

Vijeta Broking India Pvt. Ltd.

Member: BSE, NSE, MCX, NCDEX, MCX-SX



Account Opening Form

Name :

Trading Code : Introducer :

DP Code : 12069500 Introducer Code :



MEMBER OF :

NSE: SEBI Regn. No. INB 231318636 / INF 231318636 / INE 231318636 - Trading Code No. 13186

BSE: SEBI Regn. No. INB 011318632 / INF 011318632 - Clearing No. 3278

MCX-SX: SEBI Regn. No. INE 261318633 - Clearing No. 76100

CDSL: SEBI Regn. No.: IN-DP-CDSL-606-2010

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Name of stock broker/ trading member/clearing member		VIJETA BROKING INDIA PRIVATE LIMITED	
SEBI Registration No. and date		For NSE Cash INB 231318636 & Dated : 5 th November 2008 For NSE F&O INF 231318636 & Dated: 5 th November 2008 For NSE Currency INE 231318636 & Dated: 26 th June 2009 For BSE CASH INB 011318632 & Dated: 27 th April 2009 For BSE F&O INF 011318632 & Dated : 29 th November 2010 For MCX Currency INE 261318633 & Dated : 06 th September 2010 For DP IN-DP-CDSL-606-2010 & Dated: 27 th December 2010 NSE Member Code No.: 13186 • BSE Member Code No.: 3278 MCX –SX Code No. : 76100	
Registered office & Correspondence office address:		1/C, Jijibhoy Indl. Estate, 2 nd Floor, Opp. Vakharia Estate, Ram Mandir Road, Goregaon (West), Mumbai – 400 104 Tel. No.: 42023300 Fax: 42023302	
Processing Address		118, Maharani Udyog, 1 st Floor, Somnath Road, Dabhel, Nani Daman (UT) - 396210	
Clg. Member : IL&FS Securities Services Limited, II & FS House, Raheja Vihar, Chandivali, Andheri (E) Mumabai-72 Tel No: 28474272 • IL&FS -NSE F&O : Sebi Reg. No.: INF231133630 • Currency Derivative : Sebi Reg No : INE231308334 • BSE F&O : Sebi Reg. No: INF011133834 MCX-SX : Sebi Reg. No: INE261313337			
Compliance officer name: phone no. & email id:		AMI L. SHAH 022-42023344 • ami@vijetabroking.com	
For any grievance/dispute please contact VIJETA BROKING INDIA PRIVATE LIMITED at the above address or email id: igredressal@vijetabroking.com and Phone no. 91-022-42023344. In case not satisfied with the response, please contact the concerned exchange(s). at on BSE Tel:-022 2272 8097 E-mail Id :- is@bseindia.com , On NSE Tel:- 022 2659 8190 • E-mail Id:- ignse@nse.co.in			

TRADING FORM

A. IMPORTANT
POINTS:

INSTRUCTIONS FOR FILLING KYC FORM

MANDATORY

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. 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.

C. 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.

CHECK LIST FOR FILLING KYC FORM
(Please tick against documents provided)

MANDATORY

A. 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.

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

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

1. ☐ Passport
☐ Voters Identity Card
☐ Ration Card
☐ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
 2. ☐ Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill (Not more than 3 months old).
 3. ☐ Bank Account Statement/Passbook (Not more than 3 months old).
 4. ☐ Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
 5. ☐ Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
 6. ☐ Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
 7. ☐ For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address.
 8. ☐ The proof of address in the name of the spouse.
- C. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- D. Demat master or recent holding statement issued by DP bearing name of the client.
- E. Additional documents in case of trading in derivatives segments - illustrative list:
- ☐ Copy of ITR Acknowledgement
 - ☐ Copy of Annual Accounts
 - ☐ In case of salary income - Salary Slip
 - ☐ Copy of Form 16
 - ☐ Net worth certificate
 - ☐ Copy of demat account holding statement
 - ☐ Bank account statement for last 6 months
 - ☐ Any other relevant documents substantiating ownership of assets.
 - ☐ Self declaration with relevant supporting documents.

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

For Individuals:

- a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below: (Please tick against documents provided)

MANDATORY

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

For Non-Individuals:

- a. Form need to be initialized by all the authorized signatories.
- b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

MANDATORY

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

For Individuals

IDENTITY DETAILS							
Name of the Applicant							
Father's/ Spouse Name							
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Marital status		<input type="checkbox"/> Married <input type="checkbox"/> Unmarried			
Date of birth		<input type="checkbox"/> Nationality					
Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National						
PAN		Unique ID No./Aadhaar, if any:					
Specify the proof of Identity submitted							

PHOTOGRAPH

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

ADDRESS DETAILS							
<input type="checkbox"/> Corps. Add. <input type="checkbox"/> Residence <input type="checkbox"/> Office				Permn. Add. (If different from Corps. Add. or overseas add. mandatory for Non-Resi. Applicant)			
City		Pin		City		Pin	
State		Country		State		Country	
Resi No. (s)		Off. No. (s)		Resi No. (s)		Off. No. (s)	
Fax No. (s)				Fax No. (s)			
Mobile No.				Mobile No.			
Email				Email			
Specify the proof of add. submitted for Corps. Add.				Specify the proof of add. submitted for Permanent Add.			

OTHER DETAILS	
Gross Annual Income details (please specify) : Income Range per annum	
<input type="checkbox"/> Upto Rs. 1,00,000/- <input type="checkbox"/> Rs. 1,00,001/- to Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,001/- to Rs. 10,00,000/-	
<input type="checkbox"/> Rs. 10,00,001/- to Rs. 25,00,000/- <input type="checkbox"/> Above Rs. 25,00,001/-	
Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year)	
2. Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others
3. Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)
4. Any other information	

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

FOR OFFICE USE ONLY		
(Originals verified) True copies of documents received	Signature of the Authorised Signatory	Seal/Stamp of the intermediary
	Name	
	Signature	
(Self-Attested) Self Certified Document copies received	Designation	
	Date	

MANDATORY

Please fill this form in ENGLISH and in BLOCK LETTERS.

For Non-Individuals

IDENTITY DETAILS							
Name of the Applicant							
Date of incorporation		Place					
Date of commencement of business							
PAN		Registration No. (e.g. CIN)					
Status (please tick any one)		<input type="checkbox"/> Private <input type="checkbox"/> Limited <input type="checkbox"/> Co. Public <input type="checkbox"/> Ltd. <input type="checkbox"/> 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)							
ADDRESS DETAILS							
<input type="checkbox"/> Corps. Add. <input type="checkbox"/> Residence <input type="checkbox"/> Office				Regd. Add. (If different from Corps. Add.)			
City		Pin		City		Pin	
State		Country		State		Country	
Resi No. (s)		Off. No. (s)		Resi No. (s)		Off. No. (s)	
Fax No. (s)				Fax No. (s)			
Mobile No.				Mobile No.			
Email				Email			
Specify the proof of add. submitted for Corps. Add.				Specify the proof of add. submitted for Regd. Add.			
OTHER DETAILS							
Gross Annual Income details (Please specify) : Income Range per annum							
<input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> Rs. 1,00,001/- to Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,001/- to Rs. 10,00,000/-							
<input type="checkbox"/> Rs. 10,00,001/- to Rs. 25,00,000/- <input type="checkbox"/> Rs. 25,00,001/- to 1 crore <input type="checkbox"/> > 1 crore							
Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year)							
Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: Please provide details on Annexure-A attached.							
DIN/UID of Promoters/Partners/Karta and whole time directors: _____							
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors: Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)							
Any other information							
DECLARATION							
I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we aware that I/we may be held liable for it.							
Name & Signature of the Authorised Signatory				Signature			
Place		Date					
FOR OFFICE USE ONLY							
(Originals verified) True copies of documents received	Signature of the Authorised Signatory			Seal/Stamp of the intermediary			
	Name						
	Signature						
(Self-Attested) Self Certified Document copies received	Designation						
	Date						

PHOTOGRAPH

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

Photographs of Promoters/Partners/Karta/Trustees and Whole time directors and of persons authorized to deal in securities.

Name				Sign across the Photograph excluding face
Residential Address				
Telephone No.		Mobile		
Income Tax PAN No.				
UID		DIN		
	Promoter/Partner/Karta/Trustees/Whole Time Directors/Authorised Person			

Name				Sign across the Photograph excluding face
Residential Address				
Telephone No.		Mobile		
Income Tax PAN No.				
UID		DIN		
	Promoter/Partner/Karta/Trustees/Whole Time Directors/Authorised Person			

Name				Sign across the Photograph excluding face
Residential Address				
Telephone No.		Mobile		
Income Tax PAN No.				
UID		DIN		
	Promoter/Partner/Karta/Trustees/Whole Time Directors/Authorised Person			

Name				Sign across the Photograph excluding face
Residential Address				
Telephone No.		Mobile		
Income Tax PAN No.				
UID		DIN		
	Promoter/Partner/Karta/Trustees/Whole Time Directors/Authorised Person			

Name				Sign across the Photograph excluding face
Residential Address				
Telephone No.		Mobile		
Income Tax PAN No.				
UID		DIN		
	Promoter/Partner/Karta/Trustees/Whole Time Directors/Authorised Person			

MANDATORY

BANK ACCOUNT(S) DETAILS					
No.	MICR No.	Bank Name, Branch Add. & Tel. No.	A/c Type	Account No.	IFSC Code
1					
2					

Please provide Cancelled Cheque leaf for MICR & IFSC Code

DEPOSITORY ACCOUNT(S) DETAILS					
Sr. No.	Depository Participant Name	BO Name	DP ID No.	BO ID	Depository Name
1*					
2					

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

TRADING PREFERENCES			
*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.			
Ex. Segment	Cash	Derivatives	Currency Derivatives
BSE			
NSE			
MCX-SX			

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.

PAST ACTIONS			
Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:			
DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS			
If client is dealing through the sub-broker, provide the following details:			
Name			BSE SEBI Reg. No.
Regd. Off.			NSE SEBI Reg. No.
Address			MCX-SX SEBI Reg. No.
			Remisier/AP (BSE)
Signature	Tel. No.		Remisier/AP (NSE)
X	Fax No.		Remisier/AP (MCX-SX)
	Website		Remisier/AP

Whether dealing with any other stock broker/sub-broker (if in case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of Stock Broker		Name of Sub-Broker, if any		Client Code		Exchange	
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Details of disputes/dues pending from/to such stock broker/sub- broker:

ADDITIONAL DETAILS	
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):	
Specify your Email id, if applicable:	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):	<input type="checkbox"/> YES <input type="checkbox"/> NO
Number of years of Investment/Trading Experience:	
Any other information	

INTRODUCER DETAILS (Optional)			
Name		Signature	
Add. / Tel.		X	
Status of the Introducer: Sub Broker / Remisier / Authorized Person / Existing Client / Others, please specify_____			

NOMINATION DETAILS (FOR INDIVIDUAL ONLY)			
I / We wish to nominate		I / We do not wish to nominate	
Name of Nominee		Relation with Nominee	
Address		PAN No.	
		Tel. No.	
If Nominee is a minor, details of Guardian		Date of Birth	
Name of Guardian			
Address & Tel No.		Signature of Guardian	
Witnesses (Only applicable in case the account holder has made nomination)			
Name		Name	
Address		Address	
Signature		Signature	
DECLARATION			
<p>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.</p> <p>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.</p> <p>3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.</p>			
Name			Signature
Place	Date		
FOR OFFICE USE ONLY			
UCC Code allotted to the Client:			
Documents verified with Originals	Client Interviewed / Approved by		In person Verification done by
Name			
Signature			
Designation			
Employee Code			
Date			
<p>I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents.</p> <p>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.</p>			
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.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT
(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/ password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/ Exchange end for any reason beyond the control of the stock broker/Exchanges.

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

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

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

- 1.2.1 Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.
- 1.3 Risk of Wider Spreads:
Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.
- 1.4 Risk-reducing orders:
The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.
 - 1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.
 - 1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.
 - 1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.
- 1.5 Risk of News Announcements:
News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.
- 1.6 Risk of Rumors:
Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.
- 1.7 System Risk:
High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.
 - 1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.
 - 1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.
- 1.8 System/Network Congestion:
Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination

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

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

- 2.1 Effect of "Leverage" or "Gearing":

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

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

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

- 2.2 Currency specific risks:

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

- 2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short

period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

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

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY: Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

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

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

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - 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.

In order to ensure proper compliance with various Notices/Circulars /Guidelines issued by SEBI/Exchanges and uniformity the Company has prescribed the Policies & Procedure as under for guidance of all employees in HO/all Branches which is to be strictly followed by all.

[1] Refusal of orders for penny stocks

There is no formal list of the "Penny Stocks" issued by the Exchanges/SEBI. However there are shares of certain companies which are called/known as "Penny Stocks" in the Market. These shares may be part of the list of "Illiquid Stocks" issued by the Exchanges from time to time but not necessarily so in all cases. As dealing in these stocks (in physical form or demat form) is risky the Company (as a stock broker) may declined to carry out Buy/Sale Order/s of any client for so called "Penny Stock"

[2] Setting up of Client's Exposure limits

The Company will fix the limit in value for each and every Client for which Buy/Sell Order/s of any particular Client will be executed in normal course based on "Income level" for the year confirmed by the Client and other considerations. The Company will not disclose the rational / logic of their decision (about fixation of the monetary limit). However if requested by the Client for any specific transaction/s to be carried out as a special case then it may be considered on merit.

[3] Applicable Brokerage Rate

At present SEBI permits maximum brokerage @ 2.5%.The Company charge brokerage to their Clients at the rate/s below this maximum limit. Each client will be intimated the rate at which brokerage will be charged to him / her / it. This rate will be revised by the Company based on volume of the Client's business / market conditions / other relevant factors. Any change in the rate of brokerage will be intimated to the Client in writing in advance.

[4] Imposition of penalty /delayed payment charges by either party -Rate/Period

All Clients who have agreed to have a "Running Account" with the Company will have to make payments due to the Company on due date/s. In all cases if payment is not made to the Company on due date penalty / delayed payment charges for delay in payment of amount relating to settlement, margin or any other dues relating to securities transactions @ _____ % per annum. These charges shall be levied from the date of debit balance till the credit of payment in your bank account.

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

In case any particular Client has failed to make payment on due date then the Company will sell that particular client's securities or close that particular client's position, without giving notice to the client on account of non-payment of dues.

[6]Shortages in obligations arising out of internal netting of trades

In case of BSE, shortages arising out of Internal Netting of trades are given for self auction to the exchange through exchange mechanisms.

In case of NSE, shortages arising out of Internal Netting of trades, client shortages are closed out by company at 10% above the closing rate of that particular scrip of auction date.

In case of shortages due to Internal Netting of trades if the Company is required to pay any penalty to the Exchange/s it will be charged to the Client concerned.

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

It is to be noted that under following circumstances any Client will not be allowed to take further position or the Company may close that particular Client's position (i) If the particular Client is a Defaulter of amount due to the Company (ii) Value of the Collateral is not sufficient to meet the Losses incurred by the Client (iii) If according to the Company Market Conditions has turned or likely to turn unfavorable based on the information available or it is the view of the matter taken by the Company. (iv) that particular Client is barred from Trading on the Exchange/s by SEBI/Exchange/s

[8] Temporarily suspending or closing a client's account at the client's request

It is to be noted that under following circumstances any particular Client's Account may be Suspended /

Closed (i) On receipt of Written Instruction from that particular Client (ii) that particular Client is barred from Trading on the Exchange/s by SEBI/Exchange/s (iii) The particular Client who has defaulted in making payment on due date to the Company (iv) on receipt of any adverse information by the Company about the particular Client.

[9] Deregistering a client.

It is to be noted that any particular Client/s who is/are covered under any of the following category will be deregistered

(i) that particular Client/s is/are barred from Trading on the Exchange/s by SEBI/Exchange/s

(ii) The particular Client who has defaulted in making payment on due date to the Company

(iii) on receipt of any adverse information by the Company about the particular Client

(iv) The Client NOT trading through the Company continuously for more than 12 months

10. Treatment of Inactive Accounts

The Clients who are inactive for the period of six months will be locked for further trading in order to avoid erroneous punching of order. Such customers can get their accounts activated by orally requesting their relationship manager or sub-broker.

I have read and understand the above policy for RMS and Controls of the Member and state that I will strictly abide by the conditions laid in this policy.

TARIFF SHEET		CASH SEGMENT			
	Trading			Delivery	
	Minimum Rs.	Percent		Minimum Rs.	Percent
		1st side	2nd Side		
Rates					

EQUITY FUTURES					
	Same Day			Carry Forward	
	Minimum Rs.	Percent		Minimum Rs.	Percent both Side
		1st side	2nd Side		
Rates					

EQUITY OPTION					
	Same Day			Carry Forward	
	Minimum Rs.	Percent		Minimum Rs.	Percent both Side
		1st side	2nd Side		
Rates					

CURRENCY FUTURES					
	Same Day			Carry Forward	
	Minimum Rs.	Percent		Minimum Rs.	Percent both Side
		1st side	2nd Side		
Rates					

CURRENCY OPTION					
	Same Day			Carry Forward	
	Minimum Rs.	Percent		Minimum Rs.	Percent both Side
		1st side	2nd Side		
Rates					

- The above rates are exclusive of transaction charge, Stamp Duty, Securities Transaction Tax, Service Tax, Sebi Fees, Commodity Charges & Other Applicable Charges which will be charged extra at the rate prevailing from time to time.

 Client's Signature

X

 Signature of Sub-broker /
 Authorised Person / Introducer

X

 Signature of Broker

DP FORM

INSTRUCTIONS FOR THE APPLICANTS FOR ACCOUNT OPENING

• All correspondence / queries shall be addressed to the first / sole applicant. • Signatures can be in English or Hindi or any of the other languages contained in the 8th schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate/Special Executive Officer under his/her official seal. • Signatures should be preferably in **black** ink. • Details of the Names, Address, and Tel No. etc. of the Magistrate / Notary Public / Special Executive Magistrate/Special Executive Officer are to

be provided in case of any attestation done by them. • In case of applications containing a Power of Attorney, the relevant Power of Attorney or the notarized copy thereof must be lodged along with the application. • All holders of the account will be required to sign all the depository instructions / correspondence.

• Any change in the details given here in required a letter alongwith supporting documents duly signed. • Strike off whichever option, in the account opening form is not applicable. • **Kindly update the D P about any changes in address and bank details to ensure proper receipt of Corporate Benefits, correspondence etc.**

CHECK-LIST (All the documents must be self attested by applicant)

(A) Identity Proof (any one of the following)

PAN Card with photograph *

(Compulsory for all the Account holders w.e.f. 1/4/06)

- Passport • Driving License • Voters Card
- (Copy of all printed pages)
- Identity card/document with applicant's Photo, issued by :
 - Central/State Government and its Departments
 - Public Sector Undertakings
 - Public Financial Institutions
 - Professional Bodies such as ICAI, ICWAI, ICSI,
 - Bar Council etc., to their members
 - Statutory / Regulatory Authorities
 - Scheduled Commercial Banks
 - Colleges affiliated to Universities
 - Credit cards / Debit cards with photographs issued by Banks

(B) Address Proof

(Compulsory for all the A/c holders)

(For Permanent & Correspondence Address)

(any one of the following)

- Ration card • Bank Passbook
- Bank Statement: A computer-generated statement without signature/ stamp of the bank (showing the name and address of the BO and bank transactions during a period, printed on the Bank stationery) can be accepted as a valid proof of address only if duly attested by the concerned Bank under the stamp and signature of the bank official.

or

- Original bank statement (showing the name of the BO, address of the BO and bank transactions during a period, printed on the bank stationery) self attested by the BO along with cancelled cheque (in original) pertaining to the said bank account, without bank attestation as mentioned above, provided that such original bank statement is not more than 2 quarters old can be accepted as valid proof of address.

or

- A copy of the bank statement along with a copy of a cheque.

or

- E-statement along with a copy of the cheque only if the name of the account holder is preprinted on the cheque.

Note: The copy of the bank statement should clearly display the logo and the name of the bank, the BO's name, address, account number and transactions/balance. The bank details (including account number) mentioned on the bank statement should be identical to the details mentioned on the cheque.

- Voters Card • Passport • Driving License

(Copy of all printed pages)

- Residence Telephone Bill (Bill date not more than two months old)
- Electricity Bills (Bill date not more than two months old)
- Leave & License agreement / Agreement for sale
- Identity card / document with address issued by
 - Central/State Government and its Departments
 - Statutory/Regulatory Authorities
 - Public Sector Undertakings
 - Public Financial Institutions
 - Colleges affiliated to universities
 - Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their members; and Self-declaration by High court & Supreme Court judges, giving the new address in respect of their own accounts.
 - Scheduled Commercial Banks

(C) Correspondence Address

(If Permanent Address differs from Correspondence address then provide details of both)

- If BOs wish to receive their correspondence at the address of some other entity - such as POA holder for NRI, for IPO / Margin financing, etc., the abovementioned proof of address documents in the name of such other entities may be accepted as proof of correspondence address

of the BO, provided the same is mentioned in the account opening form.

(D) Minor Details All Mandatory

The minor should be the first and sole holder in the account i.e. there should not be any joint accounts where a minor is a First / Second / Third joint holder.

Documents to be obtained are:

- Birth certificate of minor.
- Proof of address and identity documents of the Guardian, as specified above.
- One passport size photograph of minor and one of guardian with guardian's signature across the photograph. Guardian should sign across the photograph of the minor.
- PAN Card for minor.

According to the Hindu Guardians and Wards Act, natural parent i.e. Father, and in his absence, Mother, only can be the guardians. In any other event, the guardian has to be appointed by the court.

(E) HUF All Mandatory (Stamp must be as per

HUF, PAN Card)

- All the documents, as mentioned above for account opening of individual investors, will have to be collected for the karta.
- PAN Card and Bank Pass Book indicating the existence of HUF entity.
- PAN Card of the Karta to be obtained.
- Declaration by Karta giving details of the family members of the HUF with their names, sex (male/ female), date of birth and relationship with the Karta. (Format enclosed)
- BOs should note the following while opening a HUF account:
 - HUF accounts cannot be opened with joint holder(s).
 - HUF accounts cannot appoint a nominee.

In the account opening form, the Karta should sign under the HUF stamp.

Account can be opened in the name of:

- Existing Karta • Deceased Karta • HUF entity
- The name should be as it appears in the PAN card, e.g. A H Doshi & Sons, Bal Govind Zangle (HUF).

In case POA is to be given by the karta to some other entity to operate the HUF Account, the POA should be signed by all the members of the HUF account in addition to the karta. Wife cannot sign in POA but she can sign POA for their minor children.

(F) NRI All Mandatory

- Proof of Identity (copy of passport (full set)/driving license).
- Proof of foreign address and Indian address (if any).
 - [In the case of an NRI A/c without repatriation, proof of Indian address has to be given.]
- Bank account details.
- Power of Attorney, if any.
- PAN card.
- PIS Certificate.
- A declaration duly signed by the NRI that he/she has complied with, and will continue to comply with, FEMA regulations and other applicable laws.

Note:

Photocopies of the above documents, if accepted, should be attested by the Indian Embassy / Consulate General / Notary Public / Any Court / Magistrate / Judge / Local Banker in the country where the NRI resides. The attesting authority should affix a "verified with originals" stamp on the said documents. The photocopies of the KYC documents and PAN card should also be signed by the NRI. If the NRI comes in person to open the account, the above attestation requirement may be waived.

Change of status from NRI to Resident and vice versa:

It is the responsibility of the individual to inform the change of status to the DP with whom he/she has opened the demat account. Subsequently, a new demat account in the new status will have to be opened, securities should be transferred from the old demat account to the new demat account and then the old demat account should be closed.

Signature of F - 11 • Signature of S - 11 • Signature of T - 11



Processing Address: 118, Maharani Udyog, 1st Floor, Somnath Road, Dabhel, Nani Daman (UT), Pin Code - 396210.

DP ID: 12069500 • SEBI REG. NO.: IN-DP-CDSL-606-2010

ACCOUNT OPENING FORM FOR INDIVIDUAL

Type of Account			Please tick whichever is applicable: <input type="checkbox"/> Individual <input type="checkbox"/> NRI <input type="checkbox"/> Foreign																		
Status			Sub - Status																		
<input type="checkbox"/> Individual			<input type="checkbox"/> Individual Resident				<input type="checkbox"/> Individual-Director				<input type="checkbox"/> Individual Director's Relative										
			<input type="checkbox"/> Individual HUF / AOP				<input type="checkbox"/> Individual Promoter				<input type="checkbox"/> Individual Margin Trading A/C (MANTRA)										
			<input type="checkbox"/> Others (specify)																		
<input type="checkbox"/> NRI			<input type="checkbox"/> NRI Repatriable				<input type="checkbox"/> NRI Non-Repatriable				<input type="checkbox"/> NRI-Repatriable Promoter										
			<input type="checkbox"/> NRI Non-Repatriable Promoter				<input type="checkbox"/> NRI - Depository Receipts				<input type="checkbox"/> Others (specify)										
<input type="checkbox"/> Foreign National			<input type="checkbox"/> Foreign - National				<input type="checkbox"/> Foreign National - Depository Receipts				<input type="checkbox"/> Others (specify)										
Application No.													Date								
DP Internal Reference No.																					
DP ID		1	2	0	6	9	5	0	0	Client ID											

(To be filled by the applicant in **BLOCK LETTERS** in English)

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

Sole / First Holders Details

First Name																					
Middle Name																					
Last Name																					
Father / Husband Name																					
Title		<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other										Suffix									
Correspondence Address										Permanent Address (if different from Correspondence Address)											
City						State						City						State			
Country						PIN						Country						PIN			
Tel. No. (STD Code)										Tel. No. (STD Code)											
Fax No. (STD Code)										Fax No. (STD Code)											
Mobile No.																					
PAN No. (Compulsory) *																					
E-mail ID																					
Date of Birth										Education Qualification											
Nationality		<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)																			
Sex		<input type="checkbox"/> Male <input type="checkbox"/> Female																			
Occupation		Service { <input type="checkbox"/> Central Govt. Statutory Body <input type="checkbox"/> State Govt. <input type="checkbox"/> Public/Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify) _____																			
Nature of business: (Products/services provided)																					
Financial Details:		Income Range per annum: <input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,001 to 2,00,000 <input type="checkbox"/> Rs. 2,00,001 to 5,00,000 <input type="checkbox"/> More than Rs. 5,00,000																			

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit]		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly		
Do you wish to receive dividend / interest directly in to your bank account through ECS?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
I / We request you to send electronic transection cum holding statement at soie / first holder email ID stated in the <i>Account Opening Form</i> or at		<input type="checkbox"/> Yes	<input type="checkbox"/> No

Bank Details (Dividend Bank Details)

Bank Code (9 digit MICR code)									
Bank Name									
Branch									
Bank Address									
City		State			PIN				
Account number									
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Cash Credit <input type="checkbox"/> Others (specify)								

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) (ii) Photocopy of the Bank Statement having name and address of the BO and not more than 4 months old, (or) (iii) Photocopy of the Passbook having name and address of the BO, (or) (iv) Letter from the Bank. In case of options (ii), (iii), (iv) above, MICR code of the branch should be present/mentioned on the document and it should be self-certified by the BO.

Joint Holders - Second Holder's Details

First Name										Middle Name										Last Name									
Father / Husband Name																													
Title										<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other										Suffix									
Permanent Address																													
										City																			
										State																			
										Country																			
										Pin																			
Telephone No.										Fax No.					Mobile No.														
PAN No. (Compulsory) *																													
E-mail ID																													
Date of Birth																													
Nationality										<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)																			
Sex										<input type="checkbox"/> Male <input type="checkbox"/> Female																			
Occupation										Service { <input type="checkbox"/> Central Govt. Statutory Body <input type="checkbox"/> State Govt. <input type="checkbox"/> Public/Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify) _____																			
Nature of business: (Products/services provided)																													
Financial Details:										Income Range per annum: <input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,001 to 2,00,000 <input type="checkbox"/> Rs. 2,00,001 to 5,00,000 <input type="checkbox"/> More than Rs. 5,00,000																			

Joint Holders - Third Holder's Details

First Name										Middle Name										Last Name									
Father / Husband Name																													
Title										<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other										Suffix									
Permanent Address																													
										City																			
										State																			
										Country																			
										Pin																			
Telephone No.										Fax No.					Mobile No.														
PAN No. (Compulsory) *																													
E-mail ID																													
Date of Birth																													
Nationality										<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)																			
Sex										<input type="checkbox"/> Male <input type="checkbox"/> Female																			
Occupation										Service { <input type="checkbox"/> Central Govt. Statutory Body <input type="checkbox"/> State Govt. <input type="checkbox"/> Public/Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify) _____																			
Nature of business: (Products/services provided)																													
Financial Details:										Income Range per annum: <input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,001 to 2,00,000 <input type="checkbox"/> Rs. 2,00,001 to 5,00,000 <input type="checkbox"/> More than Rs. 5,00,000																			

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

Additional Details

SMS Alert Facility	<input type="checkbox"/> Yes MOBILE NO. +91 _____ Refer to Terms & Conditions given as Annexure-A	<input type="checkbox"/> No
easi	<input type="checkbox"/> Yes. If yes, please contact your DP for details (Facility through CDSL's website: www.cdslindia.com wherein a BO can view his ISIN balances, transactions and value of the portfolio online.)	<input type="checkbox"/> No

Details of Guardian




(In case of Minor Demat Account)

First Name												
Middle Name												
Last/Search Name												
Relationship with the applicant												
Correspondence Address												
City					State							
Country					PIN							
Telephone No.					Fax No.					Mobile No.		
PAN No. (Compulsory)*												
E-mail ID												

For NRIs

Foreign Address										
City					State					
Country					PIN					

I/We have read the terms & conditions DP-BO agreement and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by / 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.

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	 (F1)	 (S1)	 (T1)
Latest Passport size colour photograph →	(Please sign across the photograph) (Excluding face)	(Please sign across the photograph) (Excluding face)	(Please sign across the photograph) (Excluding face)

(Signatures should be preferably in black ink)

(In case of minor holder, photograph of guardian has to be affixed along with minor's photograph)

(Please confirm & check that all the A/c holder has to do the signature in same order in all the places wherever required)

===== (Please Tear here) =====

(Please preserve this Acknowledgement Receipt)

Acknowledgement Receipt




Application No. :

Date :

DP ID	1	2	0	6	9	5	0	0	Client ID							
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--

We hereby acknowledge the receipt of the Account Opening Application Form :

(To be filled up by VIJETA BROKING INDIA PVT. LTD.)

	First/Sole Holder	Second Holder	Third Holder
Name			
Specimen Signature	 (F2)	 (S2)	 (T2)

KINDLY REGISTER YOUR DEMAT ACCOUNT WITH 'www.cdslindia.com' UNDER 'EASI'
FOR VIEWING OF HOLDING AND TRANSACTION STATEMENT FREE OF CHARGE.

For **VIJETA BROKING INDIA PVT. LTD.**



VIJETA BROKING INDIA PVT. LTD.

Regd. Office: 1/C, Jijibhoy Industrial Estate, 2nd Flr., Opp Vakharia Estate, Ram Mandir Rd., Goregaon (W), Mumbai-400 104.

Phone: 4202 3300 • Fax: 4202 3302 • E-mail Id: cdsl@vijetabroking.com • Website: www.vijetabroking.com

Processing Address: 118, Maharani Udyog, 1st Floor, Somnath Road, Dabhel, Nani Daman (UT), Pin Code-396001.

DP ID: 12069500 • SEBI REG. NO.: IN-DP-CDSL-606-2010



CDSL
Your Depository

Dear Sir/ Madam,

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 demat account (Strike out what is not applicable) (Signatures of all account holders should be obtained on this form)

☐ I/We nominate the following person who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

BO Account Details

DP ID	1	2	0	6	9	5	0	0	Client ID								
Name of the Sole / First Holder																	
Name of Second Holder																	
Name of Third Holder																	

Nominee details

Name																	
		First Name				Middle Name				Last Name							
Address																	
City						State											
Country						PIN											
Telephone No.						Fax No.											
E-mail ID																	
Relationship with BO (if any)																	
Date of Birth (if nominee is a minor)																	

(Please sign across the
photograph)
(Excluding face)

Paste Latest
Colour Photograph
of Nominee

As the nominee is a minor as on date, I/We appoint following person to act as guardian: (only father/mother or appointed by court)

Name																	
		First Name				Middle Name				Last Name							
Address																	
City						State											
Country						PIN											
Age																	

(Please sign across the
photograph)
(Excluding face)

Paste Latest
Colour Photograph
of Guardian

to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders. This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.
Place: _____ Date: _____

Nominee/Guardian's Signature

	First/Sole Holder				Second Holder				Third Holder			
Name												
Signature	☞ (F3)				☞ (S3)				☞ (T3)			

Note: Two witnesses shall attest signature(s) / Thumb impression(s).

Details of the Witness

	First Witness								Second Witness							
Names of Witness																
Address of witness																
Signature of Witness																

(To be filled by DP)

For VIJETA BROKING INDIA PVT. LTD.

Nomination Form accepted and registered vide Registration No. _____ dated _____

(Authorised Signatory)

===== (Please Tear here) =====

(Please preserve this Acknowledgement Receipt)

Acknowledgement Receipt

Received nomination form from :

DP ID	1	2	0	6	9	5	0	0	Client ID								
Name																	
Address																	
Nomination in favour of																	
No Nomination		<input type="checkbox"/> Does not wish to nominate															
Registration No.						Registered on											

For VIJETA BROKING INDIA PVT. LTD.

Authorised Signatory)

Undertaking-cum-Indemnity
In respect of facsimile instruction for operation of Depository Account

To
The Depository Participant

SR. NO.	BO IDS	NAME OF HOLDER (S)	
1		First Holder	
		Second holder	
		Third Holder	
2		First Holder	
		Second holder	
		Third Holder	
3		First Holder	
		Second holder	
		Third Holder	

I/We
1) _____ residing at _____

2) _____ residing at _____
_____, and,
3) _____ residing at _____

execute this UNDERTAKING-CUM-INDEMNITY in favour of **VIJETA BROKING INDIA PVT. LTD.** (a company incorporated and registered under the Companies Act, 1956) and having its Registered Office at 1/C, Jijibhoy Industrial Estate, 2nd Floor, Opp Vakharia Estate, Ram Mandir Road, Goregaon (W), Mumbai - 400 104 hereinafter called "VBIPL" (which expression shall unless it be repugnant to the context or meaning thereof mean and include its successors in title) as follows:

WHEREAS I/We maintain a Beneficial Owner Account(s) ("the said Account") mentioned above, As per the instructions for operation of the said Accounts, the same is allowed to be operated by us or the persons authorized, in that behalf (hereinafter referred to as "Authorized Person/s"). AND WHEREAS in the day-to-day business, I am / we are required to give urgent instructions to the VBIPL for operation of the said Account: WHEREAS the VBIPL has agreed to accept, the original instruction slip, a fax submission thereof signed by the authorized persons to operate the said account under their signatures, subject to the indemnity herein offered by me/us to the VBIPL on the terms and conditions herein mentioned.

NOW IN CONSIDERATION OF THE ABOVE, I/We hereby irrevocably agree, confirm and undertake to the VBIPL as follows:

1. I/We shall transmit the Fax instructions only to the fax number informed/provided to us by the VBIPL.
2. The Fax Submission shall be signed by the Authorised Person/s mentioned in the List of Authorised signatories submitted by me/us in the account opening form on behalf of me/us and their signatures shall be in the same manner and way as has been informed to the VBIPL by me/us and the VBIPL is hereby requested and authorised, (but is not obliged to) rely upon and act, in accordance with such Fax Submission which is signed or bonafide believed by the VBIPL to have been signed, by the Authorised Person/s.
3. The VBIPL is requested by me/us and shall be entitled to treat any Fax Submission as fully and duly authorised by and binding upon me/us and further be entitled (but not bound) to take any steps relying upon the same, believing the Fax Submission, in good faith as appropriate, regardless, of the amount of money involved and notwithstanding any error in transmission or reception of such Fax Submission or any misunderstanding or ambiguity or lack of clarity in the terms of such Fax Submission.
4. I/We shall upon making any Telefax Submission hereunder, deliver to the VBIPL without any delay within two working days, the original hard copy of the Fax Submission (the Hardcopy) signed by the Authorised Person/s as aforesaid. Each Hardcopy shall bear the following words on the top of the instruction slip -
"This is a Hardcopy of Fax Submission to you, transmitted on ____ (day) of _____ (month), _____ (year).
5. The VBIPL may, but shall not be obliged to, await receipt of the Hard copy prior to taking any action in connection with the Fax Submission and shall not be obliged to follow-up with me/us for the originals. Further the storage of a photocopy of the fax transmission sent by me/us shall be the conclusive evidence of instruction to the VBIPL for having acted on such instructions and I/We hereby agree and acknowledge the same".
6. I / We hereby agree that in case the VBIPL does not receive the hard copy of the instruction within 2 working days, the VBIPL may discontinue the said facility. In such cases the VBIPL will do so with immediate effect after informing me orally / in writing / by fax. I / We undertake that I / we shall not hold the VBIPL liable for any loss to me / us in case the VBIPL does not act on fax instruction received by the VBIPL in such a case.
7. The VBIPL shall not be required to confirm (whether orally, in writing or otherwise) any fax submission or (verify the identity of the Authorised Person/s or his/her/their signature/s making or giving the fax submission or purporting to do so.
8. The VBIPL shall be under no duty to set and/or adopt any procedure for the purpose of such confirmation or verification and if at all there is any, the VBIPL shall not be obliged to strictly adopt or comply with the same in any or every instance.

9. The VBIPL shall not be liable for any losses or damages which I/we may suffer as a consequence of the VBIPL acting in accordance with or in reliance upon, any Fax Submission or otherwise pursuant to the authority conferred herein, upon the VBIPL.
10. I/We shall indemnify the VBIPL and CDSL and keep them indemnified and save harmless, at all times against any and all claims, losses, damages, costs liabilities and expenses incurred, suffered or paid or incurred by the VBIPL or required to be incurred, suffered or paid by the VBIPL and also against all demands, actions, suit proceedings made, filed / instituted against the VBIPL, in connection with or arising out of or in relation to or as a consequence of:
 - i. The VBIPL acting pursuant to, in accordance with or relying upon, any Fax Submission or otherwise pursuant to the request and authority conferred herein; and/or;
 - ii. The VBIPL acting pursuant to in accordance with or relying upon any Fax Submission received by the VBIPL which it believes in good faith to be such a Fax Submission; and / or;
 - iii. Any unauthorized or fraudulent Fax Submission to the VBIPL. PROVIDED that this indemnity shall not be available to the VBIPL, if the liabilities for which the VBIPL seeks indemnification hereunder, arises directly and completely from its own negligence or willful default.
 - iv. The VBIPL not having acted on the fax submission due to non-receipt of the transmission or receipt of incomplete or partly / fully unreadable transmission.
 - v. The VBIPL not having acted on any fax submission sent by me / us on a number other than the number mentioned by the VBIPL for the purpose of fax transmission.
11. The VBIPL shall not be under any obligation at any time to maintain any facility for the receipt of any Fax Submission or to ensure the continued operations or availability of any such facsimile facilities or equipment, and I/we shall not hold the VBIPL liable for any loss consequent to non-availability of the said fax facility.
12. I/We acknowledge and confirm that I am/we are aware that by the very nature of telecommunications services, the Fax transmissions may not be received properly and may be clearly legible. I / We agree to assume and bear all the risks involved in respect of such errors and misunderstanding and the VBIPL shall not be responsible in any manner for the same or breach of confidentiality thereto and shall also not be liable for any claims, loss, damage, cost or expense and liability arising therefrom.
13. This indemnity is without prejudice to the VBIPL's other rights, privileges, powers and remedies in law and the VBIPL may delay enforcing its rights without at any time losing them and any waiver of a right by the VBIPL hereunder or available to it by law, shall not be deemed to be a waiver of any other rights or of the same right at another time.
14. The VBIPL may stop/terminate this facility given to me / us by giving seven day prior written notice to me/us. However, any such termination shall not affect anything done or any rights or liabilities accrued or incurred prior to the termination and all the above indemnities given by me/us to the VBIPL hereunder shall survive any such termination. However, in case of termination as mentioned in point 6 above, no such notice need to be given by the VBIPL.

The Provisions relating to arbitration contained in the agreement executed by us in favour of the VBIPL shall be applicable to any dispute or difference that may arise in respect of such fax transmission including all disputes with regard to the receipt of the fax Transmission by the VBIPL.

I/We specifically agree and confirm that regardless of the place from which the fax transmission in question may have been transmitted to the VBIPL any matter or issue arising hereunder shall be governed by and construed exclusively in accordance with the Indian laws and shall be subject to the exclusive jurisdiction of the Courts of Mumbai (India) alone.

Dated at _____ this _____ day of _____ , _____

Given by:

1. Signature  (F4)

2. Signature  (S4)

3. Signature  (T4)

Name: _____ Name: _____ Name: _____

Witnessed

Witnessed

Witnessed

AGREEMENT BETWEEN A PARTICIPANT AND A PERSON SEEKING TO OPEN A BENEFICIAL OWNERS ACCOUNT

This Agreement made and entered into at Mumbai this day of _____, between VIJETA BROKING INDIA PVT. LTD., a body corporate registered under the Companies Act, 1956 having its Registered Office at 1/C, Jijibhoy Industrial Estate, 2nd Floor, Opp Vakharia Estate, Ram Mandir Road, Goregaon (W), Mumbai - 400104 AND, _____,

&

(description of the legal entity) having his/her/its office/ registered office/ address at _____

hereinafter called "the Beneficial Owner" of the Other Part.

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

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

General Clause

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

Fees, Charges and deposits

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

Statement of Account

- 3.1 The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter. The statement of accounts to be provided to the Beneficial Owner under this Agreement shall be in the form specified in Operating Instructions or as communicated by CDSL from time to time. The Participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.
- 3.2 It is agreed that if a Participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the Participant, then the Participant will furnish to the Beneficial Owner the statement of accounts under its digital signature, as governed under the Information Technology Act, 2000. Provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode, then irrespective of having forwarded the same via electronic mode, the Participant shall be obliged to provide a physical copy thereof to the BO.
- 3.3 It is agreed and understood between the parties that if the Participant does not have the facility of providing the statement of account in the electronic mode, then the Participant shall be obliged to forward the statement of account only in physical form.

Beneficial Owner shall intimate change of particulars

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

Depository not liable for claims against Beneficial Owner

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

Authorised Representative

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

Closure of Account

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

For Vijeta Broking India Pvt. Ltd.

(F6)

(S6)

(T6)

First/Sole Holder

Second Joint Holder

Third Joint Holder

Director/Authorised Signatory

same rematerialised.

Stamp Duty

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

Force Majeure

9. Notwithstanding anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, non-performance or delay in performance of any obligations under the Agreement or for any harm, loss, damage or injury caused to the other due to causes reasonably beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or any other act of God, war, rebellion, revolution, insurrection, embargo or sanction, blockade, riot, civil commotion, labour action or unrest including strike, lock-out or boycott, interruption or failure of any utility service, enemy action, criminal conspiracy, act of terrorism or vandalism, sabotage, or intrusion, or any other irresistible force or compulsion.

Service of Notice

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

Arbitration

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

Jurisdiction

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

Governing Law

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

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

SIGNED AND DELIVERED by the withinnamed the Participant)

VIJETA BROKING INDIA PVT. LTD.

For VIJETA BROKING INDIA PVT. LTD.

by the hand of its authorised)

representative Shri _____)

Director/Authorised Signatory

in the presence of witness for DP)

Name : _____)

Signature : _____)

SIGNED AND DELIVERED } Name : _____) 1.  (F7)

by the withinnamed the } Name : _____) 2.  (S7)

Beneficial Owner } Name : _____) 3.  (T7)

in the presence of witness for BO)

Name : _____)

Signature : _____)

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

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 400001 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 request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The 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.
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 is an additional facility provided for his 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 BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
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.

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/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).

BOID	1	2	0	6	9	5	0	0								
	(Please write your 8 digit DPID)								(Please write your 8 digit Client ID)							
Sole / First Holder's Name	:															
Second Holder's Name	:															
Third Holder's Name	:															
Mobile Number on which messages are to be sent	+91															
	(Please write only the mobile number without prefixing country code or zero)															

The mobile number is registered in the name of: _____

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

	(F8)		(S8)		(T8)	
Signatures	Sole / First Holder	Second holder	Third Holder			
Place:	_____	_____	_____	Date:	_____	_____

E- STATEMENT

BO ID

1	2	0	6	9	5	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

Letter of Authority/Mandate for Issuance of Ledger/ Transactions/ Holdings/ Billing Statements, Notice, Information or any other Documents.

In order to facilitate ease of operations, I/We hereby authorise you to send me/us the digitally signed Transaction, Holdings Cum Billing Statement, Notice, Information or any other Documents etc. at my / our following Email id. I/We agree to discontinue the physical statements (Transactions/ Holdings/ Billing Statements, Notice, Information or any other Documents) being send to me/us. I/We hereby given my/our consent and agree to accept the related information / documents at the under mention EMAIL ID as the valid one.

Email Address: _____

Kindly activate my email id and start sending digital Ledger / Transactions / Holdings / Billing statements etc., and other market related obligations / communication on this email address.

In case of any query, We shall intimate you/branch within 24 hours thereof. In case of any change in my/our aforesaid email id I/We undertake the same to you in writing.

Kindly do the needful.

 (F9)

 (S9)

 (T9)

Signatures

Sole / First Holder

Second holder

Third Holder

POWER OF ATTORNEY

To all to whom these presents shall come I/ we _____, (name of the beneficial owner/s), residing at/ having its registered office at _____, send greetings.

Whereas I/ we hold beneficial owner account number _____ with Central Depository Services (India) Limited (CDSL), through _____ (VIJETA BROKING INDIA PRIVATE LIMITED) registered with Securities and Exchange Board of India (SEBI).

And Whereas I/ we am/ are desirous to buy and sell securities through VIJETA BROKING INDIA PRIVATE LIMITED who is a stock broker registered with SEBI and member of recognized stock exchange/s.

And Whereas I/ we am/ are desirous of appointing VIJETA BROKING INDIA PRIVATE LIMITED as my/our constituted attorney to operate my/ our beneficial owner account on my/ our behalf for a limited purpose in the manner hereinafter appearing and subject to conditions as provided herein.

Now know you all and these presents witness that I/ we do hereby nominate, constitute and appoint VIJETA BROKING INDIA PRIVATE LIMITED (hereinafter referred to as "the stock broker") as my true and lawful attorney and authorise it to perform the following functions on my behalf:

- i. to transfer securities held in my/our aforementioned beneficial owner account(s) or any other account informed by me in writing to the stock broker from time to time to the Demat Account No. 1206950000000062(BSE Principle), CMBPID IN655656 CLIENT ID 11475968, 1206950000000121(BSE Pool), 1100001000022469(BSE EARLY PAYIN), 1206950000000140, CMBPID IN565605 CLIENT ID 11475950(NSE Pool) of the stock broker maintained for the purpose of settlement of trades and margin obligations arising out of trades executed by me/us on any recognized stock exchange 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/ will join as a member or to any demat accounts linked to the said Clearing Member ID provided that I/we have executed a Client Member Agreement with the stock broker for such exchanges.
- ii. 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.
- iii. to return to me/us, the securities or funds that may have been received by the stock broker erroneously or those securities or funds that the stock broker was not entitled to receive from me/us;
- iv. to send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/ us by way of SMS/ email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.
- v. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc pursuant to oral/written/electronic instructions given by me/ us to the stock broker.

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

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 and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at 1/C, Jijibhoy Industrial Estate, Opp Vakharia Estate, Ram Mandir Road, Goregaon(W), Mumbai - 400 104.

1st Holder _____

(F 10)

2nd Holder _____

(S10)

3rd Holder _____

(T10)

In the presence of _____

I Accept

For **VIJETA BROKING INDIA PVT. LTD.,**

Director

1/C, Jijibhoy Industrial Estate, 2nd Floor, Opp Vakharia Estate,
Ram Mandir Road, Goregaon (W), Mumbai- 400104.



VIJETA BROKING INDIA PVT. LTD.

DP ID : 12069500 • SEBI REG. NO.: IN-DP-CDSL-606-2010

gd. Office: 1/C, Jijibhoy Industrial Estate, 2nd Flr., Opp Vakharia Estate, Ram Mandir Rd., Goregaon (W), Mumbai-400 104.

Phone: 4202 3300 • Fax: 4202 3302 • E-mail Id: cdsi@vijetabroking.com • Website: www.vijetabroking.com

Processing Address: 118, Maharani Udyog, 1st Floor, Somnath Road, Dabhel, Nani Daman (UT), Pin Code-396001.

DP ID : 12069500 • SEBI REG. NO.: IN-DP-CDSL-606-2010

SCHEDULE OF CHARGES FOR NEW DEMAT ACCOUNT OPENING

Particulars	Individual	Corporate
Account Opening Charges	Nil	Nil
Documentation charges	Rs. 250/-	Rs. 250/-
Transaction Charges Incoming (Buy)	Nil	Nil
Transaction Charges (On Market) (Sell)	Rs. 20/-	Rs. 20/-
Transaction Charges (off Market & Inter DP)	Min.Rs.30 or 0.02% of the market value whichever highest	Min.Rs.30 or 0.02% of the market value whichever highest
Annual Maintenance Charges	300/-	1000/-
Life Time Free	1000/-	3000/-
Dematerialisation	Rs.50/- per Certificate	
Courier Charges	Rs.30/- per ISIN	
Remat Charges	Rs.100/- per ISIN	
Pledge Creation / Closure	Min Rs.50 Or 0.02% Of the Market Value Whichever Highest	
Transaction / Holding Statement	Free Monthly	
Custody Charges	Nil	

- As per policy, transaction statement will be issued free every month, where as for extra statement Rs 50/- will be charged per statement per month.
- Service Tax and other levies would be extra as applicable.
- Rejection charges on failure of Delivery Rs 50/- Per instruction.
- Same Day execution/ late instructions will be accepted on " A best efforts bases at the sole risk and responsibility of the depository account holder(s) The DP will not be held responsible for non- execution of same day instructions. 5 If trading A/c is not maintained with Vijeta Broking India Pvt Ltd. Minimum credit balance of Rs 2000/- shall be maintained in advance.
- In case of non payment of bill / dues within 15 days of due date, the depository service are liable to be discontinued. The renewal for resuming the service will be Rs 100/-
- Interest @ 18% p.a. will be liable to be levied on bills outstanding beyond 7 Days from due payable date.
- The above Rates are based on the existing CDSL charges and will be revised on revision by CDSL.
- Account freezing, De- freezing Rs 50 per instance / request.
- Issue of new DIS booklet charges Rs 20/- per book and if lost then charge will be Rs 100/- per DIS.
- Modification of Client Master Rs 50/- per instruction.
- Cheque bounce charges of Rs 500/- will be charge separately.
- Any service not mentioned above shall be charged extra.

(F11)

(S11)

(T11)

Sole / First Holder

Second Holder

Third Holder

VOLUNTARY

CUSTOMER PROFILE

Expected Investment / Trading Turnover on a Monthly Basis

<input type="checkbox"/> Upto 10 Lac	<input type="checkbox"/> 10 Lac	<input type="checkbox"/> More than 50 Lac
--------------------------------------	---------------------------------	---

Average Size of Transaction

<input type="checkbox"/> Upto 50 Thousand	<input type="checkbox"/> Rs. 50 Thousand to 1 Lac	<input type="checkbox"/> More Than 1 Lac
---	---	--

Expected no. of Transaction on a monthly basis

<input type="checkbox"/> Upto 50 Thousand	<input type="checkbox"/> Rs. 50 Thousand to 1 Lac	<input type="checkbox"/> More Than 1 Lac
---	---	--

Average Annual Income to be updated every year on the basis of information or documents to be obtain from clients

Financial Year	Annual Income
2007-08	
2008-09	
2009-10	
2010-11	
2011-12	

Additional Information

1. Purpose of Opening the Account

- ☐ Investment
- ☐ Trading
- ☐ Arbitrage

2. Source of Funds for Trading / Investment

- ☐ Salary
- ☐ Business
- ☐ Inherited / Gift
- ☐ Investments
- ☐ Professional Fees
- ☐ Saving
- ☐ Others (Pls. Specify) _____

For Office use only
Branch ID:
City:
Document Verified By:
Sub Broker / Authorised Person:
Dealer / Marketing Person:
Head Of the Branch:

RUNNING ACCOUNT AUTHORISATION

Date:

Vijeta Broking India Pvt. Ltd.

1/C, Jijibhoy Industrial Estate, 2nd Floor,

Opp Vakharia Estate, Ram Mandir Road,

Goregaon (W), Mumbai 400104.

& 4202 3300 • Fax: 4202 3302

E-mail Id: igredressal@vijetabroking.com

Dear Sir,

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Interest Rate future Segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

- 1 I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
- 2 I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation, unless I/We instruct you to transfer the same to my/our account.
- 3 I/We request you to settle my fund and securities account, Once in every calendar Quarter or Calendar Month as allowed by SEBI/Stock Exchange from time to time except the funds given towards collaterals/margin in the form of Bank Guarantee and/or Fixed Deposit Receipt.
- 4 In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
- 5 I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
- 6 I/We confirm you that I can revoke the above mentioned authority at any point of time.

Note:

- (i) The authorization shall be signed by the client only and not by any authorised person on his behalf or any holder of the Power of Attorney.
- (ii) The actual settlement of funds and securities shall be done by the broker, at least once in a calendar quarter or month, depending on the preference of the client. While settling the account, the broker shall send to the client a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. The statement shall also explain the retention of funds/securities and the details of the pledge, if any.
- (iii) Such periodic settlement of running account may not be necessary: a. for clients availing margin trading facility as per SEBI circular b. for funds received from the clients towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).
- (iv) The stock broker shall transfer the funds / securities lying in the credit of the client within one working day of the request if the same are lying with him and within three working days from the request if the same are lying with the Clearing Member/Clearing Corporation.
- (v) There shall be no inter-client adjustments for the purpose of settlement of the 'running account'.
- (vi) These conditions shall not apply to institutional clients settling trades through custodians. The existing practice may continue for them.

Thanking you,

Yours faithfully,

Signature of the Client  _____

Name of the Client: _____

Client Code : _____

"Client who do not want to execute voluntary clauses/document can cancel the same"

AUTHORISATION FOR ELECTRONIC CONTRACT NOTE

VOLUNTARY

Date : _____

To

Vijeta Broking India Pvt. Ltd.

1/C, Jijibhoy Industrial Estate, 2nd Floor,

Opp Vakharia Estate, Ram Mandir Road,

Goregaon (W), Mumbai- 400104.

& 4202 3300 Fax : 4202 3302

E-mail Id: igredressal@vijetabroking.com

Dear Sir,

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options Segments. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

I/We understand that, I/We have the option to receiver the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt for receipt of contract notes in electronic form. I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account(s)/email id on your record for sending the contract notes to me/us.

1

2

In respect of internet client, the request for change of email id can be made through the secured access by way of client specific user id and password.

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s)/ email id(s).

I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any nonreceipt/ delayed receipt for nay reason whatsoever.

I/We understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I/We am/are an internet client then in that.

Note:

- (i) The authorization shall be signed by the client only and not by any authorised person on his behalf or any holder of the Power of Attorney.

Thanking you

Yours faithfully

Signature of the Client (S) _____

Name of the Client : _____

Client Code : _____

"Client who do not want to execute voluntary clauses/document can cancel the same"

VOLUNTARY

LETTER OF STANDING INSTRUCTION

I am aware that the below mentioned points are voluntary and I have an authority to set aside or revoke any of them whenever I want to. I am giving this authorization for my operational convenience.

To,
Vijeta Broking India Pvt. Ltd.
1/C, Jijibhoy Industrial Estate, 2nd Floor,
Opp Vakharia Estate, Ram Mandir Road,
Goregaon (W), Mumbai- 400104.
& 4202 3300 Fax : 4202 3302
E-mail Id: igredressal@vijetabroking.com

Respected Sir,

Sub : Letter of Standing Instructions

I hereby will fully and unconditionally issue following standing instructions with references to personal discussion between us:

1. I/We are agreeable that the credit balance of funds and shares be treated as margin for both cash and derivatives segment and that no interest will be payable by the company thereon.
2. I/We am/are agreeable for transfer of credit balances in margin account / client account of cash and derivatives segment of (BSE) against debit balance in margin account / client account of cash and derivatives segment of (NSE) and vice versa.
3. I/We am/are agreeable for inter settlement transfer of securities towards pay in / payout of securities in the future / past settlements.
4. I/We am/are agreeable for and authorize you to withhold funds / securities pay out towards all the applicable margins and debits.
5. I/We have noted that you trade on your PRO/OWN account
All fines / Penalties and charges levied upon you due to my acts / deeds or transactions may be recovered by you from my accounts.
6. I/We authorize you to give instructions to DP for debitin g/ creditin gm y/ our account/s with them.
7. I/We am/are confirm that the revocation of standing instructions will be effective only from the date and time the notice is received by the company. I also confirm that all transactions originated prior to this are valid.

Thanking you.

Yours faithfully,

Client Signature : (S) _____ Date: _____

Client Name : _____ Place: _____

Client who do not want to execute voluntary clauses/document can cancel the same"

DECLARATION FOR MOBILE NO.

VOLUNTARY

Date : _____

Vijeta Broking India Pvt. Ltd.
1/C, Jijibhoy Industrial Estate, 2nd Floor,
Opp Vakharia Estate, Ram Mandir Road,
Goregaon (W), Mumbai- 400104.
Dear Sir,

I, _____ having PAN No. _____ do hereby
declare that my mobile no. is _____. Further, I authorize _____ that
the same may be used for giving me any information/alert/sms/call.
I further declare the above mentioned statement is true and correct.

Thanking you,
Yours faithfully,

Signature of the Client S _____

Name of the Client : _____

Client Code : _____

"Client who do not want to execute voluntary clauses/document can cancel the same"

CLIENT DEFAULTER DECLARATION

Date : _____

Vijeta Broking India Pvt. Ltd.
1/C, Jijibhoy Industrial Estate, 2nd Floor,
Opp Vakharia Estate, Ram Mandir Road,
Goregaon (W), Mumbai- 400104.
Dear Sir,

I, _____ having PAN no. _____ do
hereby declare that I have not been involved in any terrorist activity and I have not been declared as
defaulter
or my name is not appearing in defaulter database as per SEBI/ Various Exchanges/ Regulatory bodies/
CIBIL (Credit Information Bureau of India Ltd.) etc. I further declare that the above mentioned declaration/
statement is true and correct.

Thanking you,

Yours faithfully,

Signature of the Client (S) _____

Name of the Client : _____

Client Code : _____

"Client who do not want to execute voluntary clauses/document can cancel the same"

Authority to debit the Demat Account Operating Charges

Date : _____

Vijeta Broking India Pvt. Ltd.
1/C, Jijibhoy Industrial Estate, 2nd Floor,
Opp Vakharia Estate, Ram Mandir Road,
Goregaon (W), Mumbai- 400104.

Dear Sir,

This has reference to my Trading & Beneficiary accounts opened with Vijeta Broking India Private Limited, the particulars of which are as under.

Beneficiary Client Id	
Trading Account Code	

With regard to these accounts, and for the sake of my operating convenience, I request and authorize you to debit the bills raised by you, pertaining to the depository services, provided to me to my trading account only. Any such sum debited to my/our Trading account shall be binding on me/us, and shall not be objected to.

Kindly do the needful as requested.

Thanking you,

Yours faithfully,

Signature of the Client (S) _____

Name of the Client : _____

HUF DECLARATION

VIJETA BROKING INDIA PRIVATE LIMITED

1/C,Jijibhoy Indl Estate,2nd Floor, Opp. Vakharia Indl. Estate,Ram Mandir Road,
Goregaon (West), Mumbai - 400104

Dear Sir,

I hereby request you to open our trading account with you, for our HUF.

Being Karta of my family, I hereby declare that following is the list of family members in our HUF, as on date of Application, i.e._____.

SR. NO	NAME OF FAMILY MEMBERS	RELATIONS	DATE OF BIRTH	CO-PARCENERS SIGN.

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open new 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 any changes in the constitution of HUF will be intimated by me.

Thanking you,

Yours truly,

Signature (Please Affix the stamp of HUF)

Declaration to be given by partnership on Letter head of the firm

Date:

To,

VIJETA BROKING INDIA PRIVATE LIMITED

1/C,Jijibhoy Indl Estate,2nd Floor, Opp. Vakharia Indl. Estate,
Ram Mandir Road, Goregaon (West),

Mumbai - 400104

Dear Sir,

We refer to the trading account being opened/opened with you in the name _____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/form the above-mentioned account. We recognize and accept transfers made by you to the 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 _____, partner in the firm to execute / sign and submit such documents, agreements, deeds etc. as any be necessary to enter into the agreement and engage in business with VIJETA BROKING INDIA PRIVATE LIMITED 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 and to sign the authority letter for adjustment of balances in family accounts.

Name of Partners (In Block Letters)	Signatures

**FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATE / TRUST
(On Letterhead)**

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF _____ AND HAVING ITS REGISTERED OFFICE AT _____ HELD ON _____ DAY _____ OF _____ AT _____

Resolved that the Company do agree with Vijeta Broking India Pvt. Ltd., Member of Bombay Stock Exchange Limited (BSE) and National Stock Exchange Of India Limited (NSE) & MCX Stock Exchange Limited (MCX-SX) etc. for the purpose of dealing on Capital Market segment, Futures and Options segment, Retail Debt segment or any other segment that may be introduced by BSE/NSE/MCX-SX Vijeta Broking India Pvt. Ltd. In future and the said Trading Member be and is hereby authorized to honor instructions, oral or written, given on behalf of the company by any of the under noted authorized signatories,

Sr. No.	Name	Designation
1.		
2.		
3.		

Who is/are authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through Vijeta Broking India Pvt. Ltd.

RESOLVED FURTHER THAT Mr. _____ & _____ Directors Authorized Signatory of the company be and are hereby authorized to sign, execute and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient or expedient to open account and give effect to this resolution.

For _____

Chairman/Company Secretary

(Signature to be verified by the Banker)

Specimen Signatures of the Authorized Persons

Sr. No.	Name	Specimen Signature
1.		Ⓢ
2.		Ⓢ
3.		Ⓢ

Date:

To,

Vijeta Broking India Pvt. Ltd.

1/C, Jijibhoy Industrial Estate, 2nd Floor,

Opp Vakharia Estate, Ram Mandir Road,

Goregaon (W), Mumbai 400104.

& 4202 3300 • Fax: 4202 3302

E-mail Id: igredressal@vijetabroking.com

Dear Sir,

This is to confirm that I/we have received the copy of the duly completed documents while opening trading account with you. The set contains the copies of below mentioned documents.

Copy of Client registration form (KYC)

Right and Obligations

Risk Disclosure Document

Guidance Note

Policies & Procedures

Tariff Sheet

Copy of all Proofs i.e. Identity, Address, Demat Account, and Bank Account.

Copy of voluntary documents duly signed Supporting document

⑤

Signature of Client

Client Code



Vijeta Broking India Pvt Ltd

Details of NSE/BSE/MCX SX trading terminal

Regd. Off : 1/C, Jijibhoy Industrial Estate, 2nd Floor, Opp Vakharia Estate,
Ram Mandir Road, Goregaon (W), Mumbai-400104.

Tel No. : 022-42023301-06 Fax No. : 022-42023302

Processing Address : 118, Maharani Udyog, 1st Floor, Somnath Road, Dabhel,
Nani Daman (UT), Pin Code - 396 210.

E-mail Id : igredressal@vijetabroking.com, cdsl@vijetabroking.com
website : www.vijetabroking.com