL OF ORDERS FOR PENNY/ILLIQUID STOCK.

The Client hereby agrees and confirms that he will not place orders in penny stock without permission from the main office.

Client hereby agrees that he shall not place order at unrealistic price in stocks which are under illiquid category. Clients will be required to make upfront or advance payment / delivery of funds/shares before placing the order, if the broker demand from the client, The Broker reserve the rights for cancellation of order / non placement of orders, if he feel it is against the risk management policy of the broker. The client agrees that the losses, if any on account of such refusal or due to delay causes by such limits shall be borne exclusively by the client alone.

Client further agree that any penalty incurred to broker on account of dealing in penny/illiquid stock the same shall be borne by the respective clients and shall not be borne by broker.

2. SETTING UP CLIENTS EXPOSURE LIMIT AND CONDITIONS UNDER WHICH A CLIENT MAY NOT BE ALLOWED TO TAKE THE FURTHER POSITION OR THE BROKER MAY CLOSE THE EXISTING POSITION OF CLIENT

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limit as to the number, value and/or kind of securities in respect of which orders can be placed etc.)

The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited on account of exchange / SEBI directions / limits (such as broker level/market level limits in security specific / volume specific exposures etc.) the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone. The Client is

not entitled to trade without adequate margin/security and that it shall be his / her /its responsibility to ascertain beforehand the margin/security requirements for his/her/its orders/trades/deals and to ensure that the required margin/security is made available to the stock broker in such form and manner as may be required by the stock broker. If the client's order is executed despite shortfall in the available margin, the client, shall, whether or not the stock broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The Client further agrees that he/she/it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) & /or any claim/loss/damage arising out of the non-availability/shortage of margin/security required by the stock broker &/or exchanges &/or SEBI).The broker can square up the clients position on non-payment of his obligation. The broker shall collect margin as per the SEBI circular no. SEBI/HO/MIRSD/DOP/CIR/P/2020/28 dated February 25, 2020, read with SEBI circular no. SEBI/HO/MIRSD/DOP/CIR/P/2020/143 dated July 29, 2020 and as per all applicable circulars issued by the Exchanges in this regards.

3. APPLICABLE BROKERAGE RATE

The stock broker is entitled to charge brokerage within the limits prescribed by Exchanges/SEBI. Any upward revision in brokerage will required prior consent from the client and such a change shall be preceded by a notice of 15 days.

4. IMPOSITION OF PENALTY/DELAYED PAYMENT CHARGES:

The Client agrees to pay penalty for amounts overdue towards trading or on account of any other reason at rates deemed fit by the member.

Client also understand that broker can charge/ impose fines/ penalties for any order/trades/deals/action of the client which are contrary to this agreement/rules/regulation/bye laws of exchange for the time being in force at appropriate rate. Client also understand and agree that any fines charged to broker by exchange/SEBI/any other authority in relation to order/trade/deals/action of client, the same shall be borne and paid by such client.

5. THE RIGHT TO SELL CLIENTS SECURITIES OR CLOSE CLIENT POSITION, WITHOUT GIVING NOTICE TO THE CLIENT, ON ACCOUNT OF NON-PAYMENT OF CLIENT DUES:

The Client hereby understands that he is liable & obliged to meet all the commitment/obligation related to his dealing with us by way of funds & securities. In case, client fails to meet any of its obligations, the member reserves the right to sell the clients securities or close clients position without giving notice to client in such matter. The client will bear all the losses on account of member's action and shall not held the member liable for the same.

The client hereby understand and confirm that all dealing will be routed by him from his own Bank account (For funds) and own Depository account (For securities) and no third party securities or funds will be accepted towards his obligation. In case of such instances the broker reserve the right to reject the acceptance of fund/securities without intimating to him. The loss arising from such rejection shall be borne by client only and the member will not be held responsible for such action by the client.

The member has the right to cancel all pending orders & to sell/close/liquidate all open positions/ securities/shares of the client upon the MTM (Mark to Market) of the client reaching 70% of the margin of the client

The Client agrees that the loss, if any on account of any one or more steps as enumerated herein above being taken by the member would be exclusively borne by the client alone and agrees not to hold the member liable for the same.

6. SHORTAGES IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES:

The client hereby understand and confirm that broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the broker from the exchange and the client has fulfilled his obligation first.

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

In BSE we would opt for self-auction mechanism of BSE. For internal shortage of NSE we will buy-in the shares from the market and give the delivery to the clients. Penalty and statutory levies as applicable for shortages would be levied on the customer delivering shortage. In case of internal shortages of scrip on Cum-benefits like bonus, dividend, rights etc the shortage would be closed-out. The close-out rate would be higher of the following viz highest price from the trade date to pay in date or highest price from the trade date to pay- in date or closing price on pay in date plus 10%.

7. CONDITION UNDER WHICH A CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITION OR THE BROKER MAY CLOSE THE EXISTING POSITION OF A CLIENT.

We have margin based RMS system. Client may take exposure upto 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 is 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.

8. TEMPORARILY SUSPENDING OR CLOSING A CLIENT ACCOUNT AT THE CLIENT REQUEST:

The client may request the stock broker to temporarily suspend his account, stock broker may do so subject to client accepting / adhering to conditions imposed by stock broker including but not limited to settlement of account and/or other obligation.

The stock Broker can withhold the payouts of client and suspend his trading account due to his surveillance action or judicial or/and regulatory order/action requiring client suspension.


9. DE-REGISTERING A CLIENT

The client confirms and understood that broker reserve the right to terminate the agreement with immediate effect on the happening of event in numerated as under;


- a) 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 functioning of the market, either individually or in conjunction with other individual/entity.
- b) If there is any commencement of a legal process against the client under any law in force.

- c) On the death/lunacy of the client.
- d) If the client has voluntarily or compulsory become subject of proceeding under any bankruptcy or insolvency law or being a company goes into liquidation.
- e) If the client being a partnership firm, has any steps taken by the client or its partners for dissolution of the partnership.
- f) 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.
- g) If the client has made any misrepresentation of facts, including (without limitation) in relation to the security,
- h) If there is any breach of terms, condition or covenant of all agreements or defaulter with any other member.

The above policy and procedures shall always be read along with agreement and shall be compulsorily referred to while deciding any dispute/difference or claim between the client and broker before any court of law/judicial/adjudicating authorities including arbitrator/mediator etc.



(Signature of First / Sole Holder)



(Signature of Second Holder)



(Signature of Third Holder)

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

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

_____
(Signature of First / Sole Holder)_____
(Signature of Second Holder)_____
(Signature of Third Holder)

Dematerialization

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

Separate Accounts

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

Transfer of securities

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

Statement of account


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



(Signature of First / Sole Holder)



(Signature of Second Holder)



(Signature of Third Holder)

have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

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

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days' notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository


21. As per Section 16 of Depositories Act, 1996,
 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.



(Signature of First / Sole Holder)



(Signature of Second Holder)



(Signature of Third Holder)

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

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance


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

Authorized representative

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

Law and Jurisdiction


26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.



(Signature of First / Sole Holder)



(Signature of Second Holder)



(Signature of Third Holder)

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Acknowledgement


32. I/We read here by confirm the receipt of above document along with client registration document. I/We have read and understood the same.



(Signature of First / Sole Holder)



(Signature of Second Holder)



(Signature of Third Holder)

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

Application No.: _____

Definitions

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

- 1) 'Depository' means Central Depository Services (India) Limited, a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P. J. Towers, Dalal Street, Fort, Mumbai 400023 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 demat accounts 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) 'Service Provider' means a cellular 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/their 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 D.P. The services may be discontinued for a specific/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 depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration/change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
- 2) The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get/get after delay any alerts sent during such period.

(Signature of First / Sole Holder)

(Signature of Second Holder)

(Signature of Third Holder)

- 3) 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.
- 4) The BO further acknowledges that the service provided to him/her/them is an additional facility provided for his/her/their convenience and is susceptible to error, omission and/or inaccuracy. In case 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, damages, etc. that may be incurred/suffered by the BO on account of opting to avail SMS alerts facility.
- 5) 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 ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
- 6) The BO agrees to inform the depository and DP in writing of any unauthorized debit to his/her/their BO account/unauthorized transfer of securities from his/her/their BO account, immediately, which may come to his/her/their 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/her/their BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
- 7) The information sent 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 obligation to confirm the authenticity of the person(s) receiving the alert.
- 8) 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.
- 9) If the BO finds that the information such as mobile number etc. has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees

Depository reserves the right to charge 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 will not be liable for any unauthorized use or access to the information and/or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/misuse of such information by any third person.



(Signature of First / Sole Holder)



(Signature of Second Holder)



(Signature of Third Holder)

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 the 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/transactions 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 ISINs 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 what is not applicable)

DP ID	1	2	0	3	0	3	0	0	BO ID								
-------	---	---	---	---	---	---	---	---	-------	--	--	--	--	--	--	--	--

Mobile Number on which messages are to be sent

+	9	1															
---	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

The mobile number is registered in the name of : _____




Email ID : _____ @ _____

(Please write only 1 valid email ID on which communication; if any, is to be sent)

Place : _____

Date :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Beneficial Owner(s)		
	Name	Signature
First / Sole Holder		
Second Holder		
Third Holder		

TARIFF SHEET




Tariff applicable to Beneficiary Accounts for DP Services (CDSL)

Sr. No.	Services	SCHEME	SCHEME
		○ TRADERS	○ INVESTOR
1	Annual Maintenance Charges	300/-	100/-
2	Deliveries / Debit transaction	₹ 10 / ISIN & 0.01% whichever is maximum	₹ 12 / ISIN & 0.01% whichever is maximum
	a) Within Ajmera		
	b) Outside Ajmera	0.02% Min ₹ 15 / ISIN	0.02% Min ₹ 20 / ISIN
3	Charges for Pledge creation /Pledge closure	0.02% Min ₹ 25 / ISIN	0.02% Min ₹ 50 / ISIN
4	Dematerialization	₹ 5 per certificate & ₹ 50 per DRF request & ₹ 50 per rejection	₹ 5 per certificate & ₹ 50 per DRF request & ₹ 50 per rejection
5	Rematerialization	Actual CDSLcharges plus ₹ 50 per request	Actual CDSLcharges plus ₹ 50 per request
6	DIS requisition (Five Leaves)	₹ 20/- booklet	₹ 20/ booklet

Notes:

1. GST, Education cess and other statutory levies (if any) would be charged extra wherever applicable as per the prevailing rates.
2. AMC will be chargeable from second year, first year is free.
3. Charges are payable monthly.
4. The rate will depend on existing CDSL charges and will be revised on revision by CDSL. All the charges are subject to revision at the sole & discretion of AAL. Charges will be revised by giving minimum 30 days' notice in writing.
5. Value of the transaction will be in accordance with the rates provided by CDSL.
6. In case of every Corporate Accounts, CDSL AMC of ₹ 500/- shall be charged extra.
7. In case DIS Booklet lost/misplaced ₹ 100/- shall be charged to issue new DIS Booklet.
8. Any service which is not mentioned above will be charged extra.
9. KYC registration charges ₹ 35/- per KYC.
10. Franking Charges ₹ 110/- per POA.

Client Code _____ **Client Particulars** _____ **with Broker** _____

	Name of Holders	Signature(s)
First / Sole Holder		
Second Holder		
Third Holder		

MANDATORY

Combined Registration Form for availing SMS Alert and /or TRUST facility and for registering Clearing Members on whose behalf the securities can be transferred from the account of BO on the basis of SMS under TRUST facility

To,
Ajmera Associates Ltd.
63-67 Ajmera House, 4th Floor,
Off. K. H. Ajmera Chowk,
Pathakwadi
Mumbai: 400002

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL

- a. SMART-SMS alert facility
- b. TRUST- Transaction using Secured Texting facility

(please note that SMS alert facility is mandatory if TRUST facility is opted for)

BOID	1	2	0	3	0	3	0	0	Client ID								
------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

(Please write your 8 digit Client ID)

Sole / First Holder's Name	
Second Holder's Name	
Third Holder's Name	

I/We wish to register the following clearing members / IDs under my/our above mentioned BO ID registered for TRUST

Sr. No.	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

Mobile Number on which messages are to be sent	+ 91																
--	------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

(Existing users registered for SMS alerts:- Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)

The mobile number is registered in the name of:

(Name) _____




Email ID: _____

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

I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purpose of availing the said facility.

I/we acknowledge that transactions entered by the above clearing members will be executed on the basis of SMS sent through our registered mobile number under TRUST and I/we shall be wholly responsible for execution / non-execution of the said transactions based on receipt/non-receipt of such SMS.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies 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

	First Holder / Sole	Second Holder	Third Holder
Name			
Signatures			

Place: _____

Date: _____

Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL**1. Definitions:**




In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository.
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.

7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non-receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.

17. **Indemnity:** In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. **Disclaimer:** Depository shall be absolved of any liability in case:-
- There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
 - There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

BOID	1	2	0	3	0	3	0	0	Client ID								
------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

	First Holder / Sole	Second Holder	Third Holder
Name			
Signatures			

Place: _____

Date: _____

BASIC SERVICES DEMAT ACCOUNT (BSDA)

To,
Ajmera Associates Ltd.
63-67 Ajmera House, 4th Floor,
Off. K. H. Ajmera Chowk,
Pathakwadi
Mumbai: 400002

I/We do not wish to option for BSDA Facility

I/We wish to option for BSDA Facility

Sub : Basic Services Demat Account (BSDA) for BO ID - _____

Respected Sir,




This is with reference to my CDSL demat account with your DP- Ajmera Associates Ltd. (BO ID). In terms of the SEBI circular no. CIR/ MRD/DP/22/2012 dated 27th August 2012. I hereby, request you to extend the facility of the Basic Services Demat Account (BSDA) to my above mentioned demat account since I meet the eligibility criterion given in the said SEBI circular.

I, hereby, declare that I do not have any other demat account with CDSL or NSDL wherein I am the sole holder / first holder.

At any point of time if I do not meet the SEBI laid down criterion for the BSDA facility, I shall inform you immediately for further course of action.

Further, if any point of time, it comes to the knowledge Ajmera Associates Ltd. that the BO has violated the laid down SEBI criterion, then Ajmera Associates Ltd. reserves the right to treat the BO account in the regular scheme and the BSDA facility shall not be extended to such a demat account from the date of violation.

Regards,

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	 _____	 _____	 _____

OPTION FORM FOR ISSUE OF DIS

									Date	D	D	M	M	Y	Y	Y	Y
DPID	1	2	0	3	0	3	0	0	CLIENT ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,
Ajmera Associates Ltd.
 63-67 Ajmera House, 4th Floor,
 Off. K. H. Ajmera Chowk,
 Pathakwadi
 Mumbai: 400002

Dear Sir / Madam,

I / We hereby state that: [Select one of the options given below]

OPTION 1:

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account through I/We have issued a Power of Attorney (POA) / executed PMS agreement in favour of/with_____ (name of the attorney / Clearing / PMS manager) for executing delivery instructions for setting stock exchange trades (settlement related transactions) effected through such Clearing Member / by PMS manager.

Yours faithfully,

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			




OPTION 2:

OR

I/We do not require the Delivery Instruction Slip (DIS) for the time being, since I/We have issued a POA / executed PMS agreement in favour of / with_____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades (settlement related transactions) effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me

/ us immediately on my/our request at any later date.

Yours faithfully,

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			 _____

POWER OF ATTORNEY

To all to whom these presents shall come, I/we,

1) Mr./Mrs./Ms. _____
_____ an individual having his/her residence
address at _____

_____ (hereinafter called '**the First / Sole Holder**')


2) Mr./Mrs./Ms. _____
_____ an individual having his/her residence
address at _____


_____ (hereinafter referred '**the Second Holder**')


3) Mr./Mrs./Ms. _____
_____ an individual having his/her residence
address at _____

_____ (hereinafter referred '**the Third Holder**') all
Indian inhabitant(s) send greetings on this _____ day of
_____, 201____.

Whereas

➤ I/we hold a beneficiary account 12030300 _____ with
Central Depository Services (India) Ltd., through its Depository
Participant Ajmera Associates Ltd. a corporate body incorporated
under The Companies Act,1956 and having its registered office at
**Ajmera House, 63-67 Ajmera House, 4th Floor, Off. K. H. Ajmera
Chowk, Pathakwadi, Mumbai: 400002** and having DP-ID 30300
(hereinafter referred to as '**the Depository Participant**').

➤ I/we am/are an investor engaged in of buying and selling securities
through **Ajmera Associates Ltd.**, a corporate body incorporated
under The Companies Act,1956 and having its registered office at
**63/67 Ajmera House, 4th Floor, Pathakwadi, L.T.Marg, Mumbai-
400002** hereinafter referred to as '**the stock broker**')


➤ The said stock broker is presently a member of **Bombay Stock
Exchange Ltd.** bearing SEBI Registration **INZ000177531** in the
Capital Market, Equity Derivatives (F&O) & Commodity Segment,
a member of **National Stock Exchange of India Ltd.**, bearing SEBI
Registration **INZ000177531** in the **Capital Market, Equity
Derivatives (F&O) Segment & Currency Derivatives Segment** and
Multi Commodity Exchange of India Ltd bearing SEBI Registration
INZ000177531 in the **Commodity Market Segment**, (hereinafter
referred to as 'the Stock Exchanges/Exchanges').


(Signature of First / Sole Holder)

(Signature of Second Holder)

(Signature of Third Holder)

➤ due to exigency and paucity of time, I/we am/are desirous of appointing an agent or attorney to the aforesaid beneficiary account on my/our behalf for a limited purpose in the manner hereinafter appearing.

Now know we all and these presents witnesses that the above named do hereby nominate, constitute and appoint the aforesaid stock broker as my/our true and lawful attorney for me/us and on my/our behalf and in my/our name to do instruct the aforesaid Depository Participant as under.




- a) to transfer securities held in my/our aforementioned beneficial owner account from time to time to the demat accounts of the stock broker (details as mentioned in **Schedule 'A'** attached herewith) maintained for the purpose of settlement of trades and margin obligations arising out of trades executed by me/us on the abovementioned stock exchanges through the stock broker. However, the said power will be restricted to only transfer of securities to the Clearing Member ID allotted to the stock broker by any existing or future exchange that the stock broker has joined or will join as a member or to any demat accounts linked to the said Clearing Member ID provided that I/we have entered into '**Client Registration**' with the stock broker for such exchanges.
- b) to pledge the securities in favour of the stock broker for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me/us on any recognized stock exchange through the stock broker.
- c) to apply for various products like Mutual Funds, IPOs, rights offer of shares, tendering shares in open offers etc. pursuant to oral, written or electronic instructions given by me/us to the stock broker. However the stock broker shall not be liable for any loss that may result from failure or inability of electronic connectivity or due to rejection of my/our application for any reason whatsoever.
- d) to return any securities that may have been received by the stock broker erroneously or those securities that the stock broker was not entitled to receive from me/us.
- e) to send consolidated summary of my/our scrip wise buy and sell positions taken with average rates to me/us by way of SMS or e-mail on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

I/We ratify the instructions given by the aforesaid stock broker to the depository participant named hereinabove in the manner specified herein.

I/We hereby agree and declare that all acts and deeds done by the aforesaid stock broker under this authorization shall be construed as acts and deeds done by me/us jointly as well as severally and I/we further confirm and ratify all acts and deeds that the aforesaid stock broker shall lawfully do or cause to be done by virtue of this authorization.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker.

In witness whereof I/we, the above named, have hereunto set my/our hands on this day, month and year first above written.

Beneficial Owner(s)		
	Name	Signature
First / Sole Holder		
Second Holder		
Third Holder		

Witness

Signature :

Name :

Address :

We hereby confirm having accepted the aforesaid Limited Purpose POA
For, Ajmera Associates Ltd.

Authorised Signatory

RUNNING ACCOUNT LETTER FOR EQUITY

To,

Date : _____

Ajmera Associates Ltd.

63-67 Ajmera House, 4th Floor,
Off. K. H. Ajmera Chowk,
Pathakwadi
Mumbai: 400002

Dear Sir,

Sub. : AUTHORITY TO MAINTAIN RUNNING ACCOUNT

With reference to my/our dealing with you on Capital Market and/or Future & Options segment of the Bombay Stock Exchange, Mumbai & National Stock Exchange of India Limited as my/our broker I/We direct and authorize you to carry out trading/dealings on my/our behalf as per instruction given below;

1. I/We request you to maintain running balance in my account and retain the credit balance in my/our account and to use the unused fund towards my/our margin/payin/other future obligation(s) at any segment(s) of any or all the exchange(s)/clearing corporation unless I/We instruct you otherwise.
2. I/We hereby authorize and direct you to maintain running account(s) for me/us and from time to time debit these securities and fund from running accounts and make pay-in of securities and funds to exchanges/clearing corporation to settle my/our trades/dealing.
3. I/We also authorize you to retain temporary credits/margin, if any, in my/our account against security from my/our running account. I/We have no objection in retaining excess funds with the company and have full confidence in you.
4. I/We also authorize you to retain my/our securities with you in your pool/beneficiary account.
5. In the event I/We have 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 obligation for next 5 trading days, calculated in the manner specified by the exchanges.
6. I agree that if I/We fail to bring any disputes arising from the statement of accounts or settlement so made to your notice within 30 working days from the date of receipt of funds/securities or statement, as the case may be in writing by delivery then in that event the statement of accounts or settlement so made shall be final and I/We shall have no right to dispute any/either of these ever.
7. I/We reserve the right to revoke the running account authorization at any time.
8. I/We authorize you to settle my accounts (funds & securities) on either

Once in a Calendar Quarter

Once in a Month

Yours faithfully,

Client Name _____

Address _____

 _____

(Client Signature)

AUTHORITY LETTER FOR RUNNING ACCOUNT LETTER FOR COMMODITY

To,

Ajmera Associates Ltd.

63-67 Ajmera House, 4th Floor,
Off. K. H. Ajmera Chowk,
Pathakwadi
Mumbai: 400002

I/We as a Client in Commodities market Segment of MCX/BSE hereby authorize Ajmera Associates Ltd. for the following:

That to maintain a running account, instead of settlement to settlement clearance of funds /commodities due to me/us. In this regards, I/We have been informed about the relevant circulars of Exchange/SEBI and I/We have read and understood the same. I/we hereby authorize Ajmera Associates Ltd. to maintain a running account in all segment across the exchange (MCX)/(BSE)

I/we hereby confirm you to settle my/our account of Funds and commodities once in

A Calendar Quarter A calendar Month (STRIKE OFF WHICHEVER IS NOTAPPLICABLE)

Such settlement will be done on any day at its discretion in a calendar month or quarter (hereinafter referred as "settlement period") as the case may be if my/our account turn into on any day during the settlement period, the same may be treated as settlement of fund for that settlement period will not be required to settle the credit if any arising subsequently during the settlement period. I/we agree that I/we shall be liable to pay the debit standing to my account on the settlement date or any other date.

I/we authorize you to withhold any credit balance as collateral /margin against my/our future trades/obligation and or adjust outstanding fund/ commodities receivable from you against my/our purchase in subsequent settlement with no interest accruing on the above fund/securities.

I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my/our dues, by appropriating relevant amount of fund or by the same of commodities or by liquidating the open position which form part of margin.

I/we agree that in respect of derivatives market transaction, the member may retain the requisite collaterals/ securities/funds on settlement date to take care of any margin obligation arising in next 5 days,calculated in the manner specified by the exchange.

That to keep my/our commodities purchased from you, in your margin account and to deliver and/or adjust said commodities against our sales in subsequent settlement i.e. inter transferring the commodities from one settlement (Purchase) to another settlement (Sales) segment of exchanges unless you receive any verbal or written instruction from me/us to deliver the same to my/our depository account. Similarly, I/we authorize you to issue the cheque against our fund pay out after getting the telephonic or written instruction from me/us; otherwise the same will remain with you against my/our margin obligation towards commodities segments.

I/we confirm you that I/we 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 / commodities or statement of account related to it, as the case may be at your registered office. After that I/we shall not have the right to dispute the transaction, funds and or commodities ever and agree that you shall not be liable for any incidental loss/ Damage caused due to retention of funds and/or commodities.

Account with credit balance of Rs. 50,000/- or lesser shall be retained as per SEBI circular & Exchange circular. Position will be auto square off as per RMS Rules.

I/we further declare that this authorization will remain in force unless revoked earlier by me/us in writing.



(Client Signature)

LETTER FOR ELECTRONIC/ PHYSICAL COMMUNICATION SERVICES

Client Code:

From : _____

To,

Ajmera Associates Ltd.
63- 67 Ajmera House, 4th Floor,
Pathakwadi, Off. K. H. Ajmera Chowk,
L.T.Marg,
Mumbai - 400002.

Sub : Request for availing electronic/physical communication services for Broking & DP Operations.

We understand that you are planning to give an option to us to receive contract notes in Cash, F&O, Currency Derivative & Commodity Derivative Segments by way of Digital Contract Note through E-mail from _____ .We understand that these digital contract are valid legal contracts as per Stock Exchange / SEBI Rules and recognized under Income Tax Act, as well as other acts in India.


We wish to inform you that we would like to avail of this facility. In this regard we state the following:

1. The Electronic delivery of digital contract note shall be an accepted form of contract note to us.
2. The Digital Contract note should be sent to our E-mail Id as under:
3. The dispatch of the above digital contract note from your end shall constitute delivery of the same and it shall be our responsibility to check our E-mail for the same _____.
4. Discrepancy if any shall be brought to your notice within reasonable time frame of dispatch of the digital contract failing which the contract shall be considered as accepted and Acknowledged.
5. You are also authorised to send us daily margin statement, account statement, security ledger and other documents periodically through the same channel.
6. "The Client hereby agree that the e-contract notes (digitally signed and encrypted as attachment), bills, ledger, transaction statements, reports, letters, circulars, notices etc, in Cash and or Derivatives segments that are sent from time to time to the client's e-mail id shall be deemed to have been delivered to the client in the event of non-receipt of bounced mail notification by the member through e-mail id. Further, client hereby agree that if no queries are raised in respect of trades / transactions or transfer of securities that are appearing in the e-contract notes, bills, ledger, transaction statements, reports, letters, circulars, notices etc. issued to the client from time to time by member, member shall not be responsible for non-delivery and it shall presume that the aforesaid documents are in order."
7. I/We understand that I am required to intimate any change in the email id/account mentioned here-in above needs to be communicated by me through physical letter to you.

Further we hereby request you to hand-over all our physical bills & contract as well as the other documents to following persons:

Authorised Person Name	Specimen Sign.
1. _____	_____
2. _____	_____
3. _____	_____

Kindly take the above into your records & oblige. Yours truly,

 _____
(Client Signature)

AUTHORITY LETTER

To,

Date: _____

Ajmera Associates Ltd.
 63-67 Ajmera House, 4th Floor,
 Off. K. H. Ajmera Chowk,
 Pathakwadi
 Mumbai: 400002

Sub.: AUTHORITY TO DEBIT DEMAT CHARGES

UCC/UID: _____

Dear Sir,

This has reference to member client agreement entered with you for dealing with you in the Capital Market Segment of NSE & BSE and / or Future & Option (F & O) Segment of NSE. I/We have Demat/Beneficiary account(s) as per the details appended below.

Depository Participant	DP ID	Client ID

I/We find it difficult to issue cheques and make payments periodically for the bill(s) raised by the depository participant for my/our demat account(s) as mentioned above. So keeping the constraint stated above in consideration, I/We authorise you to debit my/our trading account, with the amount of the bill raised by depository participant(s) for the depository services availed by me/us. Any such amount debited to my trading account will be binding on me/us.

 _____

(Client Signature)

DISCLOSURE REGARDING PROPRIETARY TRADING

To,

Date:

Client Code: _____ Client Name: _____

SUBJECT: DISCLOSURE REGARDING PROPRIETARY TRADING

As required under Circular No. SEBI / MRD / SE / Cir-42/2003 dated 19.11.2003 issued by the securities and exchange board of India; we hereby disclose that in addition to client-based business, we are also doing proprietary trading on Client and on Own Account.

 _____

(Client Signature)

AUTHORITY LETTER LETTER FOR SQUARING OFF OUTSTANDING POSITION

To,
Ajmera Associates Ltd.
63-67 Ajmera House, 4th Floor,
Off. K. H. Ajmera Chowk,
Pathakwadi
Mumbai: 400002

Dear Sir,

Please refer to the trading account opened with you, in the name of Mr./ Ms _____ for the purpose of dealing in Capital and commodities segments of the exchange(s).

In case of default in daily margin, MTM's failure to fulfill in time any additional margin requirements stipulated by you (even though not imposed by the exchange(s)/ the clearing corporations/ clearing house) or if any outstanding debt occurs in my/ our account, i/ we hereby irrevocably authorize you to close out/ liquidate whole or any part of my/ our position or substitute equities/ commodities without prejudice to your right to refer the matter to arbitration. Any and all losses and financial charges on account of such liquidation / closing out etc. shall be charged to and borne by me/ us.

Thanking You,



(Client Signature)

MARGIN DEPOSIT LETTER

To,
Ajmera Associates Ltd.
63-67 Ajmera House, 4th Floor,
Off. K. H. Ajmera Chowk,
Pathakwadi
Mumbai: 400002

Dear Sir,

As per SEBI / NSE/ BSE/ MSE and MCX requirements , and as per the Member Client Agreement entered into by me / us for trading in Equities/ Commodities/ Derivatives at NSE, BSE MSE and MCX, I / we am / are required to maintain with you margin towards my/ our Initial Margin and other margin Obligations of MCX.

Accordingly, I / we shall transfer securities or such other approved instruments from my/ our to your DP a/c towards margin for dealing in Equities/ Commodities/ Derivatives at NSE, BSE MSE and MCX. I / We may also inform and understand that –

1. Any addition, substitution and / or replacement made by me / us from time to time will be treated by you as margin for dealing in Equities/ Commodities/ Derivatives and this letter will also be applicable to addition, substitution and / or replacement made by me / us.
2. You will arrange to transfer to me / us all benefits accrued on the securities or such other approved instruments from time to time, if my/ our obligations for dealing in Equities/ Commodities/ Derivatives at NSE, BSE MSE and MCX or otherwise are fulfilled.
3. You are authorized to dispose the securities or such other approved instruments and/or benefits thereon, if I/we do not fulfill my/ our obligations dealing in equities/ Commodities/ Derivatives at NSE, BSE MSE and MCX or otherwise.
4. I/ We warrant that, save to the extent of the rights hereby conferred on Ajmera Associates Ltd., I/ We are sole. Absolute and beneficial owners of the security/ such other approved instruments and the securities or such other approved instruments are free from any mortgage, pledge, charge (whether fixed or floating) lien or any other form of encumbrance.
5. I/ You are also authorize to pledge the said securities or such other approved instruments with approved authority for the purpose of availing exposure.
6. I/ We shall provide details to Ajmera Associates Ltd., as per the prescribed format duly signed by me/ us at the time of placing the securities or such other approved instruments towards margin with Ajmera Associates Ltd.
7. In the event of my/ our non-furnishing of details as per the prescribed form at the transferred securities or such other approved instruments may not get accounted by Ajmera Associates Ltd., on my/ our behalf and the securities or such other approved instruments may lie in suspense account till my/ our submission of details as stated in (6) above.
8. In case I/ we intend to withdraw any securities or such other approved instruments placed with Ajmera Associates Ltd., but not utilized for margin, on any day, a request shall be sent so as to reach Ajmera Associates Ltd., latest by 2 p.m. on that day. Ajmera Associates Ltd., shall release0 such securities within 48 hours of receipt of such withdrawal request.

Thanking You,



(Client Signature)

In case of individual account, to be signed by the the client only and not by his/ her authorized signatory or power of attorney holder. In case of non-individual account, to be signed by Authorised Signatory (ies) only.

VOLUNTARY

SMS AUTHORITY LETTER

To,
Ajmera Associates Ltd.
63-67 Ajmera House, 4th Floor,
Off. K. H. Ajmera Chowk,
Pathakwadi
Mumbai: 400002

Sub. : AUTHORISED TO ADD THE PHONE NUMBER AND EMAIL ID FOR ALERT FACILITY PROVIDED BY NSE / BSE

Dear Sir,
I, _____, have opened an account with your on _____ and have been allotted the client code _____, hereby, now request you to map the mobile number and / or email id as mentioned below.

Sr. No.	Mobile No. / Email ID	Owner	Relation
1			
2			

Kindly make the necessary additions and oblige.

Further, it shall always be my responsibility to inform you in advance, in case there is any change in the above mentioned details. Further, Ajmera Associates Ltd. shall not be responsible in case of any incorrect declarations.

 _____

(Client Signature)

SMS FACILITY

The Client and the Trading Member hereby agree that at the sole discretion of the Trading Member, the Trading Member may send a SMS on the Client's mobile (as mentioned in the Client registration form) relating to daily trade confirmations, ledger balances, margin calls or any other messages. On receipt of such SMS, it shall be the responsibility of the Client to immediately bring to the notice of the Trading Member of any discrepancies in the same, in writing. The Trading Member may charge a fee, as decided by the Trading Member, for availing this facility which may be debited to the Client's ledger account from time to time. Further if there is any change in the mobile number of the Client, it shall be responsibility of the Client to intimate the said change in mobile number to the Trading Member in writing and the Trading Member shall make the necessary amendments within 48 hours of receipt of such intimation. Further the Client hereby agrees that he/she have no objection whatsoever in receiving the SMS from the Trading Member now or in future & the Client shall not complain against any messages received from the Trading Member inspite of the Client having or not having opted for the '**Do Not Disturb (DND)**' and / or '**National Do Not Call (NDNC)**' facilities as provided in the norms & regulations of the service provider and / or TRAI and / or DOT. In case, the Client do not want to avail the SMS facility from the Trading Member, he/she shall inform the Trading Member about the same in writing & the Trading Member shall cease to send him/her any messages within fifteen days after receipt of such intimation.

 _____

(Client Signature)

ANNEXURE FOR NRI CLIENTS ONLY

From,
Ajmera Associates Ltd.
63-67 Ajmera House, 4th Floor,
Off. K. H. Ajmera Chowk,
Pathakwadi
Mumbai: 400002

Client Code: _____ Client Name: _____

Dear Client,

Sub: Trading by NRIs & Compliance of RBI Stipulations

This is with reference to NSE Circular No. NSE / MEM / 5676 dated December 21, 2004 and Reserve Bank of India letter dated September 7, 2004 relating to trading by NRIs compliance. The relevant contents of the letter are as reproduced below.

We advise that if NRIs intend to trade on the stock exchange in India they will have to comply with the requirements of the Portfolio Investment Scheme (PIS) which are stipulated in terms of Schedule 3 to Notification No. FEMA 20/2000-RB dated 3rd May, 2000 the provisions of which are briefly set forth below.

1. All the transactions under PIS are routed through a registered stock broker on a recognized stock exchange and through a designated bank.
2. Submission of the Contract notes to designated Bank24 _____ Branch, within hrs of said trades.
2. Paid-up value of Share/convertible debentures by NRI on repatriation and non-repatriation basis does not exceed 5% of the paid-up value of share/paid-up value of each series of convertible debentures issued by the company.
3. Payment for purchase of shares/debentures is made by inward remittance in foreign exchange and through normal banking channel or out of funds held in NRE/FCNR account, if shares are purchased on repatriation basis.
4. Understand and agreed to abide by the SEBI/RBI rule that prohibits from short-selling securities and netting of trades i.e. NRI investor takes delivery of the shares purchased and gives delivery of shares sold.

Thus you are requested to comply with the above provisions.

Thanking you,

The above matter read and agreed to comply

For **Ajmera Associates Ltd.**

Client Signature:  _____

Place: _____

Date: _____

**Declaration of Fit & Proper Person as per Regulation 20 of SCR (SECC)
Regulations, 2012**

To,
Ajmera Associates Ltd.
63-67 Ajmera House, 4th Floor,
Off. K. H. Ajmera Chowk,
Pathakwadi
Mumbai: 400002

Client Code: _____ Client Name: _____

Dear Sir,

**Sub: Declaration of Fit & Proper Person as per Regulation 20 of SCR (SECC) Regulations,
2012**

I/We hereby declare that, I am/we are Fit & Proper Person as per Regulation 20 of Securities Contracts (SCR) Stock Exchanges and Clearing Corporations (SECC) Regulations, 2012 for executing transactions in the securities of the listed Exchanges.

Client Signature:  _____

Place: _____

Date: _____

AUTHORIZATION FOR DISCLOSURE OF CLIENTS DETAILS

To,
Ajmera Associates Ltd.
63-67 Ajmera House, 4th Floor,
Off. K. H. Ajmera Chowk,
Pathakwadi
Mumbai: 400002

SEBI Registration No: NSE & BSE -INZ 000177531

Ref.: Mandatory & Client Registration Documents executed by me/us.

Under Schedule II of the Securities and Exchange Board of India (Stock Brokers and sub- Brokers) Regulations, 1992, under CODE OF CONDUCT FOR STOCK BROKERS [Regulation 7] B. Duty to the Investor, as per Clause (5) Business of Defaulting clients: "A stock-broker shall not deal or transact business knowingly, directly or execute an order for a client who has failed to carry out his commitments in relation to securities with another stock- broker."

The client understands that he is required to provide the stock broker / trading member with details of any dispute or default with any other stock broker / trading member and that he must keep that information updated as and when developments occur in that regard.

In order to be able to fulfill this statutory requirement as well as to ensure that genuine investors are not put into increased risk of losing their funds or securities lying with a stock broker / trading member due to a default by a stock broker / trading member caused by any fraudulent or defaulting client who may habitually commit fraud or default on stock-brokers, the client hereby expressly authorizes the stock broker / trading member to disclose/provide to any tradebody, association of stock broker/trading member to disclose / provide to any trade body, association of stock brokers/trading members including the Association of National Exchanges Members of India (ANMI), related website(s), or any organization which maintains such a dispute or default database for the purpose of sharing the information with stock brokers / trading members, his registration and identification details, his transactions and accounting details as well as any other details relating to any dispute with the client (sufficient if deemed as dispute by the stock broker / trading member), or default by the client, in fulfilling his obligations to the stock-broker/trading member. The client agrees and confirms that shall not act or make any claim against anybody or organization or database to whom such information is furnished and upon settlement with the stock broker / trading member shall have the information removed through the trading member.

Client Signature:  _____

Place: _____

Date: _____

To,
Ajmera Associates Ltd.
63-67 Ajmera House, 4th Floor,
Off. K. H. Ajmera Chowk,
Pathakwadi
Mumbai: 400002

Dear Sirs,

Subject: My/Our request for trading in Commodity forward Contracts / commodity derivatives on MCX /BSE as your client

I/We, the undersigned, have taken cognizance of circular no. MCX/338/2006 dated August 21, 2006 and circular no. MCX/541/2006 dated December 7, 2006 issued by the Multi Commodity Exchange of India Limited (MCX) on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by MCX/BSE or Forward Markets Commission and such position limits will be calculated in accordance with the contents of above stated circular of MCX/BSE as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/Trusts in which I or any of above such person is a partner/director/ karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on MCX/BSE through you or through any other member(s) of MCX/BSE, to enable you to restrict our position limit as prescribed by the above referred circular of MCX as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your clients on MCX/BSE only on the basis of our above assurances and undertaking.

Yours faithfully

Client Signature:  _____

VOLUNTARY

**(The Client may, if he deems fit, execute this instruction)
Consent to receive the contract note and trade confirmations by E-mail**

Date:

To,
Ajmera Associates Ltd.
 63-67 Ajmera House, 4th Floor,
 Off. K. H. Ajmera Chowk,
 Pathakwadi
 Mumbai: 400002

Dear Sirs,

I/We hereby consent to receive the contract note/trade confirmations/daily margin statements, quarterly statements of accounts for funds and securities of the trades executed by me/us, bills and account statements thereof, notices, circulars, amendments and such other correspondence or documents in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the .rules made here under, to any of my below mentioned email ids:

I/We further here by agree that the member shall fulfill the legal obligation, if the above documents are sent electronically to any one of the following e-mail ids. I/We agree that the member will not be responsible for non-receipt of documents sent via electronic delivery due to change in email address/correspondence address as mentioned below or for any other reason which inter alia include my/our email/inbox running out of capacity, malfunction of my/ our computer system/ server/ internet connection etc. I/ We also agree that the member shall not take cognizance of out-of-office/out- of-station auto replies and I/ We shall be deemed to have received such electronic mails. I/we agree to intimate any change in the e-mail id to you immediately in writing. I /We agree that non-receipt of bounced mail notification by the Member shall amount to delivery of the contract note.

E-mail Id details (in case of more than one e-mail ids select the default id for receipt of contract notes and trade confirmations)	
E-mail Id 1	* <input style="width: 80%; height: 20px;" type="text"/> <input style="float: right; width: 20px; height: 20px;" type="checkbox"/>
E-mail Id 2	* <input style="width: 80%; height: 20px;" type="text"/> <input style="float: right; width: 20px; height: 20px;" type="checkbox"/>

*tick appropriate box to select default option

My/Our Unique Client Code is

My/Our BO ID is

Mobile Number (Mandatory)

	Name of Holders	Signature(s) (In case of Non-Individual attest with the Company Seal)
Sole/First Holder/ Authorized Signatory		
Second Holder/ Authorized Signatory		
Third Holder/ Authorized Signatory		

Individuals / Non Individuals

UNDERTAKING

Client Code: _____

From : _____

To,

Ajmera Associates Ltd.
63-67 Ajmera House, 4th Floor,
Off. K. H. Ajmera Chowk,
Pathakwadi
Mumbai: 400002

Dear Sirs,

I am / We are regularly Trading with you for Equity/Derivative Market in BSE/NSE. I /we hereby authorized you to do following on my /our behalf:

1. You are requested to accept all my buy / sell orders in person / over the telephone / fax conveyed by myself /ourselves or who is duly authorized by me / us, and thus no need to take our orders in writing every time. All such orders and trades will be binding on me/us.
2. I /we do not require your order modification / confirmation / cancellation slips and trade confirmation slips. Your Contract Notes provides me /us full details as required by me/us.
3. You can adjust any amounts receivable from me /us against any credits standing into my /our account or from my /our forthcoming pay-outs payable to me/us.
4. I/We request you to keep my/our securities, Margin and funds with you to meet my/our pay in obligation in the succeeding settlements in the same segment as well as other segments of BSE/NSE.
5. I / we hereby authorize the undersigned _____ to collect & acknowledge on my /our behalf the Bills and Contracts of my /our daily transactions.

Authorised Signatory

Yours faithfully,

Client Signature:  _____

FORMAT FOR BANK VERIFICATION LETTER

To,
AJMERA ASSOCIATES LTD.
63-67 Ajmera House, 4th Floor,
Off. K. H. Ajmera Chowk,
Pathakwadi
Mumbai: 400002

Date: / /20

Dear Sir,

This is to certify that the savings/ current account no. _____ of
Mr./ Ms. / M/s. _____ held jointly with
Mr. / Ms. / M/s _____ with our branch, has
been active since _____.

We confirm that the signature of the client agrees with specimen held in our records. This verification is without any responsibility on the part of the bank or the signing officer.

Signature of Client: _____

Signed in my/ our presence and attested by me/ us

Bank Name & Address	
Stamp of the Branch	
Name and Signature of Authorized Signatory	

Client Signature:  _____

DECLARATION BY HUF & CONSENT LETTER FOR DEMAT & TRADING

To,

AJMERA ASSOCIATES LTD.
63-67 Ajmera House, 4th Floor,
Off. K. H. Ajmera Chowk,
Pathakwadi
Mumbai: 400002

Dear Sir,

With regards to trading Account _____ maintained in the same and style with trading (Ajmera Associates Ltd) we the following family members, being the co parceners in HUF account.

M/s. _____ do hereby give our consent that the side Karta, viz _____ would operate above mentioned trading account as far as shares transactions of the HUF account is consent of HUF, hereby declare that the following are the co-parceners of my family.

I, Mr. _____ the karta.

Sr. No.	Name of Family Members	Male/Female	Date of Birth	Relationship	Signature

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledgeas on date for making this Application to open Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/sin the family as it changes the constitution of the HUF.

Thanking you,

Yours truly,

Signature of Karta (Please Affix the stamp of HUF)

DECLARATION BY SOLE PROPRIETOR**FORMAT**

To,
AJMERA ASSOCIATES LTD.
 63-67 Ajmera House, 4th Floor,
 Off. K. H. Ajmera Chowk,
 Pathakwadi
 Mumbai: 400002
 Dear Sir,

Date: _____

I refer to the trading account no _____ opened with you in name of _____ and declare and authorize you as under:

I recognize that a beneficiary account cannot be opened with depository participant in the name of a sole proprietorship firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the Securities transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary account No _____ with DP Name _____ and DP ID _____ with depository _____ opened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for Securities purchased and/or sold by the firm will be handled and completed through transfers to/from the above mentioned account. I recognize and accept transfers made by you to the beneficiary account as complete of obligations by you in respect of trades executed in the above trading account of the firm.

Signature (please sign with stamp of the sole proprietorship firm)

Further, I Mr./Ms. _____ sole proprietor of the firm, M/s _____ and is solely responsible for the liabilities thereof. I shall advise you in writing of any change that takes place in the constitution of the firm and I will be personally liable to you for all the obligations that the firm may incur in the course of dealings with you and undertake to personally discharge such liabilities.

Yours faithfully,
 Signature (Please sign WITHOUT stamp of the sole proprietorship firm)

(ON LETTER HEAD)

FORMAT**DECLARATION & AUTHORITY LETTER (PARTNERSHIP FIRM)**

Date: _____

To,
AJMERA ASSOCIATES LTD.
 63-67 Ajmera House, 4th Floor,
 Off. K. H. Ajmera Chowk,
 Pathakwadi
 Mumbai: 400002

Sir,
 We refer to the trading account No. _____ being opened/opened with you in the name of _____ and declare and authorize you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account no. _____ with depository _____ opened as a joint account in the names of the partner of the firm.

We agree that the obligations for shares purchased and / or sold by the firm will be handled and completed through transfer to / from the above-mentioned account. We recognize and accept transfers made by you to the above-mentioned beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We hereby authorize Mr./Mrs./Ms. _____, partner in the firm to execute/sign and submit document, agreements, deeds etc. as any be necessary to enter into the agreement and engage in business with AJMERA ASSOCIATES LTD. and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership firm and to sign any authority letter including adjustment of balances.

Further, we acknowledge that we undersigned being partners of the above mentioned firm are responsible for the liabilities thereof.

We shall advise you in writing for any change that take place in the constitution of the firm at any time in the future.

Sr. No.	Name of Partner	Specimen Signature
1		
2		
3		

(to be signed by all the partners of the firm under stamp of the firm)

(On the Company Letterhead)

FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATES / TRUSTS / LLP

(Trading / Demat)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS/TRUSTEES OF _____ LTD. / TRUST / LLP AND HAVING ITS REGISTERED OFFICE AT _____ HELD ON _____ DAY OF _____ 200__ AT _____ A.M./P.M.

We hereby certify that the following resolution of the Board of directors of _____ LTD. was passed at the Meeting of the Board held on _____ and has been duly recorded in the Minutes Book of the said Company.

“RESOLVED THAT having regard to the object/s of the Company and to the operations of the Company and its future plans, the Company do open a Trading Account for dealing in shares and securities in Cash Segment and / or Derivative Segment on the Bombay Stock Exchange Ltd. (BSE) and / or National Stock Exchange of India Ltd. (NSE) and / or MCX (Multi commodity Stock Exchange) and / or Metropolitan Stock Exchange Ltd. (MSE) and / or Clearing member / beneficiary account for the Company, with AJMERA ASSOCIATES LTD. (Depository Participant of CDSL) in the name and style of” _____ (name of the co.) _____ LIMITED” and Mr.

Director of the Company be and is hereby authorized to negotiate and finalize the terms and conditions for opening the account and completing the formalities.

“FURTHER RESOLVED THAT Mr. _____ and Mr. _____ the Directors and Mr. _____ the Authorized Person in this behalf, be and are hereby jointly and severally authorized to sign and execute necessary forms and KYC disclosures and agreements as might be required for the purpose of opening the Trading and / or Beneficiary account/s as aforesaid and THAT they are also authorized to as such to operate the said account for and on behalf of the Company”

“RESOLVED THAT for the company do grant in favor of AJMERA ASSOCIATES LTD. a Power of Attorney limited to enabling AJMERA ASSOCIATES LTD. meet payin obligations for sale transactions carried out in the account of the Company and authorize Mr. _____ of the company to execute, notarize and deliver to AJMERA ASSOCIATES LTD. the said Power of Attorney and to do all other things as may be necessary in this connection.

“FURTHER RESOLVED THAT a certified copy of the said resolution be communicated to AJMERA ASSOCIATES LTD. together with the specimen signatures of all the aforesaid officials by the Chairman of the meeting / company.

CERTIFIED TRUE COPY

Place: _____ For _____ LTD.

Date: _____ Signatory

SPECIMEN SIGNATURES _____

NAME SIGNATURE

- 1. Mr. _____
- 2. Mr. _____
- 3. Mr. _____

Confirmation of Receipt of executed documents

Dear Sir,

With reference to my/our registration as Client with you, I/We hereby confirm that I/We have received copies of the Know Your Client Form (KYC), Rights & Obligations, Risk Disclosure Documents (RDD), Power of Attorney (POA) (if any), & all other executed documents.

Name:

Client Code: _____
Signature of Client:  _____

(ON LETTER HEAD)

FORMAT OF BOARD RESOLUTION FOR KRA

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS/TRUSTEES OF _____ LTD. / TRUST HELD ON THE ___ AT _____

RESOLVED THAT Mr./Ms. _____ and/or Mr./Ms. _____, Authorized Signatory of _____ (the company) whose specimen Signatures are attested below be and are hereby authorized to sign, execute and submit applications, undertakings, agreements and other requisite documents as may be deemed necessary for KYC application with CVL KRA.

SPECIMEN SIGNATURES OF AUTHORIZED PERSONS:

Sr. No.	Name	Designation	Specimen Signature
1			
2			

Certified as True copy of the original

For _____

Signatures:
Name/s of the Director(s)

POINTS TO BE INCORPORATED IN TRUST DEED IN CASE OF TRUST ACCOUNT

TRUST DEED should be Signed by all or Maximum Trustees with Stamp.

Shareholding % has to be mentioned in the Deed. If the shareholder is a corporate entity and holding more than 15% of equity, then provide shareholding pattern of the holding company on its letterhead with POI and POA and subsequent shareholding patterns of the beneficial owner is identified.

If Shareholder is an Individual entity and holding more than 15% of the equity then provide POI and POA of BO.

The Trust Deed should contain an investment clause which shall specify its objective to invest or deal in equities, commodities, derivatives, debt products, mutual funds.

With reference to my/our registration as Client with you, I/We hereby confirm that I/We have received copies of the Know Your Client Form (KYC), Rights & Obligations, Risk Disclosure Documents (RDD), Power of Attorney (POA) (if any), & all other executed documents.

I understand that the Voluntary documents executed by me are out of my own free will. I/ hereby confirm that I have clearly understood and agree to abide by the Terms and Conditions described by AJMERA ASSOCIATES LTD.I also understand that these Terms and Conditions can be changed by AJMERA ASSOCIATES LTD. from time to time with prior notice of 10 days and subject to posting of the amendments and modifications therein on it's website and their applicability with prospective effect.

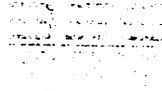
Client Name : _____

Place : _____



Date : _____

(Client Signature)

<p style="text-align: center;">  </p>			
Broker/Agent Code ARN:		SUB-BROKER:	EUIN:
Unit Holder Information			
Name of the First Applicant :			
PAN Number :	KYC:	Date of Birth :	
Father Name :		Mother Name :	
Name of Guardian :		PAN :	
Contact Address :			
City :	Pincode :	State :	Country :
Tel.(Off) :	Tel.(Res) :	Email :	
Fax (Off) :	Fax (Res) :	Mobile :	
Income Tax Slab/Networth :		Occupation Details	
Place of Birth :	Country of Tax Residence :		
Tax Id No. :			
Politically exposed person / Related to Politically exposed person etc.?			Yes
			No
Mode of Holding :		Occupation :	
Name of Second Applicant :			
PAN Number :	KYC:	Date of Birth :	
Income Tax Slab/Networth :		Occupation Details	
Place of Birth :	Country of Tax Residence :		
Tax Id No. :			
Politically exposed person / Related to Politically exposed person etc.?			Yes
			No
Name of Third Applicant :			
PAN Number :	KYC:	Date of Birth :	
Income Tax Slab/Networth :		Occupation Details	
Place of Birth :	Country of Tax Residence :		
Tax Id No. :			
Politically exposed person / Related to Politically exposed person etc.?			Yes
			No
Other Details of Sole/ 1st Applicant			
Overseas Address :			
(In case of NRI investor)			
City :	Pincode :	Country :	
Bank Mandate Details			
Name of Bank :		Branch :	
A/C No. :	A/c Type :	IFSC Code:	
Bank Address :			
City :	Pincode :	State :	Country :
Nomination Details			
Nominee Name :		Relationship :	
Guardian Name (If Nominee is Minor)			
Nominee Address :			
City :	Pincode :	State :	
Declaration and Signature			
I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.			
Date :		Place :	
1st applicant Signature :	2nd applicant Signature :	3rd applicant Signature :	

**NACH/ECS/AUTO DEBIT
MANDATE INSTRUCTION FORM**

UMRN Date:

Tick (✓) Sponsor Bank Code Utility Code

CREATE I/We hereby authorize **BSE Limited** to debit (tick ✓) SB/CA/CC/SB-NRE/SB-NRO/Other

MODIFY Bank a/c number

CANCEL with Bank IFSC or MICR

an amount of Rupees ₹

FREQUENCY Mthly Qtly H-Yrly Yrly As & when presented DEBIT TYPE Fixed Amount Maximum Amount

Reference 1 (Mandate Reference No.) Phone No.

Reference 2 (Unique Client Code-UCC) Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

PERIOD

From	<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"/>
To	<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"/>
Or	<input type="checkbox"/> Until Cancelled								

1. 2. 3.

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/ Corporate to debit my account, based on the instructions as agreed and signed by me.
- I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation/ amendment request to the User entity/ Corporate or the bank where I have authorized the debit.

BSE StAR MF

(Letter to be provided by the Investor to the MFI)

To _____

Date: _____

Sir,

Sub: BSE StAR MF

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd. (Exchange).

I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF.

For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE StAR MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated December 2, 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

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

I/we therefore request you to register me/us as your client for participating in BSE StAR MF.

Thanking you,

Yours faithfully,

Declaration:

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

Signature with relevant seat:

Authorized Signatory

Authorized Signatory

Authorized Signatory

Date:

Place: