

SET OF ACCOUNT OPENING DOCUMENT

Name of Member : FINVASIA SECURITIES PVT LTD
 Membership No. : NSE : 14846, BSE : 4043
 SEBI Registration No. : (FOR NSE, BSE) INZ000176037 (FOR CDSL) IN-DP-317-2017
Research Analyst No. : INH000011927
 Clearing Member Name & Membership No. : FINVASIA SECURITIES PVT LTD (CODE : M51912)
 Corporate office : FINVASIA TOWER, C-214, 4th Floor, Phase 8B, Sector 74, Industrial Focal Point, SAS Nagar (Mohali), Punjab 160055, Phone: +91 9779 902 002, Website: www.shoonya.com
 Compliance Officer : (FOR NSE, BSE, CDESL) Trilok Singla, Phone No.:+91 9779 902 002, Email: ccofspl@shoonya.com
 CEO : Sarveet Singh, Phone No.: +91 9779 902 002, Email : ccofspl@shoonya.com

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	KYC (Account Opening) Application Form	KYC form - Document captures the basic information about the constitute and an instruction / check list.	1-2
2.	Uniform Risk Disclosure Document (RDD)	Documents detailing Risk associated with dealing in the Equity Market.	By Email
3.	Rights and Obligations of Members, AP and Clients	Document stating the Rights & Obligation of Member, Authorized Person and client for Trading on exchanges (including additional Rights and Obligations in case of Internet/Wireless Technology based Trading)	By Email
4.	Rights and Obligations (DP)	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories.	By Email
5.	Terms and Conditions	Terms and conditions for availing transaction using secured texting (Trust) service offered by CDSL	By Email
6.	Do's and Don'ts for the Investors	Document detailing Do's & Don'ts for Trading on exchange, for the education for the investors.	By Email
7.	Policies & Procedures	Policies and procedures as per Exchange.	By Email
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For any grievance/dispute please contact Finvasia Securities Private Limited at FINVASIA TOWER, C-214, 4th Floor, Phase 8B, Sector 74, Industrial Focal Point, SAS Nagar (Mohali), Punjab 160055, Phone: +91 9779 902 002 & Email:- complaints@shoonya.com
 In case not satisfied with response, Please contact the concern exchange(s)/Depository at:

Exchange Name

National Stock Exchange of India Ltd. (NSE)

Bombay Stock Exchange Ltd. (BSE)

Central Depository Services (India) Ltd. (CDSL)

E-mail Id

ignse@nse.co.in

is@bseindia.com

complaints@cdslindia.com

Phone No.

022-26598190

022-22728097

022-22723333

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

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only

(To be filled by financial institution)

Application Type* New Update

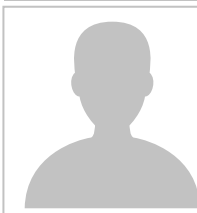
KYC Number (Mandatory for KYC update request)

Account Type* Normal Simplified (for low risk customers) Small

1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorized			

PHOTO



Signature / Thumb Impression

2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth*

3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number <input type="text"/>	Passport Expiry Date <input type="text"/>
<input type="checkbox"/> B- Voter ID Card <input type="text"/>	
<input type="checkbox"/> C- PAN Card <input type="text"/>	
<input type="checkbox"/> D- Driving Licence <input type="text"/>	Driving Licence Expiry Date <input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar) <input type="text"/>	
<input type="checkbox"/> F- NREGA Job Card <input type="text"/>	
<input type="checkbox"/> Z- Others (any document notified by the central government) <input type="text"/>	Identification Number <input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code <input type="text"/>	Identification Number <input type="text"/>

4. PROOF OF ADDRESS (PoA)*

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type* Residential / Business Residential Business Registered Office Unspecified

Proof of Address* Passport Driving Licence UID (Aadhaar)
 Voter Identity Card NREGA Job Card Others please specify

Simplified Measures Account - Document Type code

Address

Line 1*

Line 2

Line 3

District* Pin / Post Code* State / U.T Code* City / Town / Village* ISO 3166 Country Code*

TRADING ACCOUNT RELATED DETAILS

(For Individuals)

A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank Account Number	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others - in case of NRI / NRE / NRO		

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Name of Depository	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

C. TRADING PREFERENCES

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

Exchanges	NSE, BSE		
<input type="checkbox"/> ALL Segments	<input type="checkbox"/> Cash/Mutual Fund	<input checked="" type="checkbox"/>	<input type="checkbox"/> F&O
	<input type="checkbox"/> CDS	<input checked="" type="checkbox"/>	

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

D. FINANCIAL & OCCUPATION DETAILS

- Gross Annual Income Details** : Income Range per annum :
 Below Rs. 1 Lac Rs. 1 Lac to 5 Lac
 Rs. 5 Lac to 10 Lac Rs. 10 Lac to 25 Lac Rs. 25 Lac to 1 Crore >1 Crore

- Net Worth** (Net worth should not be older than 1 year) Amount Rs.....
 as on (date) D D M M Y Y Y Y (Compulsory for Non-Individuals)

- Occupation** : Private Sector Public Sector Government Service Business Professional
 (please tick any one and give brief details) Agriculturist Retired Housewife Student Others_____Please Specify

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

- Any other information** :

E 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 :

F. DEALINGS THROUGH SUB-BROKES AND OTHER STOCK BROKERS

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

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

G. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	<input type="checkbox"/> Physical Contact Notes <input type="checkbox"/> Electronic Contract Note
Specify your Email id, if applicable	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	
Number of years of Investment/Trading Experience	

H. INTRODUCER DETAILS (optional)

Name of the introducer	
Status of the Introducer	<input type="checkbox"/> Sub Broker <input type="checkbox"/> Remisier <input type="checkbox"/> Auth. Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others_____
Address and Phone No. of the Introducer	
Sign. of the Introducer	

I. NOMINATION DETAILS (for individuals only)

<input type="checkbox"/> I/We wish to nominate <input type="checkbox"/> I/We do not wish to nominate	
Name of the Nominee	
Relationship with the Nominee	
PAN of Nominee	Date of Birth of Nominee
Aadhaar of Nominee	
Address and Ph. No. of the Nominee	
If Nominee is a minor, details of guardian :	
Name of the Guardian	
Address and Ph. No. of Guardian	
Sign. of Guardian	

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

Name		Name	
Signature		Signature	
Address		Address	

DECLARATION

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

Place _____

Date =

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

_____
Signature of Client / All Authorized Signatory (ies)**FOR OFFICE USE ONLY**

UCC Code allotted to the Client : _____

	Document verified with Originals	Client Interviewed By	In-Person Verification Done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

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

For **FINVASIA SECURITIES PVT. LTD.**_____
Signature of the Authorised Signatory

Date _____

Seal / Stamp of the Stock Broker



ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT FOR INDIVIDUALS

(To be filled by the Depository Participant)

Application No.											Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																			
DP ID	1	2	0	8	4	3	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 following details :

TYPE OF ACCOUNT (Please tick whichever is applicable)

<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual Director	<input type="checkbox"/> Individual Director's Relative
	<input type="checkbox"/> Individual HUF/AOP	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Minor
	<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) _____

HOLDERS DETAILS

Sole/First Holder's Name											PAN									
UID												Date of Birth	D	D	M	M	Y	Y	Y	Y
UCC											Exchange Name & ID									
Second Holder's Name											PAN									
UID												Date of Birth	D	D	M	M	Y	Y	Y	Y
Third Holder's Name											PAN									
UID												Date of Birth	D	D	M	M	Y	Y	Y	Y

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.

OTHER DETAILS

Gross Annual Income Details	Income Range per annum :																	
	<input type="checkbox"/> Upto Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000																	
	Net Worth as on (date)	D	D	M	M	Y	Y	Y	Y	Rs.								
(Net Worth should not be older than 1 year)																		
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (specify) _____																	
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)																	
Any other information																		

BANK DETAILS (Dividend Bank Details)

Bank Code (9 digit MICR Code)																					
IFS Code (11 Character)																					
Account Number																					
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify)_____																				
Bank Name																					
Branch Name																					
Bank Branch Address																					
City						State						Country				PIN					

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque books is issued, (or)
 - (ii) Photocopy of the Bank Statement having name and address of the BO.
 - (iii) Photocopy of the Passbook having name and address of the BO, (or)
 - (iv) Letter from the Bank.
- In case of option (ii), (iii) and (iv) above, MICR Code of the branch should be present/mentioned on the document.

DETAILS OF GUARDIAN (in case the account holder is minor)

Guardian's Name											PAN										
Relationship with the applicant																					

I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')	[Automatic Credit] Yes <input type="checkbox"/> No <input type="checkbox"/>	
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not marked, the default option would be 'No')	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id _____	Yes <input type="checkbox"/> No <input type="checkbox"/>	
I/We would like to share the email ID with the RTA	Yes <input type="checkbox"/> No <input type="checkbox"/>	
I/We would like to receive the Annual Report (Tick the applicable box. If not market the default option would be in Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic	
I/We wish to receive dividend/interest directly in to my bank account as given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	Yes <input type="checkbox"/> No <input type="checkbox"/>	

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

TARIFF CHARGES

1. All charges (namely, Exchange Transaction Charges, Clearing Member Charges, SEBI Fee, etc.) and statutory taxes (GST and stamp duty, etc.) shall be charged as per rates applicable from time to time in addition to brokerage.
2. Brokerage/ operational cost of ₹5 or 0.03% (whichever is lower) plus GST will apply to executed orders in Equity Intraday, Futures, Currency and Commodity Derivatives trades. Flat ₹5 plus GST on per executed order in all Options.
3. Charges mentioned above are in respect of the services listed. Any charges for additional services provided to clients will be charged extra and communicated accordingly.
4. Late penalty of 2% per month calculated on the daily overdue balance shall be charged until actual realization.
5. There shall be no software charges, However in case of any change in future, clients will be informed with two months notice.
Shoonya(EXE/ WEB/ MOB) :- Zero Charges
6. I/We hereby authorize you to debit charges in respect of the pledge of securities against margin/settlement obligations to Exchanges, Clearing Members, Clearing Corporations, Banks, or any other Financial Institutions from my Trading account.

 4

(Client Signature)



TARIFF FOR DEPOSITORY SERVICES

Sl. No.	TRANSACTION DETAIL	RETAIL CLIENTS	BSDA CLIENTS	CORPORATE CLIENTS
1.	Demat Account Opening Charges	Nil	Nil	Nil
2.	Account Maintenance Charges	Nil	Nil	Rs. 900/- (P.A.)
3.	DDPI Services	Rs. 100/- (One Time)	Rs. 100/- (One Time)	Rs. 100/- (One Time)
4.	Transaction Charges per ISIN: (a) Buy (Receive) (b) Sell (Debit) (c) Off Market Transactions	Nil Rs. 9/- Rs. 9/-	Nil Rs. 9/- Rs. 9/-	Nil Rs. 25/- Rs. 25/-
5.	Demat (Per certificate)	Rs. 15/- + Courier Charges	Rs. 15/- + Courier Charges	Rs. 40/- + Courier Charges
6.	Remat (Per ISIN up to 100 shares)	Rs. 15/- + Courier Charges	Rs. 15/- + Courier Charges	Rs. 40/- + Courier Charges
7.	Demat / Remat Rejection	Rs. 99/- Courier Charges	Rs. 99/- Courier Charges	Rs. 99/- Courier Charges
8.	Mutual Fund Destate	Rs. 15/- + Courier Charges	Rs. 15/- + Courier Charges	Rs. 40/- + Courier Charges
9.	Pledge/Margin Pledge per ISIN	Rs. 20/- + CDSL Charges	Rs. 20/- + CDSL Charges	Rs. 40/- + CDSL Charges
10.	Unpledge for all per ISIN	Rs. 20/- + CDSL Charges	Rs. 20/- + CDSL Charges	Rs. 40/- + CDSL Charges
11.	Pledge Invocation per ISIN	Rs. 19/-	Rs. 19/-	Rs. 30/-
12.	Periodic Statement: (a) By Email (b) Physical	Free Rs. 25/- + (Courier Charges)	Free Rs. 25/- + (Courier Charges)	Free Rs. 100/- + (Courier Charges)
13.	Adhoc / Non-Periodic Statement Requests: (a) By Email (b) Physical	Free Rs. 5/- per page + Courier Charges	Free Rs. 5/- per page + Courier Charges	Free Rs. 5/- per page + Courier Charges
14.	Delivery Instructions: (a) First Delivery Instruction Book (b) Every Additional Booklet*	Free (5 Leaves) Rs. 50/- (5 Leaves)	Free (5 Leaves) Rs. 50/- (5 Leaves)	Free (5 Leaves) Rs. 50/- (5 Leaves)
15.	Cheque Bounce / Per cheque	Rs. 299/-	Rs. 299/-	Rs. 299/-
16.	Failed Transactions	Rs. 49/- per transaction	Rs. 49/- per transaction	Rs. 49/- per transaction
17.	Modification in CML	Rs. 19/- per request	Rs. 19/- per request	Rs. 19/- per request
18.	Demat Closure Account	Nil	Nil	Nil

NOTE: *

All taxes separate as applicable. DP charges will debit on T+1 day basis from trading account.

*For Physical (once a year) not chargeable.

*Every Additional Booklet courier charges Extra.

Female demat account holders (as first holder) will be discount of ₹0.25 per transaction on the CDSL fee.

An additional discount of Rs. 0.25 will be applied to debit transactions of mutual funds and bonds ISIN.



Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

STANDING INSTRUCTIONS / AUTHORIZATION LETTER

To,

Finvasia Securities Pvt. Ltd.

FINVASIA TOWER

C-214, 4th Floor, Phase 8B, Sector 74,
Industrial Focal Point, SAS Nagar (Mohali),
Punjab 160055

Date : _____

Place : _____

Sub : Standing Instructions / Authorization Letter

I/We have been / shall be dealing through you as my broker on the Capital Market and/or Futures & Options Segments / Currency Derivatives Segments. As my broker i.e. agent I/we direct and authorize you to carry out trading / dealings on my/our behalf from telephone/mobile calls made by me and/or through instructions emailed by me as per instructions given below

Since you are issuing contract notes bearing order numbers and trade numbers on a daily basis, please do not issue the order/trade confirmation slips as generated from the Trading Terminal.

You have discounted to me/us that you undertake proprietary trading.

Thanking you

Yours faithfully

6

(Client Signature)

VERBAL ORDER ACCEPTANCE AUTHORIZATION

To,

Finvasia Securities Pvt. Ltd.

FINVASIA TOWER

C-214, 4th Floor, Phase 8B, Sector 74, Industrial
Focal Point, SAS Nagar (Mohali), Punjab 160055

Date : _____

Place : _____

Sub : Verbal Order Acceptance Authorization

I/We have been / shall be dealing through as my / our broker on the Capital Market, Mutual Fund and/or Futures & Options Segments /Currency Derivative Segment. As my broker i.e. agent I/we direct and authorize you to carry out trading / dealings on my/our behalf from telephone/mobile calls made by me and/or through instructions emailed by me as per instructions given below

I/We agree and acknowledge the it is advised and preferred you that I/We given instructions for order placement/modification and cancelation in writing and to avoid disputes, I/we must given instructions in exactly the format given below in duplicate (carbon copy/photocopy) and take signatures of your duly authorized officers at the branch along with your company stamp on the carbon/ photocopy of the instructions in acknowledgement of receipt of my/our instructions. However as I/we shall be dealing by ordering over phone and even if I/we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation. I/We hereby authorize you to accept my / my authorized representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/We shall be liable for all losses, damages, and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

Thanking you

Yours faithfully

7

(Client Signature)

RUNNING ACCOUNT AUTHORISATION

TO,

Date: _____

Finvasia Securities Pvt. Ltd.

FINVASIA TOWER

C-214, 4th Floor, Phase 8B, Sector 74, Industrial Focal Point,
SAS Nagar (Mohali), Punjab 160055

Sub : Running Account Authorisation

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Commodity segment and/or Interest Rate future Segment and/or Mutual Fund 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 settle my fund once in 30 days or once in 90 days or such other higher period as allowed by SEBI/ Stock Exchange time to time.
3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite Fund towards such obligations and may also retain the funds expected to be required to meet future margin obligations, calculated in the manner specified by the exchanges.
4. 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 30 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. The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.

Thanking you

 _____

_ Yours faithfully,
(Client Signature)

Client Name : _____

Client Code : _____

FATCA-CRS Declaration

Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance

Name																
Place of Birth																
Country of Birth																
Nationality																
Constitute	<input type="checkbox"/> Individual	<input type="checkbox"/> HUF	<input type="checkbox"/> NRI	<input type="checkbox"/> Foreign National												
	<input type="checkbox"/> Corporate	<input type="checkbox"/> Others (Pl. Specify)														

Are you a tax resident of any country other than India - Yes No

If Yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

S.No.	Country#	Tax Identification Number%	Identification Type (TIN or other, please specify)
1.			
2.			
3.			

To also include USA, where the individual is a citizen / green card holder of the USA

% In case Tax Identification Number is not available, kindly provide its functional equivalent \$

CERTIFICATION

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

FATCA & CRS - TERMS & CONDITIONS

Details under FATCA & CRS : The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account of any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e. within 30 days.

It is important that you respond to our request, even if you believe you have already supplied any previously requested information.

Date :

Place :

9

Signature



Terms & 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.

Fees, Charges and deposits

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. Tower, 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 account holders who have provided their mobile numbers to the depository through their DP. The service 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 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 services 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 acknowledge that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/or in accuracy. In case of 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 errors 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 an account to avail SMS alerts facility.
5. The BO authorized 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.

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Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

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 without proper authorization, the BO should immediately inform the DP in writing.

Fees :

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

Disclaimer :

The depository shall made 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 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 an 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, changes and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out or 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 purpose of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/we further undertake to pay fee/charges as may be levied by the depository from time to time.

I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

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

I/We provide the following information for the purpose of registration/modification (Please cancel out what is not applicable).

DP ID	1	2	0	8	4	3	0	0	BO ID									
-------	---	---	---	---	---	---	---	---	-------	--	--	--	--	--	--	--	--	--

Sole/First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile No. on which messages are to be sent

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

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

The Mobile Number is registered in the name of : _____

E-mail Id : _____

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

The E-mail ID is registered in the name of : _____

Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

IN CASE OF JOINT HOLDING, ALL JOINT HOLDERS MUST SIGN.

***Please do not use correction fluid, all cuttings must be attested by all the joint holder(s).**

Place : Date :

Instructions to the Applicants (BOs) for account opening:

1. 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.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

NOMINATION FORM

(Annexure-A)

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

Finvasia Securities Pvt. Ltd.FINVASIA TOWER, C-214, 4th Floor, Phase 8B, Sector 74,
Industrial Focal Point, SAS Nagar (Mohali), Punjab 160055

DATE	D	D	M	M	Y	Y	Y	Y	UCC								
------	---	---	---	---	---	---	---	---	-----	--	--	--	--	--	--	--	--

DP ID	1	2	0	8	4	3	0	0	Client ID								
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

I/We wish to make a nomination. [As per details given below]

NOMINATION DETAILS

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *

Nomination Details

Sr.	Mandatory Details						Additional Details	
	Name of nominee	Share of nominee (%)	Relationship	Postal Address	Mobile Number & eMail Address	Identity Number	D.o.B. of nominee	Guardian Name
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								

*Joint Accounts:

Event	Transmission of Account
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – not having nominee	Legal heir(s) of the youngest holder

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving License or Aadhaar (last 4 digits). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.

**** to be furnished only in following conditions / circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the DP as follows; (please tick, as appropriate)

Name of nominee(s)

Nomination: Yes / No

2) I hereby authorize _____ (nominee number ___) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ___% of assets in the account or Rs. _____. **(Optional)**(strike off portions that are not relevant) This nomination shall supersede any prior nomination made by me / us, if any.

3) Signature(s) – As per the mode of holding in demat account(s)

Name(s) of holder(s)	Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable) *
Sole / First Holder <input type="checkbox"/> Mr./Ms. <input type="checkbox"/>			
Second Holder <input type="checkbox"/> Mr./Ms. <input type="checkbox"/>			
Third Holder <input type="checkbox"/> Mr./Ms. <input type="checkbox"/>			

* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of we signature.

Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account.
- In case all your nominees do not claim the assets from the DP, then the residual unclaimed asset shall continue to be with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account, in case of your physical incapacitation, at any point of time and not just during opening of account. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the demat account(s)
 - i.e.
 - o 'Either or Survivor' Accounts - any one of the holder can sign
 - o 'First holder' Accounts - only First holder can sign
 - o 'Jointly' Accounts - all holders have to sign

Transmission aspects

- DPs shall transmit the account to the nominee(s) upon receipt of
 - 1) copy of death certificate and
 - 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the DP.

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% Share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

DECLARATION FORM FOR OPTING OUT OF NOMINATION

(Annexure-B)

To,

Finvasia Securities Pvt. Ltd.

FINVASIA TOWER, C-214, 4th Floor, Phase 8B, Sector 74,
Industrial Focal Point, SAS Nagar (Mohali), Punjab 160055


DATE	D	D	M	M	Y	Y	Y	Y	UCC									
------	---	---	---	---	---	---	---	---	-----	--	--	--	--	--	--	--	--	--

DP ID	1	2	0	8	4	3	0	0	Client ID									
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--	--

Sole/First Holder Name	
Second Holder Name	
Third Holder Name	

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

Signatures of Holder(s)

4

Signature of 1st Holder

Signature of 2nd Holder

Signature of 3rd Holder

ACKNOWLEDGEMENT RECEIPT



To,

Finvasia Securities Pvt. Ltd.

FINVASIA TOWER, C-214, 4th Floor, Phase 8B, Sector
74, Industrial Focal Point, SAS Nagar (Mohali), Punjab
160055

Application No.

Date _____

Dear Sir,

I/We hereby wish to receive the below mentioned documents either electronically (email) or physically.

1. Rights & Obligation of Stock Broker/Trading Member, Sub broker and client for Trading on exchanges (including additional Rights and Obligations in case of Internet/Wireless Technology based Trading)
2. Rights & obligations of beneficial owner & depository participant as prescribed by SEBI & depositories.
3. Risk Disclosure Document (RDD) & Documents detailing Do's & Don'ts for Trading on exchange & Policies and procedures of the stock broker.

Electronically (E-mail) Physically

Name of the Sole/First Holder	Name of the Second Joint Holder	Name of the Third Joint Holder

 12

Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

AUTHORISATION FOR ELECTRONIC COMMUNICATION

To,

Date : _____

Finvasia Securities Pvt. Ltd.

FINVASIA TOWER
C-214, 4th Floor, Phase 8B, Sector 74,
Industrial Focal Point, SAS Nagar
(Mohali), Punjab 160055

Sub : Authorisation for Electronic Communication

Dear Sir,

I/We understand that I/We have the option to receive 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 as well as all other communications including account statement, holding statement, trade, order confirmations and any other notices also electronically.

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 on your record for sending the contract notes and other communications to me/us.

- 1. Email id :.....
- 2. Alternate Email id:

I/We agree that the Log Reports of your dispatching software shall be a conclusive proof of dispatch of Contract Notes and any other electronic communication 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 non-receipt / delayed receipt for any reason whatsoever.

I/We also agree that non-receipt of bounced mail notification by the stock broker shall amount to delivery at my/our e-mail id.

Please treat this authorisation as written ratification of my/our verbal directions / authorizations given and carried out by you earlier. I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our directions given above.

I/We agree to inform you any change in my email in future either in physical mode by regd. post or by hand delivery or through an email from my email id registered with you.

Thanking you

Yours faithfully,

 _____

(Client Signature)

Client Name : _____

Client Code : _____

OPTION FORM FOR ISSUE OF DIS BOOKLET

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

DP ID	1	2	0	8	4	3	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,

Finvasia Securities Pvt. Ltd.

FINVASIA TOWER, C-214, 4th Floor Phase 8 B, (Sector 74)
Industrial Focal Point, SAS Nagar (Mohali), Punjab-160055 (India)

OPTION 1:

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account through I/We have issued a Power of Attorney (POA) in favour of Finvasia Securities Pvt. Ltd. for executing delivery instructions for setting exchange trades (settlement related transactions) effected through such Clearing Member.

OR

OPTION 2:

I/We do not require the Delivery Instruction Slip (DIS) for the time being. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request to any later date. Since I/We have issued a POA/registered for eDIS execute in favour of/with Finvasia Securities Pvt Ltd for executing delivery instruction for selling stock exchange trades (settlement related transactions) effected through such POA / eDIS.

I/We hereby select Option 1 Option 2

 13

Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

Instructions to the Applicants (BOs) for account opening:

1. 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.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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



(Client Signature)

Most Important Terms and Conditions (MITC)

[Forming part of the Terms and Conditions for providing research services]

1. These terms and conditions, and consent thereon are for the research services provided by the Research Analyst (RA) and RA cannot execute/carry out any trade (purchase/sell transaction) on behalf of, the client. Thus, the clients are advised not to permit RA to execute any trade on their behalf.
2. The fee charged by RA to the client will be subject to the maximum of amount prescribed by SEBI/ Research Analyst Administration and Supervisory Body (RAASB) from time to time (applicable only for Individual and HUF Clients).
Note:
 - 2.1. The current fee limit is Rs 1,51,000/- per annum per family of client for all research services of the RA.
 - 2.2. The fee limit does not include statutory charges.
 - 2.3. The fee limits do not apply to a non-individual client / accredited investor.
3. RA may charge fees in advance if agreed by the client. Such advance shall not exceed the period stipulated by SEBI; presently it is one quarter. In case of pre-mature termination of the RA services by either the client or the RA, the client shall be entitled to seek refund of proportionate fees only for unexpired period.
4. Fees to RA may be paid by the client through any of the specified modes like cheque, online bank transfer, UPI, etc. Cash payment is not allowed. Optionally the client can make payments through Centralized Fee Collection Mechanism (CeFCoM) managed by BSE Limited (i.e. currently recognized RAASB).
5. The RA is required to abide by the applicable regulations/ circulars/ directions specified by SEBI and RAASB from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The RA will endeavor to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.
6. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. No scheme of this nature shall be offered to the client by the RA.
7. The RA cannot guarantee returns, profits, accuracy, or risk-free investments from the use of the RA's research services. All opinions, projections, estimates of the RA are based on the analysis of available data under certain assumptions as of the date of preparation/publication of research report.
8. Any investment made based on recommendations in research reports are subject to market risks, and recommendations do not provide any assurance of returns. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Any reliance placed on the research report provided by the RA shall be as per the client's own judgement and assessment of the conclusions contained in the research report.
9. The SEBI registration, Enlistment with RAASB, and NISM certification do not guarantee the performance of the RA or assure any returns to the client.
10. For any grievances,
 - Step 1: the client should first contact the RA using the details on its website or following contact details: (RA to provide details as per 'Grievance Redressal / Escalation Matrix')
 - Step 2: If the resolution is unsatisfactory, the client can also lodge grievances through SEBI's SCORES platform at www.scores.sebi.gov.in
 - Step 3: The client may also consider the Online Dispute Resolution (ODR) through the Smart ODR portal at <https://smartodr.in>
11. Clients are required to keep contact details, including email id and mobile number/s updated with the RA at all times.
12. The RA shall never ask for the client's login credentials and OTPs for the client's Trading Account Demat Account and Bank Account. Never share such information with anyone including RA.



(Client Signature)