

INDIVIDUAL CLIENT REGISTRATION FORM

UNIQUE STOCKBRO PRIVATE LIMITED

Member: BSE • NSE • MSE
DP : Central Depository Services (I) Ltd.
101, Value Enclave, 1st Floor, Plot No.55, Laxmibai Kelkar Marg, Sion West, Mumbai - 400 022
Phone +91 22 3527 3400

BO ID		Client Code	
Client Name			
Authorised Person			
Dealing Office			

Dear Client,

Welcome to Unique Stockbro Pvt. Ltd.!

We thank you for choosing us. Since our establishment in 1984, we have strived to offer our clients with premium services and undivided attention. We promise that in all our interactions, we will strongly adhere to the core pillars of our philosophy – simplicity, confidentiality, and transparency. Your needs will be of utmost importance to us and we will ensure that you have a hassle-free trading experience.

Please co-operate with us by completing all the relevant forms and submitting the required documents as mentioned in this booklet. All forms in the booklet have been tailored to be simple and understandable. Instructions and suggestions have been placed at relevant places to guide you through the form and to help avoid any confusion or problems. Ease of completion has been our primary aim.

Should you find any section incomprehensible, please feel free to contact us – we will love to address your concerns and assist you accordingly.

Looking forward to a long and fruitful relationship,

Regards,

Team Unique

CONTACT DETAILS:	
Registered & Correspondence Office:	101, Value Enclave, 1st Floor, Plot No.55, Laxmibai Kelkar Marg, Sion West, Mumbai 400022
Telephone Nos.	+91 2235273400
Email id	info@uniquetstockbro.com
Website	www.uniquetstockbro.com

SEBI REGISTRATION DEATILS:				
Sr. No	Name of Exchange/Depository	Segment	SEBI Registration No. & Date of Registration	
1	BSE Ltd.	Cash/F&O	INZ000187737	July 31, 2018
2	National Stock Exchange of India Ltd.	Cash/F&O		
3	Metropolitan Stock Exchange of India Limited (MSE)	Cash/F&O		
4	Central Depository Services (I) Ltd	DP Services	IN-DP-502-2020	November 9, 2020

MANAGING DIRECTOR AND COMPLIANCE OFFICER DETAILS:			
	Managing Director	Compliance Officer	Compliance Officer for DP Services Division
Name	Mr. Paresh V. Popat	Mr. Chetan P. Mehta	Mr. Krishna P. Ambekar
Phone	+91 22 35273400	+91 22 35273415	+91 22 35273405
Mobile	+91 9821114345	+91 9819900852	+91 9920928783
Email	paresh.popat@uniquetstockbro.com	compliance@uniquetstockbro.com	compliance.dp@uniquetstockbro.com

For any grievance/dispute, please contact the Compliance Officer(s) at the above address or send an Email to grievances@uniquetstockbro.com (Capital Market and F&O) and grievances.dp@uniquetstockbro.com (DP Services).

In case not satisfied with the response, please contact the below Exchanges/Depository.

Exchange/Depository	Email id	Telephone Numbers
BSE Ltd.	is@bseindia.com	+91 22 2272 1233/34
National Stock Exchange of India Ltd.	ignse@nse.co.in	1800 22 0058
Metropolitan Stock Exchange of India Limited (MSE)	investorcomplaints@msei.in	+91 22611 29028
Central Depository Services (I) Ltd.	complaints@cdslindia.com	1800 200 5533

You can also lodge your grievances with SEBI at <http://scores.gov.in>

“Filing complaints on SCORES – Easy & quick” for Speedy redressal of the grievances

a. Register on SCORES portal;

b. Mandatory details for filing complaints on SCORES:

i. Name, PAN, Address, Mobile Number, E-mail ID.

For any queries, feedback or assistance, please contact SEBI Office on Toll Free Help line at 1800 22 7575 / 1800 266 7575.

Part A		
Mandatory Documents		
Sr. No.	Name of the document	Brief Description of the document
1.	KYC/ CKYC Application Form along with FATCA/ CRS Declaration	Client KYC details and declaration under FATCA & CRS for tax residency compliance
2	Nomination Details	Nominee details for Trading and Demat Account
3	Rights and obligations of stock brokers & clients as prescribed by SEBI and Stock Exchanges (for CM & SLBM)	SEBI-prescribed rights and obligations of the broker and client
4.	Risk disclosure document for capital market and derivatives segments	Disclosure of risks involved in securities and derivatives trading
5.	Guidance note- do's and don'ts for trading on the exchanges(s) for investors	Investor guidance on trading do's and don'ts
6.	Policies & Procedures	Key policies and procedures of the stock broker
7.	Tariff Sheet (Charges Applicable on Trading Transactions)	Details of brokerage and transaction-related charges
8.	Additional details For Demat Account Opening	Additional KYC details required for opening a Demat Account
9.	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	SEBI/Depository-prescribed rights and obligations of BO and DP
10.	Terms & Conditions-cum-Registration/ Modification Form for receiving SMS Alerts from CDSL	Registration and terms for receiving SMS alerts from CDSL
11.	Tariff Sheet Charges (Charges Applicable to Depository Related Services)	Charges applicable to depository-related services
12.	Simple dos and don'ts	Basic guidance for operating and maintaining a Demat Account
13.	Most Important Terms and Conditions (MITC)	Key terms governing the broker-client relationship
Part B		
Non-Mandatory Documents		
14.	Aadhaar, KRA Consent and Client Defaulter Declaration	Consent for Aadhaar/KRA and declaration of non-defaulter status
15.	Running Account Authorisation	Authorisation for maintaining running account
16.	Authorisation for ECN and other reports and documents	Authorisation by Clients/Demat Account Holders to receive Electronic Contract Notes (ECN) and all statutory trade & Demat related communications through electronic mode
17.	Client Declaration	General declaration authorising the broker for specified actions
18.	Demat Debit and Pledge Instructions (DDPI)	Authorisation to debit and pledge securities for margin or other purposes
19.	DP Declaration by the Client	Client declaration specific to Depository Participant requirements
20.	Acknowledgement of documents	Acknowledgement for Receipt of all Account Opening Documents

KYC CHECKLIST(PLEASE TICK WHEREVER APPROPRIATE)

Acceptable Documents should be clearly visible (Copies of all documents to be self-attested)

Please Tick

PAN Card	Account holder	<input type="checkbox"/>
Photograph	One colored front face photograph on photographic paper (Passport Size) of ALL HOLDERS	<input type="checkbox"/>
Additional Proof of Identity (Any One) (In case copy of PAN card is not clear)	1. Unique identification number (UID) (Aadhaar)	<input type="checkbox"/>
	2. Valid passport and driving license (Name, Address and Photo page)	<input type="checkbox"/>
	3. Voter ID (front and back)	<input type="checkbox"/>
	4. NREGA Job Card	<input type="checkbox"/>
Proof Address (Any One)Permanent/ Correspondence	1. Valid passport and driving license (Name, Address and Photo)	<input type="checkbox"/>
	2. Voter ID (front and back)	<input type="checkbox"/>
	3. Unique identification number (UID) (Aadhaar)	<input type="checkbox"/>
	4. Bank Statement/Passbook (not more than 3 months old)	<input type="checkbox"/>
	5. Banker's Verification Letter	<input type="checkbox"/>
	6. Electricity or Resident Landline Telephone Bill (not more than 2 months old)	<input type="checkbox"/>
	7. Registered Flat Sale Agreement of Residence or Registered Lease/Leave and License Agreement	<input type="checkbox"/>
	8. Property or Municipal Tax receipt	<input type="checkbox"/>
	9. Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address	<input type="checkbox"/>
	10. Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies	<input type="checkbox"/>
Bank Proof with MICR / IFSC Code (1st Holder Only)	1. Bank Statement/Bank passbook (not more than 3 months old)	<input type="checkbox"/>
	2. Banker's certificate on letter head of the Bank (ORIGINAL)	<input type="checkbox"/>
	3. Cancelled personalized cheque leaf	<input type="checkbox"/>
Proof of Income (Any One) Mandatory for F&O/Currency Segments/Commodity Derivatives Segment)	1. Copy of ITR acknowledgement	<input type="checkbox"/>
	2. Copy of Form 16 (Latest)	<input type="checkbox"/>
	3. Salary Slip (not more than 3 months old)	<input type="checkbox"/>
	4. Networth Certificate certified by CA (not more than 1 year old)	<input type="checkbox"/>
	5. Copy of latest demat account holding statement	<input type="checkbox"/>
	6. Bank account statement for last 6 months	<input type="checkbox"/>

PART - A
MANDATORY DOCUMENTS

Know Your Client (KYC) Application Form (For Individuals only) | (Please fill this form in English and in BLOCK LETTERS)

A. Identity Details

1. Name of the Applicant (As per PAN card)

Name _____

2. a. Father's Name/ Spouse Name _____

2. b. Mother's Name _____

3. a. Gender : M-Male F-Female Transgender **b. Marital Status:** Single Married

c. Date Of Birth : _____ **LONGITUDE**

4. a. Nationality Indian Others **LATITUDE**

b. Residential Resident Individual Non Resident Foreign National **DATE & TIME**

Status : (Passport mandatory for NRIs, PIOs and Foreign Nationals)

5. PAN : _____ Please enclose a duly attested copy of your PAN card

6. Proof of Identity submitted for PAN exempt cases

UID (Aadhaar) Passport Voter ID Driving License Others :

B. Address Details

1. Address for correspondence (residence) :

City/Town/Village _____ District _____ Pin Code _____

State _____ Country _____

2. Contact details

Tel. (Off.) : _____ Tel. (Res.) _____

Mobile : _____ FAX : _____

Email : _____

3. Specify the proof of address submitted for residence/correspondence address: _____

4. Permanent address of resident applicant if different from above B1 OR overseas address (mandatory) for non-resident applicant.

City/Town/Village _____ District _____ Pin Code _____

State _____ Country _____

5. Specify the proof of address submitted for residence/permanent 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/We am/are aware that I/we may be held liable for it.

I/We hereby consent to receiving information from KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

I hereby provide my consent to Unique Stockbro Private Limited to download, update and verify my details from CKYC website as and when required.

Place : _____ Date : _____

SIGNATURE OF APPLICANT

FOR OFFICE USE ONLY

IPV Done on _____

UNIQUE STOCKBRO PVT. LTD.

(Originals Verified) & self certified document copies received

Attested True copies of documents received main intermediary

Name & Signature of the Authorized Signatory

Staff Name	_____
Employee Code	_____
Designation	_____
Name of the Organization	_____
Signature	_____

Seal/Stamp intermediary

FATCA/CRS DECLARATION/SELF CERTIFICATION FOR INDIVIDUAL

Client Name						
	First/Sole Holder		Second Holder (if any)		Third Holder (if any)	
Are you U.S. Citizen?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Specify country of residence for tax purpose (Tax Residency)	<input type="checkbox"/> India	<input type="checkbox"/> Other	<input type="checkbox"/> India	<input type="checkbox"/> Other	<input type="checkbox"/> India	<input type="checkbox"/> Other
Specify country of citizenship	<input type="checkbox"/> India	<input type="checkbox"/> Other	<input type="checkbox"/> India	<input type="checkbox"/> Other	<input type="checkbox"/> India	<input type="checkbox"/> Other
First/Sole Holder Signature		Second Joint Holder Signature		Third Joint Holder Signature		

TRADING ACCOUNT RELATED DETAILS

A. BANK ACCOUNT DETAILS

Account No.	PIS Account No.		
Bank Name			
Branch address			
Micr Code	IFSC Code		
RBI Approval No.			
Account Type	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> Others
	In case of NRI account:		<input type="checkbox"/> NRE <input type="checkbox"/> NRO

B. DEPOSITORY ACCOUNT DETAILS

Depository participant details of the Client			
DP Name	DP ID	Beneficiary account No.	Beneficiary Name

C. TRADING PREFERENCES

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

Exchange	BSE, NSE		
ALL SEGMENTS	CASH/ MUTUAL FUND	F&O	SLBM

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

D. PAST ACTION

Details of any action/proceedings initiated/pending/taken by SEBI/Stock Exchange/any other authority against the applicant/constituent. (If yes, please give details) :

E. DEALINGS THROUGH AUTHORIZED PERSON (herein referred as AP) AND OTHER STOCK BROKERS

If client is dealing through the AP, provide the following details :

AP Name : _____ AP Registration Number(s) _____

Registered Office Address : _____

Phone : _____ Website/ email: _____

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

Name of Stock Broker : _____ AP if any : _____

Client Code : _____ Exchange : _____

Details of disputes/dues pending from/to such stock broker/AP : _____

F. ADDITIONAL DETAILS

• Whether you wish to receive Physical contract note or Electronic Contract Note (ECN)

If ECN Specify your Email id : _____

Whether you wish to avail of the facility of internet trading : Yes No

• Number of years of Investment/Trading Experience: _____

G. INTRODUCER DETAILS (Optional)

Name of the Introducer:	_____	PAN :	_____
Address of the Introducer:	_____		
Status of the Introducer:	<input type="checkbox"/> Employee <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, please specify : _____		
Mobile Number	_____	Signature of the Introducer :	_____

H. Other Details - Information In Relation To The Prevention Of Money Laundering Act, 2002

1. Gross Annual Income Details	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> 25 lacs - 1 crore <input type="checkbox"/> > 1 crore
OR	
Net-worth in Rs. :	_____ as on (date) _____ * Net worth should not be older than 1 year
2. Occupation	
<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> FOREX Dealer <input type="checkbox"/> Others _____	
<input type="checkbox"/> Not a Politically Exposed Person (NPEP) <input type="checkbox"/> Politically Exposed Person (PEP)	
Please tick as applicable : <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	
Any other information :	
3. Experience	Number of years of Investment/Trading Experience _____
4. Purpose of Opening the Account:	<input type="checkbox"/> Investment <input type="checkbox"/> Trading <input type="checkbox"/> Arbitrage

DECLARATION

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

2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.

3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Details of disputes/dues pending from/to such stock broker/AP _____

Place _____

Date _____

Signature of Client

FOR OFFICE USE ONLY

UCC allocated to the client : _____

	Documents verified by	Client interviewed by	In-Person Verification done by
Name of the employee			
Employee code			
Designation of the employee			
Date			
Signature			

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

Signature of the Authorized Signatory

Date :

Seal/Stamp of the Stock Broker

Nomination Form

To	Date
UNIQUE STOCKBRO PVT. LTD.	
101, Value Enclave, 1st Floor, Plot No.55, Laxmibai Kelkar Marg, Sion West, Mumbai 400022	
<input type="checkbox"/> I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my/ our account in the event of my/ our death.	

BO Account Details		UCC/Trading Code	
Name of the Sole/First Holder			
Name of the Second Holder			
Name of the Third Holder			

NOMINATION DETAILS

Mandatory Details

Name	1st Nominee	2nd Nominee	3rd Nominee
First Name			
Middle Name			
Last Name			
Relationship with the Applicant (if any)			
Date of Birth			
<input type="checkbox"/> Equally or	Percentage of allocation of securities [if not equally, please specify percentage]. Any odd lot after division shall be transferred to the first nominee mentioned in the form		
<input type="checkbox"/> Share of each Nominee	%	%	%

Note: 1. Date of Birth and Name of Guardian to be provided in case of minor nominee(s)

Date of birth			
Name of the Guardian			

Non-mandatory Details

Nominee/ Guardian (in case of Minor) Identification details-[Please tick any one of following and provide details of same]

<input type="checkbox"/> Photograph & Signature			
<input type="checkbox"/> PAN			
<input type="checkbox"/> Aadhaar			
<input type="checkbox"/> Saving Bank A/c No.			
<input type="checkbox"/> Proof of Identity			
<input type="checkbox"/> Demat Account ID			
Address of Nominee (s)/ Guardian in case of Minor			
City/ Place			
State			

State			
Country			
Pin Code			
Mobile No.			
Email ID			

Note:

1. This nomination shall supersede any prior nomination made by the account holder(s), if any.
2. The Intermediary shall provide acknowledgement of the nomination form to the account holder(s)

	Name	Signature
Sole / First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

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

Details of the Witness:

Name of Witness			
Address of witness			
Signature of Witness			
Place:		Date:	

Declaration Form for opting out of nomination

To	Date	
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UNIQUE STOCKBRO PVT. LTD.

UCC		DP ID	12033600
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Client ID (only for Demat account)	
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Sole/First Holder Name	
------------------------	--

Second Holder Name	
--------------------	--

Third Holder Name	
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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.

Name and Signature of Holder(s)*

1. _____ 2. _____ 3. _____

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

Details of Witness

Name of Witness	
-----------------	--

Address of Witness	
--------------------	--

Signature of Witness	
----------------------	--

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, AP 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, 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.

CLIENT INFORMATION

6. 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.
7. 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.
8. 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.
9. The stock 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

10. 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.
11. 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

12. 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.
13. 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.
14. 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.
15. 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).
16. 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

17. 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

18. 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.

19. 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.

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

20. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.

21. 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.

22. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to conciliation/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.

23. The stock broker shall ensure faster settlement of any dispute through conciliation/arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the conciliation report/settlement agreement /arbitration awards made in such proceedings.

24. 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

25. 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.

26. The stock 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.

ADDITIONAL RIGHTS AND OBLIGATIONS

27. 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.

28. 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.

29. 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.

30. 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 pay-out 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.

31. 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.

32. 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.

33. 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.

34. The stock broker / stock broker and depository participant shall not directly /indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

ELECTRONIC CONTRACT NOTES (ECN)

35. 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.

36. 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.

37. 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.

1. 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.

2. 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 either a physical contract note to the client or an ECN through electronic instant messaging services within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.

3. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated website, 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

4. In addition to the specific rights set out in this document, the stock 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.

5. 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.

6. The stock broker and the client shall abide by conciliation report/settlement agreement/arbitration award passed by the conciliator/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.

7. 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.

8. 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.

38. 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 BROKER TO THE CLIENT

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

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

RIGHTS AND OBLIGATIONS DOCUMENT FOR SLBM

- i. The Securities and Exchange Board of India (“SEBI”) has formulated and issued the Securities Lending Scheme, 1997 (“SEBI Scheme”) and SEBI Circular No MRD/DoP/SE/Dep/Cir-14/2007 dated 20th December 2007 for facilitating lending and borrowing of securities through an “Approved Intermediary” registered with SEBI.
- ii. NSE Clearing Ltd. is an Approved Intermediary (“AI”) registered under the SEBI Scheme and is, therefore, authorised to facilitate lending and borrowing of securities in accordance with the SEBI Scheme and Circulars of SEBI issued from time to time. Accordingly, the AI has framed the Securities Lending and Borrowing Scheme (hereinafter referred to as “SLBS”) for facilitating lending and borrowing of securities through persons registered as “Participants”.
- iii. SEBI, thereafter, vide its Circular No. CIR/NRD/DP/19/2014 dated June 3, 2014 (“SEBI Circular”) has modified the framework of Securities Lending and Borrowing. Under the said SEBI Circular, AI shall enter into an agreement with its Clearing Member/Participant (“Agreement”) for the purpose of facilitating Securities Lending and Borrowing and which shall specify the rights, responsibilities and obligations of the AI and the Clearing Member/Participant (“Participant”). The said Agreement shall also define the exact role of AI/Participant vis-à-vis the Client of Participant. As per the said SEBI Circular, AI is also required to frame rights and obligations document laying down the rights and obligations of the Participant and its Client for the purpose of Securities Lending and Borrowing. The said rights and obligations document shall be mandatory and binding on the Participant. Accordingly, the AI has framed this rights and obligations document laying down the rights and obligations of Participant as well as of its Client (“Rights & Obligations Document”).
- iv. Securities Lending and Borrowing can be undertaken by the Participant either on their own account or on account of its Client registered with them. Any person(s) who meets the eligibility criteria as may be specified by the AI for the Clients under the SLBS, shall be eligible to participate in the SLBS by submitting duly signed relevant documentation/s to the Participant that it is desirous of participating in the SLBS. The Participant on the receipt of said relevant documentation/s from its Client, shall provide this Rights & Obligations Document to its Client which will be duly acknowledged by the Client of having read, understood and to agreeing to abide by the same prior to the execution of trade in the SLBS. The terms and conditions of this Rights & Obligations Document shall be binding on the Participant as well as on its Client.
- v. All the transactions under the SLBS by the Client shall be strictly in accordance with SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and the terms and conditions of the said Agreement. In the event of any conflict or contradiction between the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and the terms and conditions of the said Agreement and this Rights & Obligations Document, the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder, the Rules, Byelaws and Regulations of the AI as a Clearing Corporation and the terms and conditions of the said Agreement shall prevail over this Rights & Obligations Document. The provisions of this Rights & Obligations Document are in addition thereto and not in derogation thereof.
- vi. The Participant has made the Client aware of and the Client has understood the precise nature of the Participant’s liability towards the Client under SLBS including any limitations on the liability and the capacity in which the Participant acts.
- vii. Subject to the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder, and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and as in force from time to time, the rights and obligations of the Participant as well as its Client shall be hereto as under.
- viii. Unless the context otherwise requires, the words and expressions used herein shall have the same meaning as defined in Securities Contracts (Regulation) Act, 1956 or Securities and Exchange Board of India Act, 1992 or Securities Lending Scheme, 1997 or Depositories Act, 1996 or the rules and regulations made thereunder respectively or Circulars of SEBI or SLBS and the Circulars issued thereunder and the Rules, Byelaws and Regulations of the AI as a Clearing Corporation.

RIGHTS OF THE PARTICIPANT

- ix. In consideration of the Participant providing full-fledged securities lending and borrowing under the SLBS, the Participant shall be entitled for charges, fees, other levies and/or any such other charges, subject to such limits as may be permitted by the AI in its Circulars from time to time.
- x. Margins
The Participant is empowered to call upon its Client to pay such margins as may be specified by the AI from time to time.

xi. Recovery

The Participant shall be entitled to recover from the Client the loss or charges, fees, other levies and /or any such other charges that has been paid by the Participant to the AI or imposed by the AI on account of its Client arising out of default or transactions under the SLBS whether current or past that are effected by the Client in meeting its obligations by adjusting margins and other deposits, if any, available with the Participant against the Client's liabilities/ obligations.

OBLIGATIONS OF THE PARTICIPANT

- xii. The Participant has satisfied itself about the genuineness and financial soundness of the Client and the objectives relevant to the services to be provided and is therefore, agreeable to facilitating such participation subject to the terms and conditions contained herein.
- xiii. Issue of Confirmation Memo
The Participant shall, upon execution of the Client’s transaction on the order matching platform of the AI, issue the confirmation memo in the specified format or such other documents to the Client within such time as may be prescribed by the AI from time to time.
- xiv. Money / Securities to be kept in separate account
The Participant agrees that the money / securities deposited by the Client shall be kept in a separate bank account / settlement demat account, distinct from its own account or accounts of any other Clients, and shall not be used by the Participant for itself or for any other Clients or for any purpose other than the purposes mentioned in the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation and as in force from time to time.

xv. Update on Settlement Process

The Participant agrees to inform and keep the Client apprised about securities lending and borrowing settlement cycles, delivery/payment schedules and any changes therein from time to time.

xvi. Compliance with Know Your Client Norms

The Participant undertakes to maintain the "Know Your Client" details of the Client as mentioned in the Client Registration Form or any other information pertaining to the Client in confidence and that it shall not disclose the same to any person / authority except to the AI or as required under any law / regulatory requirements or in compliance with any decree, order or direction of any Court, Tribunal, SEBI or other authority duly empowered in law; Provided however that the Participant may so disclose information about its Client to any person or authority with the express permission of the Client.

xvii. Reconciliation of Account

The Participant and the Client shall agree to reconcile their accounts regularly with reference to the transactions under the SLBS.

xviii. Return of Securities and Lending Fees Where the Client is a lender unless otherwise agreed upon between the Participant and the Client-

a. The Participant shall ensure the return of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.

b. The Participant shall ensure the return of the lending fees to the Client within such time as may be prescribed by the AI.

xix. Delivery of Securities where Client is a borrower unless otherwise agreed upon between the Participant and the Client

The Participant shall ensure the delivery of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.

RIGHTS OF THE CLIENT

xx. Where the Client is the lender unless otherwise agreed upon between the Participant and the Client -

a. The Client shall be entitled to receive the securities lent or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.

b. The Client shall be entitled to receive lender's fee for the securities lent.

xxi. Where the Client is the borrower unless otherwise agreed upon between the Participant and the Client -

a. The Client shall be entitled to receive securities borrowed or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.

b. The Client shall be entitled to receive from the Participant, the collateral in case the Client has deposited securities approved by the AI as collateral.

xxii. Notwithstanding any other provisions of the said Agreement and this Rights & Obligations Document, the Client shall be entitled to have all the rights that are conferred on it from time to time under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder.

OBLIGATION OF THE CLIENT

xxiii. Abide by Law & Acquaintance to Law

The Participant declares that it has brought the contents of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time, and the terms and conditions of the said Agreement to the notice of the Client and the Client agrees to comply with and adhere to the same.

xxiv. Update & Comply with the Settlement Process

Notwithstanding anything contained in Clause 15 hereto, the Client shall at all times make its own inquiries and keep itself updated on all settlement cycles, delivery/payment schedules and changes therein, and it shall be the responsibility of the Client to comply with such schedules/procedures of the AI.

xxv. Processing Charges

The Client agrees to pay the Participant, processing charges and statutory levies prevailing from time to time or any other charges for the services provided by the Participant. The Participant agrees that it shall not charge processing charges / fees beyond the maximum limit permissible under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time.

xxvi. Change in Client Registration Form

The Client agrees to immediately notify the Participant in writing whenever there is any change of information in the details provided by the Client to the Participant at the time of its registration with the Participant and also as provided in the said relevant documentation/s required for participating in SLBS.

xxvii. Authorised Representative

The Client agrees to be bound by the instructions issued by its authorised representative, if any, in accordance with the letter authorising the said representative to deal on its behalf.

xxviii. Return of Securities

The Client shall return the equivalent number of securities of the same type and class borrowed by it within the time specified by the AI in the Circulars issued from time to time.

xxix. Payment of Margins

The Client agrees to pay such margins as may be specified by the Participant in accordance with the requirement of AI or SEBI from time to time.

xxx. Exposure / Position Limits

The Client agrees to abide by the exposure / position limits, if any, set by the Participant or the AI or SEBI from time to time.

xxxii. Securities lent to be Unencumbered

The Client agrees and warrants that the securities lent are free from lien, charge, pledge or any encumbrance(s) of whatsoever nature.

xxxiii. Collateral

At the discretion of the Participant, where the Client deposits the required collateral with the Participant, the same shall be free from any encumbrance(s) of whatsoever nature or defect in the title. If any encumbrance(s) or defect in the title is found subsequently, such collateral shall be immediately replaced by the Client.

xxxiiii. Insolvency

The Client agrees to immediately furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against it or if any litigation which may have material adverse bearing on its net worth has been filed against it.

xxxv. Cancellation of Transactions

Notwithstanding anything contained in the said Agreement, the AI shall be entitled to cancel transactions under the SLBS, either on an application by a Participant or suo moto or under regulatory directions, and in such event, the transactions done on behalf of the Client shall ipso facto stand cancelled, and neither the AI nor the Participant shall be liable to compensate the Client for any loss whatsoever (including opportunity loss) arising out of such cancellation.

xxxvi. Discontinuation of SLBS and Participation in SLBS

The AI shall be entitled to discontinue the SLBS or the participation of the Participant in the SLBS at any time at its discretion. Such discontinuation may be subject to such terms and conditions as may be specified by the AI from time to time.

ARBITRATION

xxxvii. The Participant and the Client shall co-operate with each other and / or the AI in redressing their grievances in respect of transactions under the SLBS.

xxxviii. All disputes and differences or questions arising out of or in relation to this agreement including obligations, failure or breach thereof by any of the parties and/or of any matter whatsoever arising out of this agreement shall in the first instance be resolved mutually by the parties. If the parties fail to resolve the same mutually, then the same shall be referred to and decided by arbitration in accordance with the procedures as prescribed by the AI under the SLBS and the Circulars issued thereunder.

GOVERNING LAW AND JURISDICTION

xxxix. In relation to any legal action or proceedings to which the AI is a party, the Participant as well as the Client irrevocably submit to the exclusive jurisdiction of the courts of Mumbai, India and waive any objection to such proceedings on grounds of venue or on the grounds that the proceedings have been brought in an inconvenient forum.

xl. In relation to any legal action or proceedings to which AI is not a party, the parties irrevocably submit to the jurisdiction of any competent court of law where the Client ordinarily resides at the time of execution of the transactions under the SLBS.

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 predetermined 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 order, 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.

Signature of the Client

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 holder:

1. An option holder runs the risk of losing the entire amount paid for the option in 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.nseindia.com, www.bseindia.com 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 Authorised Person. 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, payout of funds or delivery of securities as the case may be, may not be made to you within one working day from the receipt of payout from the Exchange. Thus the stock broker may maintain a running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges give 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/ Authorised Person 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/ Authorised Person have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

POLICIES AND PROCEDURES

a. Refusal of orders for penny stocks:

Penny Stocks will mean all stocks appearing in the list of illiquid securities issued by the exchanges from time to time. Also if our total contribution as a member in a particular scrip is in excess of 10% for three consecutive days then it will be deemed to be a penny stock.

In case of a penny stock, we may at our sole discretion refuse to take orders for the clients. This decision will be based on the details available with us in respect of the followings:

1. Client credentials
2. Prevalent market conditions
3. Scrip specific details available with the us
4. Trading pattern of the client and the scrip

All decisions are made in good faith, and we shall not be obligated to provide reasons for the refusal to accept orders in penny stocks.

b. Setting up client's exposure limits:

We do not guarantee any exposure limit to the client and Setting up client's exposure limits will be at our discretion.

c. Applicable brokerage rate:

The brokerage rate shall be determined through mutual agreement with the client, taking into account factors such as trading volumes, the scope of services required, and the value-added services provided. However, the maximum brokerage chargeable shall not exceed 2.5% of the contract price, exclusive of statutory levies. For shares with a sale or purchase value of ₹ 10/- or less per share, the maximum brokerage shall be ₹ 0.25 (25 paise) per share. The maximum brokerage chargeable is subject to revision in accordance with prevailing regulatory guidelines.

d. Trading in the name of Minor:

As per SEBI guidelines, a Trading and Demat account can be opened in a minor's name, but it must be operated by a guardian until the minor reaches adulthood. The guardian should be the father, or if unavailable, the mother. If neither parent is available, a guardian will be appointed by the court.

A minor is not permitted to buy or sell securities directly. The minor's account can only be used to sell securities acquired through an IPO, inheritance, or corporate actions. Additionally, securities received through off-market transfers under legitimate reasons such as gifts, donations, family transfers, or as required by government or regulatory orders can be sold.

e. Imposition of penalty/ delayed payment charges:

Interest will be charged on all delayed payments from the due date until the payment is received, regardless of the Running Account Authorization Mandate provided by the Client.

Further, interest will also be charged for the overutilization of non-cash collateral, since a minimum of 50% of the margin requirement must be maintained in cash or cash-equivalent, with the remaining 50% permissible in non-cash collateral. If sufficient cash margin is not maintained, interest will be levied on the shortfall.

The applicable interest rate for both of the above scenarios shall be up to a maximum of 15% per annum and will be determined at our sole discretion. We reserve the right to waive such interest based on the circumstances of each case. However, no interest shall accrue at any time on any credit balances maintained or on any excess cash or cash equivalent.

f. Our right to sell client's securities or close client's positions:

We have right to sell client's securities and/ or close client's positions without giving notice to the client in various circumstances as outlined hereinbelow.

1. In case of non-payment of settlement or margin obligation by the client or
2. If we as a member and/ or client have exceeded the limits prescribed by SEBI/ Exchanges from time to time or
3. Due to illustrative circumstances mentioned at para i. hereinbelow

However, we may, at our discretion and having regard to the circumstances of each case, decide not to sell the client's securities or close the client's position. Any profit or loss due to our acts of omission or commission, or otherwise, will be borne solely by the client.

g. Shortages in sell obligations arising out of internal netting of trades:

Shortages in sell obligations resulting from internal netting of trades shall be handled in accordance with regulatory guidelines issued from time to time. Any loss arising from the auction or square-off will be borne entirely by the seller.

h. Client not allowed to take further positions or closing of the existing position:

Our risk management policy covers only normal circumstances, as it is not practical for us to account for extreme situations while managing risk on a daily basis.

Extreme situations may arise in the market or for a particular client, such as an increase in the client's individual risk, a sudden and drastic market decline leading to substantial losses, or legal actions by SEBI/ Exchanges against the client or us, such as heavy penalties, suspension, or cancellation of registration. Additionally, extreme situations may occur due to significant pay-in obligations of funds and securities, or any other event where we deem it necessary to prevent the client from taking further positions or to close existing positions. These examples are illustrative and not exhaustive.

Therefore, in the event of such extreme situations, if it is not possible to allow the client to take further positions, or if the client's existing positions need to be closed, we will take such actions on behalf of the client without prior notice. Any profit or loss, whether actual or notional, arising from these actions will be borne solely by the client.

i. Temporarily suspending or closing a client's off-line account:

If a client wishes to temporarily suspend or close their offline trading account, they must provide written notification to us at least 7 days in advance. This notification should specify the desired start and end dates of the suspension. Upon receipt of a valid intimation, we will proceed to comply with the request.

j. Risk Management Policy along Policy for Voluntary Freezing/Blocking of Online Trading Account Access for Clients:

Kindly refer to our comprehensive Risk Management Policy [including the Policy for Voluntary Freezing/ Blocking of Online Trading Account Access for Clients] available on our website: <https://uniquestockbro.com/>. Synopsis of Risk Management Policy is given below.

Risk Management Policy:

1. Types of Margin:

CM Segment:

Segment	Margin	Basis of Collection
CM	Minimum 20% Upfront Margin or VaR + ELM ("Upfront Margin")	Upfront
CM	MToM, Delivery Margin, Adhoc Margin/ Additional Margin, Special Margin or any such other Margins ("Non-Upfront Margin")	Settlement day (T+1)

FO Segment:

Segment	Margin	Basis of Collection
FO	Span Margin, Extreme Loss Margin & Option Premium/ Net Option Premium from Option Buyer ("Upfront Margin")	Upfront
FO	Consolidated Crystallized Obligation Margin or any such other Margins ("Non-Upfront Margin")	Settlement day (T+1)

2. Peak Margin:

The Peak Margin requirement, introduced by SEBI, ensures prudent risk management and restricts excessive leverage. The highest margin requirement across four randomly taken intra-day snapshots is considered the applicable peak margin for the day. Clients must maintain sufficient margins throughout the trading session to avoid penalties.

- Four intra-day snapshots of client positions are taken at random intervals by the Clearing Corporation (CC).
- The highest Upfront Margin requirement among these four snapshots is considered the applicable Peak Margin for the day.
- The Peak Margin applies exclusively to Upfront Margins across all trading segments. The highest Peak Margin determined through the four snapshots does not account for Non-Upfront Margins.
- The requirement is applicable to intraday trades, even though squared off before market closure.

3. Form of Collection of Margin from Clients:

We shall collect the margins from client, in any of the following forms, provided they are free & unencumbered.

- Consolidated Funds Balance and I funds available in the client's bank account that have been specifically blocked by us on the T day and subsequently credited to our bank account by T or T+1 day
- Dematerialized Securities falling under list of approved securities issued by Clearing Corporations from time to time;
- Acceptance of Securities as Collateral through Margin Pledge;
- Unpaid Securities pledged to Client Unpaid Securities Pledgee Account [CUSPA Account];
- Any other Eligible Collaterals.

4. Procedure for valuation of Securities:

Sr. No.	Securities	Valuation	Guidelines for VAR/ Haircut
1.	Liquid securities in dematerialized form, actively traded	Value as per the closing rate on T-1 day	Haircut at a rate not less than VAR margin rate of the security at the beginning of T day
2.	Dematerialized units of liquid mutual funds	Value as per the closing rate on T-1 day	Haircut equivalent to the VAR of T day for listed liquid mutual funds. In case of others (mutual funds not listed), the haircut should be equivalent to 10% of the NAV
3.	G-Sec/ T-Bill	Value as per the closing rate on T-1 day	Haircut as specified by CC from time to time. In case where CC have not specified the haircut for G-Sec/T-bills then haircut of 10%

5. Precautions in case of cheques received from Clients towards Upfront Margin/ Non-Upfront Margin:

a. Upfront Margins:

Cheques received by T day and deposited by T+1 (excluding bank holidays) are considered valid if cleared within T+5 days.

b. Non-Upfront Margins

Cheques received by T+1 and deposited by T+2 (excluding bank holidays) are valid if cleared within T+5 days.

c. Dishonoured Cheques:

In case of dishonoured cheque or cheque is not cleared within T+5 days, the credit is reversed, margin collection is recomputed, and penalties are passed to the client.

6. Margin Reporting and Treatment of Early Pay-In (EPI) and Unpaid Securities:

a. Sold Securities (CM Segment): When a client sells securities and an early pay-in (EPI) request via Block mechanism is accepted by depositories, the EPI may be considered as margin collected toward peak or end-of-day (EOD) margin. Consequently, no additional margin is required for such positions.

b. Utilization of 100% of EPI value towards subsequent margin requirements: For securities sold by a client, where an early pay-in (EPI) request via the Block mechanism has been accepted by the depositories and a credit entry is posted in the client's ledger for the sale value, the EPI value may also be considered as margin collected towards the client's subsequent margin requirement. The sale value, up to 100% of such securities (EPI value), shall be available as margin for other positions across all segments.

c. Early Pay-In of Funds: No upfront margin is required if the Clearing Corporation accepts an early pay-in on the transaction date.

d. NRI Clients (PIS): For NRI clients executing buy transactions under the Portfolio Investment Scheme (PIS), funds received from the NRI's PIS bank account before the respective pay-in shall be considered as upfront margin collection. Similarly, for sell transactions under PIS, securities received before the respective pay-in shall be treated as margin collection.

e. Utilization Across Segments: Based on available margins, we may provide exposure in different segments at different times. However, in such cases, the total exposure granted across segments will not exceed the available margin for a client. Additionally, records of all squared-off positions and exposures during the day shall be maintained.

f. Intraday Transactions: Upfront margins (VAR & ELM) must be collected as per SEBI guidelines, even for same-scrip buy and sell transactions within a day.

7. Penalties for short allocation and short margin reporting:

a. bPenalty Applicability for Margin Shortages: Penalty is levied on higher short collection of all

Types of Margin Shortages Considered

Scenario	Type of Margin Shortage	Applicability
(a)	Highest intraday peak margin short-reported amount	Intraday
(b)	End-of-Day (EOD) margin short-reported amount	EOD
(c)	Highest intraday short allocation amount (after considering excess collateral across segments and valid reason codes)	Intraday
(d)	EOD short allocation amount applicable only to Upfront margin (after considering excess collateral across segments and valid reason codes)	EOD

Important Note: The penalty is applicable only to the scenario with the highest shortage among (a), (b), (c), and (d).

Penalty Structure based on Highest Shortage:

Sr. No.	Penalty Condition (Applicable to Highest Shortage Only)	Day(s) of Shortage	Penalty Percentage
1.	If the highest shortage is below ₹1 lakh and less than 10% of the applicable margin	T Day Shortage	0.50%
	If the highest shortage is above ₹1 lakh or 10% or more of the applicable margin	T Day Shortage	1.00%
2.	If the highest shortage continues for more than 3 consecutive days	Beyond the 3rd day	5.00% per day
3.	If the highest shortage occurs for more than 5 days in a month	Beyond the 5th day	5.00% per day
4.	If the shortage is due to a 3% or more movement in Nifty (close-to-close) on T Day	Penalty applies only if shortfall continues to T+2 Day	As per regulations

b. Passing on Penalties for Short Reporting of Upfront Margins to Clients in CM Segment: If short/ non collection of upfront margin is on account of cheque issued for Upfront Margin by client is dishonoured or not credited to our bank account within T+5 days, in such cases, the Penalty shall be passed on to the Client.

c. Passing on Penalties for Short Reporting of Upfront Margins to Clients in FO Segment: We do not pass on such penalties to clients, except in the following specific circumstances:

(i) Dishonour of Client's Cheque or cheque credited to our bank account within T+5 days;

(ii) Increase in Margin due to change in positions or Hedge Breaks [For a detailed explanation and illustrative examples of hedge breaks, please refer to our comprehensive Risk Management Policy available on our website].

d. Passing on Penalties for Short Reporting of Non-Upfront Margins to Clients in CM & FO Segment: In case there is a short collection of Non-Upfront Margins due to failure on the part of the client, in such cases, Penalty on short collection shall be passed on to the respective client.

(i) Policy for Voluntary Freezing/ Blocking of Online Trading Account Access for Clients [Annexure to Risk Management Policy]

Please refer to our detailed Policy for Voluntary Freezing/ Blocking of Online Trading Account Access for Clients which is available on our website. Synopsis of the Policy for Voluntary Freezing/ Blocking of Online Trading Account Access for Clients is given below.

1. Client Notification and Request for Voluntary Freezing/ Blocking:

Clients who observe suspicious activities in their online trading accounts or suspect a breach/ hack of their login credentials can request to freeze/ block access to their trading accounts. The client can notify us through any of the following methods:

Option A	Clients can call on 8655312732 from their registered Mobile Number
Option B	Clients can send an Email to stoptrade@uniquetstockbro.com from their registered Email ID

The intimation should contain the minimum identity details required viz. Trading Account Code, Unique Client Code [UCC], PAN and Account Name so that the correct account information is identified within shortest time. Upon receipt of the Email/ SMS, our team will carry out the validation process as under:

2. Validation Process:

a) We will do the following acts to verify the sender's Email ID/ Mobile Number in case the request is received from registered Email ID/ Mobile Number:

(i) Call the client on the registered mobile number

(ii) Confirm the identity of client and reconfirm the request for block/ freeze and reasons for such request.

(iii) Send the acknowledgement of receipt of the request/ instruction to the sender's Email/ mobile and Block/ Freeze the trading activity in the particular trading code at the earliest and within the time frame that may be specified by the authorities from time to time.

(iv) Cancel all the pending orders in the trading system for that trading code.

(v) Send a communication on the registered mobile number and registered Email ID of the client, stating that the online access to the trading account has been frozen/ blocked and all the pending orders in the client's trading account, if any, have been cancelled along with the process of re-enablement for getting the online access to the trading account

(vi) Review and confirm the executed orders and outstanding position of the client and communicate details of open position (if any) along with contract expiry information within one hour (or within timelines as specified by authorities from time to time) from freezing/ blocking of the trading account.

(vii) Take instructions/ orders to square off any positions and execute such square off orders through admin terminal as per instructions of client at the earliest.

b) We will do the following acts to verify the sender's Email ID/ Mobile Number in case the request is received from other than registered Email ID/ Mobile Number:

(i) Call the client on the registered mobile number.

(ii) Confirm the identity of client and reconfirm the request for block/ freeze and reasons for such request.

(iii) If the client is not contactable on the registered mobile number, call up on the number from which the instruction is received. Call alternate available numbers of family members or introducer or Authorised Person and establish the direct contact with client and confirm the identity of client by reconfirming at least two of the private and confidential client specific information with clients as available in client master database as part of additional due diligence to ensure and confirm the identity of the client.

(iv) Send the acknowledgement of receipt of the request/ instruction to the sender's Email/ mobile and Block/ Freeze the trading activity in the particular trading code within the time frame as may be specified by the authorities from time to time.

(v) Cancel all the pending orders in the trading system for that trading code under confirmation of clients only when the contact with client is established and identity of client is confirmed.

(vi) Send a communication on the registered mobile number and registered Email ID of the client, stating that the online access to the trading account has been frozen/ blocked and action taken about pending orders in the client's trading account, along with the process of re-enablement for getting the online access to the trading account.

(vii) Review and confirm the executed orders and outstanding position of the client and communicate details of open position (if any) along with contract expiry information within one hour (or within timelines as specified by authorities from time to time) from freezing/ blocking of the trading account.

(viii) Take instructions/ orders to square off any positions and execute such square off orders through admin terminal as per instructions of client as and when the contact with client is established and identity of client is verified.

3. Time limits to Freeze/ Block the Trading Account:

Scenario	Time limits for issuing acknowledgement as well as freezing/ blocking of the online access of the Trading account
Request received during the trading hours and within 15 minutes before the start of trading	Within 15 minutes

Request received after the trading hours and 15 minutes before the start of trading	Before the start of next trading session
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The time limits are subject to change in accordance with the guidelines issued by the authorities from time to time.

4. Time limit to communicate details of open positions of the client post Freezing / Blocking the Trading Account:

In accordance with prevailing guidelines, we are required to communicate details of open position (if any) along with contract expiry information within one hour from freezing/ blocking of the trading account to eliminate the risk of unwanted delivery obligations. The time limits are subject to change in accordance with the guidelines issued by the authorities from time to time.

5. Procedure to Unfreeze/ Unblock the Trading Account:

Clients wishing to unfreeze/ unblock their account must send an Email to startrade@uniquetstockbro.com from their registered Email ID or send message on 8655312732 from their registered Mobile Number. Upon receipt of Unfreeze/ Unblock Request and post confirmation of identity and genuineness of the Unfreeze/ Unblock Request, login access and login credentials would be reset to the system default and it would be communicated to clients through their respective registered Email ID/ Mobile Number.

k. Deregistering of the client: Member may at his discretion deregister a client:

We may, at our discretion, deregister a client, whether temporarily or permanently, without providing reasons in the following circumstances. These circumstances are illustrative and not exhaustive:

1. If the client fails to meet their obligation towards settlement or margin or when there is a dispute between client and us.
2. If the client incurs losses that, in our opinion, are substantial given the circumstances of the case.
3. Upon the occurrence of any event(s) that may compel us to deregister the client.
4. If the client engages in transactions involving a company or scrip in which they are considered an insider under the provisions of SEBI (Prohibition of Insider Trading) Regulations, 1992, without notifying us.
5. The client indulges into any of the activities whether directly or indirectly as referred to in Regulation 3 and 4 of SEBI (Prohibition of Fraudulent and Unfair Trade Practices relating to Securities Market) Regulations, 2003 to the extent applicable to him.
6. Due to any legal action of SEBI/ Exchange against the Client.
7. If the client has been introduced to us by an Authorised Person (AP) and we discontinue or intend to discontinue our affiliation with AP for any reason.
8. On receipt of notice, letter or order from any Statutory body/ Government Department or from Local authorities/ Income Tax Department/ Judicial or Quasi-Judicial authority directing us to deregister the client.
9. In case of action taken either by FIU or any other competent legal entities or client being part of list of debarred entities published by SEBI or any other regulatory body.
10. We may also initiate action for deregistering a client on basis of information found in sites of CIBIL, watch out Investors etc. or may deregister the client if he is found to have suspicious back ground or linked with suspicious organization or illegal activity.

l. Policy on Inactive Accounts:

Please refer to our detailed Policy for Inactive (Dormant) Accounts which is available on our website. Synopsis of the Policy for Inactive (Dormant) Accounts is given below. An account is deemed dormant if no activity has occurred in the last 24 months.

Activities include:

1. Trading or Participation in any of the segment of the Exchanges: This includes activities across segments such as Cash/Equity Derivatives, Currency Derivatives, Commodities Derivatives, EGR, Debt, Online Bond Platforms and any segments authorised by SEBI/ Exchanges in future.

and/ or

2. Applications in IPOs, SGBs, Mutual Funds: Participating in IPOs (where bids are successful), SGBs, or Mutual Funds through the Exchanges' mutual fund platform through us.

and/ or

3. Updates in KYC Details: Modification/ updation of Email ID/ Mobile Number/ Address ("KYC Details") in KYC record of client through us and the same has been uploaded to KRA to ensure "Registered"/ "Validated" status.

Reactivation of Inactive Accounts:

Client who is flagged as inactive seeks reactivation of trading account, we shall take following steps while reactivation of the said client

Sr. No.	Scenerio	Requirements
(i)	NO CHANGE in client's KYC Details as well as Non-KYC details	IPV or VIPV requirement is mandatory for all inactive clients as prescribed by SEBI
(ii)	NO CHANGE in client's KYC Details and CHANGE in Non-KYC details	IPV or VIPV requirement is mandatory for all inactive clients as prescribed by SEBI

		Client shall be re-activated upon updating Non-KYC Details along with the necessary supporting documents and updating UCC/ back office records. Upon updation, the account shall be reactivated subject to compliance with prescribed KRA Requirements.
(iii)	CHANGE in client's KYC Details	We shall obtain the updated details along with the necessary supporting documents and upload the same with KRA to ensure "Registered"/ "Validated" status as per KRA before permitting client to trade on the Exchanges. On status of the client KYC getting Registered/ Validated, our back office and UCC records of the respective Exchanges shall be updated. Upon updation, we shall reactivate the account.
(iv)	NO CHANGE in KYC Details and status with KRA is Registered / Validated through us	IPV or VIPV requirement is mandatory for all inactive clients as prescribed by SEBI We will fetch the necessary details and documents from the KRA records and present them for the client's confirmation. If any changes are noted, we will follow the procedure outlined in "Sr. No. (iii)" above. If the client confirms that there are no changes to the KYC details, we will proceed with reactivating the account.
(v)	REACTIVATION where client status as per KRA is not validated (i. e. "On hold" or "Rejected" or "Registered through other intermediary" etc.)	We shall obtain the updated details along with the necessary supporting documents and upload the same with KRA to ensure "Registered"/ "Validated" status as per KRA before permitting client to trade on the Exchanges. On status of the client KYC getting Registered/ Validated, our back office and UCC records of the respective Exchanges shall be updated. Upon updation, we shall reactivate the account.

m. Grievances Mechanism:

As per the system formulated by the member, any complaint received is first documented in the investor grievances register. A four-member committee, comprising three divisional heads and one director, will review the complaint within 24 hours. The veracity of the complaint is verified based on the documents submitted with it and through internal inquiries. Every effort will be made to resolve the complaint, and a reply to the client will be provided within 48 hours. If a client complaint is found to be genuine after due verification, it will be resolved immediately and amicably, regardless of the amount involved; such complaints will not be classified as long-pending. If a client complaint is determined to be non-genuine, the client will be informed of this in person, followed by a detailed response accompanied by documentary evidence. If the client remains unsatisfied with the response, they may lodge a complaint with SEBI through the SCORES 2.0 portal.

n. Policy on Handling of Good till Cancelled (GTC) Orders of Clients:

Pursuant to the regulatory requirements issued by the National Stock Exchange of India (NSE) through its circular NSE/INSP/62528 dated June 21, 2024, and by BSE Limited via Notice number 20240622-2 dated June 22, 2024, all members offering facility of Good till Cancelled Orders, Good till Date Orders, Good till Triggered Orders, Good till Done Orders, or other similar orders (hereinafter collectively referred to as "GTC Orders") are required to formulate a policy regarding the handling of GTC Orders of clients. However, as we do not offer the facility of GTC Orders to clients, the requirement for formulating a policy on the handling of such orders is not applicable to us at this time.

TARIFF SHEET
CASH SEGMENT

Intra Day (per share)			Delivery (per share)	
Minimum (paise)	Percentage/Paise		Minimum (paise)	Percentage
	1st Leg	2nd Leg		

INDEX FUTURES

Intra Day (per share)			Subsequent Day (per share)	
Minimum (paise)	Percentage/Paise		Minimum (paise)	Percentage
	1st Leg	2nd Leg		

INDEX OPTIONS

Futures				
Minimum (paise) (per share)	Percentage on Premium (per share)		Amount (per lot)	
	1st Leg	2nd Leg (Intra Day)	Minimum Rs.	Maximum Rs.

EQUITY FUTURES

Intra Day (per share)			Any Day (per share)	
Minimum (paise)	Percentage/Paise		Minimum (paise)	Percentage
	1st Leg	2st Leg		

EQUITY OPTIONS

Minimum (paise) (per share)	Percentage on Premium (per share)		Amount (per lot)	
	1st Leg	2nd Leg (Intra Day)	Minimum Rs.	Maximum Rs.

SLBM

SLBM Processing charges per share in percentage (%)	
---	--

The above rates are exclusive of Transaction Charges, GST, SEBI Fees, IPF, Stamp Duty, and Securities Transaction Tax, which will be charged extra as per the rate prevailing from time to time.

Rates as mentioned hereinabove shall be applied unless special rates as may be agreed upon on case to basis.

I agree

UNIQUE STOCKBRO PVT. LTD.

101, Value Enclave, 1st Floor, Plot No.55, Laxmibai Kelkar Marg, Sion West, Mumbai 400022

Website : www.uniquestockbro.com | Email : info@uniquestockbro.com

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT											
TO BE FILLED BY THE BY DEPOSITORY PARTICIPANT											
APPLICATION NUMBER :					DATE:						
DP INTERNAL REFERENCE NUMBER :											
DP ID:	12033600			BO ID:							
TYPE OF ACCOUNT (PLEASE TICK WHICHEVER IS APPLICABLE)											
STATUS		SUB - STATUS									
<input checked="" type="checkbox"/> Individual		<input checked="" 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) _____							
<input type="checkbox"/> Foreign National		<input type="checkbox"/> Foreign National		<input type="checkbox"/> Others (specify) _____							
		<input type="checkbox"/> Foreign National - Depository Receipts									
HOLDER DETAILS											
I/we request you to open a demat account in my/our name as per following details: sole/first holder's name											
SOLE/FIRST HOLDER'S NAME											
PAN			UID			UCC			Exchange Name & ID		
SECOND HOLDER'S NAME											
PAN				UID							
THIRD HOLDER'S NAME											
PAN				UID							
*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. although the account is opened in the name of the living persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.											
DETAILS OF GUARDIAN (IN CASE THE ACCOUNT HOLDER IS MINOR)											
GUARDIAN'S NAME :						PAN					
RELATIONSHIP WITH THE APPLICANT :											
STANDING INSTRUCTIONS											
I/We instruct the DP to receive each and every credit in my/our account. (If not marked, the default option would be 'Yes')											
<input type="checkbox"/> Yes <input type="checkbox"/> No											
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')											
<input type="checkbox"/> Yes <input type="checkbox"/> No											
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 No _____

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

I/We would like to receive the Annual Report (Tick the applicable box. If not marked, the default option would be in Physical)
 PHYSICAL ELECTRONIC BOTH PHYSICAL AND ELECTRONIC

I/We wish to receive dividend/interest directly in to my/our 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 No

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)			
IFSC (11 characters)			
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 Code	

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. +91 _____ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option
EASI	To register for Easi please visit our website www.cdslindia.com . EASI allows a BO to view his ISIN balances, transactions and value of the portfolio online.

BSDA - Basic Services Demat A/C facility:

Value of Holdings In the Demat Account <i>(Debt as well as other than debt securities combined)</i>	Maximum Annual Maintenance Charges
Up to Rs. 4 lakhs	NIL
More than Rs. 4 lakhs but up to Rs. 10 lakhs	Rs. 100
More than Rs. 10 lakhs	Not a BSDA. Regular AMC may be levied

I/ We wish to avail the following facility:

BSDA- Basic Services Demat Account OPT OPT OUT

Mode of Operation for Execution of Transaction SINGLE JOINTLY

Other Details

GROSS ANNUAL INCOME DETAILS (Income Range per annum)

- | | |
|---|--|
| <input type="checkbox"/> UP TO RS. 1 LAC | <input type="checkbox"/> RS. 10 LAC - RS. 25 LAC |
| <input type="checkbox"/> RS. 1 LAC - RS. 5 LAC | <input type="checkbox"/> RS. 25 LAC - 1 CRORE |
| <input type="checkbox"/> RS. 5 LAC - RS. 10 LAC | <input type="checkbox"/> MORE THAN 1 CRORE |

NET WORTH AS ON DATE (NOT OLDER THAN 1 YEAR)

VALUE IN Rs. :
DATE (DD/MM/YYYY) :

OCCUPATION :

- PRIVATE GOVT. SERVICE BUSINESS PROFESSIONAL AGRICULTURE RETIRED
 PUBLIC HOUSEWIFE STUDENT FOREX DEALER OTHERS (SPECIFY) : _____

AFFILIATIONS :

- NOT A POLITICALLY EXPOSED PERSON (NPEP) POLITICALLY EXPOSED PERSON (PEP)
 RELATED TO POLITICALLY EXPOSED PERSON (RPEP)

ANY OTHER INFORMATION :

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

	Sole/First Holder	Second Holder	Third Holder
Name			
Signature			

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

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/ Notifications/ Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.

2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.

4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"

6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.

7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

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

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018 and Bye- Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.

12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

13. The stock broker/ stock broker and depository participant shall not directly/ indirectly compel the clients to execute Power of Attorney (POA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute POA or DDPI.

Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.

15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.

16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However, if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

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

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP

or to rematerialize the security balances held.

19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days' notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996,

i. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

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

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

27. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

28. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye- laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

29. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

30. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and/or SEBI

31. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

32. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Terms & Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL
[SMS Alerts will be sent by CDSL to BOs for all debits]

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 on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse information by any third person.

Liability and Indemnity :

The Depository shall not be liable for any breach of confidentiality by the service provider or 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 BO's. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing laws 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.

1. 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.

2. 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.

3. 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.

4. 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.

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

BOID	12033600		
	(Please write your 8 digit DPID)		(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holders Name : _____

Third Holder's Name : _____

Mobile Number on which message are to be sent	+ 91	
		(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: _____

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

TARIFF SHEET (w.e.f. 01/04/2025)		
Service	Charges	
Type	Individual/ HUF	Non Individual
Annual Maintenance Charges	Free for lifetime	Rs. 1,250/- Yearly [includes Rs.500/- payable to CDSL]
Refundable Deposit (Interest Free)	Rs. 5000/-*	N. A.
Transaction charges		
	With Unique	Outside Unique
Sale Transaction	Rs. 30/- per transaction	0.02% of value per transaction [Min. Rs. 250/- and Max. Rs. 500/-]
Margin Pledge creation/ Closure/ Invocation	Rs. 30/- per transaction	0.02% of value per transaction [Min. Rs. 250/- and Max. Rs. 500/-]
Pledge creation/ Closure/ Invocation (Other than Margin)	0.02% of value per ISIN [Min. Rs. 250/- and Max. Rs. 1000/-]	
Dematerialisation	Rs. 100/- per certificate [Min. Rs. 300/- per request] plus Rs. 100/- Courier Charges	
Rematerialisation	Rs. 100/- for every 100 shares or part there of [Min. Rs. 300/- per request] plus Rs. 100/- Courier Charges	
Mutual Fund : Destate/ Restate/ Redemption	Rs. 250/- per request plus Rs. 100/- Courier Charges	

Notes:

1. Payment of all charges should be by way of NEFT/ Transfer/ Cheque favouring Unique Stockbro Pvt. Ltd.
2. Pledge Creation/ Closure/ Invocation Charges are calculated based on the closing price of the Scrip on BSE/ NSE as on execution day as received from CDSL.
3. Transaction - cum - Holding Statement will be sent electronically at the end of the month whenever there is a transaction, or else it would be sent quarterly in accordance with mandate received and/ or as per SEBI/ CDSL regulations.
4. In case of lost or misplaced Delivery Instruction Slip (DIS) booklet, fresh DIS Booklet will be issued only on written request and Rs.250/- would be charged for the same.
5. Unique Stockbro Pvt. Ltd. Depository Services reserves the right to revise its tariff at its absolute discretion.
6. All statutory levies including GST shall be levied as applicable
7. Interest @13% per annum shall be charged, if bill is not paid within 30 days from the Bill date.
8. Additional Physical Statement Charges Rs.25/- per request.
9. * Deposit amount of Rs.5000/- will be refunded after closure of Account without any interest.

BO ID NO.		
I/ We have read and understood the above. All charges and other contents mentioned hereinabove are acceptable to me/ us.		
	Name	Signature
Sole/ First Holder		
Second Holder		
Third Holder		

**Managing Your Demat Account with CDSL
Simple Dos & Don'ts**

1. Verify your transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform your DP or CDSL.
2. Intimate any change of address or change in bank account details to your DP immediately.
3. While accepting the Delivery Instruction Slip (DIS) book from your DP, ensure that your BO ID is pre-stamped on all the pages along with the serial numbers.
4. Keep your DIS book safely and do not sign or issue blank or incomplete DIS slips.
5. Strike out the empty space, if any, in the DIS, before submitting to DP.
6. For market transactions, submit the DIS ahead of the deadline time. DIS can be issued with a future execution date.
7. The demat account has a nomination facility and it is advisable to appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
8. To open and operate your demat account, copy of PAN card of all account holders is to be submitted to the DP along with original PAN card, for verification.
9. Register for CDSL's SMART (SMS Alerts Related to Transactions) facility. If any unauthorized debit is noticed, the BO should immediately inform CDSL and the Main DP, in writing. An email may be sent to CDSL at complaints@cdslindia.com.
10. Register for CDSL's Internet based facility "easi" to monitor your demat account yourself. Contact your DP or visit CDSL's website: www.cdslindia.com for details.
11. In order to receive all the credits coming to your demat account automatically, you can give a one-time, standing instruction to your DP.
12. Before granting Power of Attorney to anyone, to operate your demat account, carefully examine the scope and implications of powers being granted.

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 for participation in such schemes.

PART - B
VOLUNTARY DOCUMENTS

Aadhaar and KRA Consent

1. I/ We hereby submit voluntarily at my/ our own discretion, the physical copy of Aadhaar card/ physical e- Aadhaar/ masked Aadhaar/ offline electronic Aadhaar xml as issued by UIDAI (Aadhaar) to Unique Stockbro Private Limited for the purpose of establishing my/ our identity/ address proof and voluntarily give my/ our consent to open account/ process instructions for the said purpose with Unique Stockbro Private Limited in my/ our name(s) individual capacity(ies) using my/ our Aadhaar or as an authorized signatory in non-individual accounts.
2. I/ We hereby consent to Unique Stockbro Private Limited verifying the authenticity of my/ our Aadhaar through the Quick Response (QR) code embedded in the Aadhaar card, or through any other acceptable method as prescribed by UIDAI or applicable law from time to time.
3. I/ We hereby consent to Unique Stockbro Private Limited for verification of my/ our Aadhaar to establish its genuineness through Quick Response (QR) code embedded in the Aadhaar card or through such other acceptable method as prescribed by UIDAI or applicable from time to time under any Act or applicable law from time to time.
4. The purpose of collecting my/ our Aadhaar has been explained to me/ us in local language. Unique Stockbro Private Limited has informed me/ us that my/ our Aadhaar, submitted herewith, will not be used for any purpose other than what is stated above, or as required by law. Unique Stockbro Private Limited has also confirmed that this consent and my/our Aadhaar will be securely stored along with my/our account details.
5. I/ We hereby declare that all the information voluntarily provided by me/us is true, accurate, and complete. I/We will not hold Unique Stockbro Private Limited or its officials liable for any consequences arising from incorrect information provided by me/us.
6. I/ We hereby authorize you to use the details furnished above for registration with KRA, CERSAI, Exchanges, Depositories, or any other relevant authorities/ agencies involved in the KYC registration process.
7. I/ We hereby give consent to download/ update/ modify my/ our KYC & CKYC record. I/ We also understand that my KYC record includes my/ our personal information such as Pan, name, address, date of birth etc. I/ We also understand that my KYC record will be used only for the purpose of verification of identity and address from the database of KYC registry.

Running Account Authorization for funds

Date:

To,

UNIQUE STOCKBRO PVT. LTD.

101, Value Enclave, 1st Floor, Plot No.55, Laxmibai Kelkar Marg, Sion West, Mumbai 400022

Dear Sirs,

Sub: Running Account Authorization for funds

I am dealing through you as a client in Capital Market ('CM') and Future & Options ('FO') Segments. I have executed several documents/ mandates in connection with the same. In order to facilitate operations of my trading account opened, I hereby give you an authority for maintenance of running account in respect of funds in accordance with the regulatory framework and guidelines issued from time to time.

1. Settlement Frequency:

You are hereby instructed to settle my running account monthly or quarterly basis [as per my preference given hereinbelow], on the dates stipulated in annual calendar for settlement of running account issued by Stock Exchanges at the beginning of the financial year. I shall prefer periodic settlement of funds at such frequency as given hereinbelow.

Unique Client Code (UCC)	
Settlement	My Preference
Monthly	<input type="checkbox"/>
Quarterly	<input type="checkbox"/>

2. Retention Statement and Statement of running account:

You will send me a 'Retention Statement' along with the 'Statement of running account' as per the existing provisions within 5 working days. I will bring any dispute arising from the 'Retention Statement' and/ or 'Statement of running account' to your notice preferably within 7 working days from the date of statement.

3. Maximum Retention Amount:

You are hereby authorized to retain maximum amount in accordance with guidelines issued by SEBI vide Master Circular for Stock Brokers bearing Number SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2024/110 dated August 9, 2024, FAQ issued by NSE vide Circular No. NSE/INSP/53820 dated September 23, 2022 and FAQ issued by BSE vide Notice Number 20220923-62 dated September 23, 2022 or in accordance with any regulatory guidelines/ directions issued by Stock Exchanges/ SEBI from time to time.

4. Debit Balance:

I would like to inform you that at any point of time if there is debit balance in my account, I will make the payment before pay-in day notwithstanding running account to that extent.

5. Fund Transfer Requests:

You are instructed to transfer the funds (net credit amount across all segments across all stock exchanges) lying in the credit of my account (net credit amount across all segments and across all stock exchanges) within one working day of my request.

6. Mode of Fund Transfer:

I am aware that for the purpose of settlement of funds, the mode of transfer of funds shall be only by way of electronic transfer viz. NEFT, RTGS etc.

7. No interest will be paid on the credit balances :

I have read and understood the content of Policy & Procedures Document and I understand that no interest will be paid to me on the credit balances in my Account at any point of time.

8. Delivery and Revocation of Authorization:

This running account authorization, when provided through my registered email ID, shall also be deemed a valid written authorization. I may revoke this authorization at any time by submitting a written notice of revocation, either physically or via my registered email ID. The authorization shall remain in effect until revoked in writing, in accordance with the terms outlined in the Master Circular for Stock Brokers SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2024/110), dated August 9, 2024.

Thanking you,
Sincerely,

**Voluntary
Authorisation for ECN and other reports and documents**

To,
Unique Stockbro Private Limited
101, Value Enclave, 1st Floor, Plot No. 55, Laxmibai Kelkar Marg,
Sion (West), Mumbai – 400 022

Dear Sirs,

Sub: Authorisation to receive ECN and other documents through Email or SMS/ electronic instant messaging services

I/We have opened and/or maintain trading and/or demat account(s) with Unique Stockbro Private Limited ("the Trading Member/Depository Participant"). I/We hereby voluntarily consent and authorise the Trading Member Depository Participant to send and deliver all communications, reports and documents relating to my/our account(s) through electronic mode.

1. **Electronic Contract Notes (ECN):** I/We hereby authorise you to issue and send Electronic Contract Notes (ECN) duly authenticated by digital signature, in lieu of physical contract notes, in accordance with SEBI Circular No. MRD/DoP/SE/Cir-20/2005 dated September 08, 2005, SEBI Circular No. CIR/MIRSD/16/2011 dated August 22, 2011 and Exchange circulars issued from time to time. I/We agree that such ECNs sent to my/our registered Email ID and/or mobile number shall be deemed to be valid and binding delivery.
2. **Other Trading Related Statements/Reports:** I/We further authorise you to send periodic statements of funds and securities, margin statements, retention statements, daily reports, payment advisories, annual global statements and any other reports or documents as prescribed by SEBI / Stock Exchanges from time to time, through electronic mode. These documents will also be authenticated by digital signatures and will be regarded as valid deliveries in accordance with applicable regulations.
3. **Demat Account/DP Division related reports:** I/We also authorise you, in your capacity as Depository Participant, to send demat account related statements including Transaction-cum-Holding Statements, Holding Statements, bills and other DP related communications through electronic mode, in accordance with SEBI and Depository (CDSL) circulars and guidelines issued from time to time.
4. **Delivery to Registered Contact Information:** I/We confirm that all Ecn's, reports, statements etc. shall be sent to my/our below mentioned primary email id and primary mobile number as registered in your records and with the Stock Exchanges / Depository. I/We agree that delivery at such registered contact details shall constitute valid and effective delivery.

Email id: _____

I/We declare that above email id belongs to Self, Spouse, Dependent Parent, Dependent Children

Mobile Number: _____

I/We declare that above mobile number belongs to Self, Spouse, Dependent Parent, Dependent Children

I understand that this consent for electronic delivery is in accordance with applicable laws and regulations and will serve as the official mode of communication for the aforementioned documents. I/We understand that this authorisation shall remain valid until revoked by me/us in writing in accordance with applicable regulations.

Holder	Name	Signature
1 st Holder		X
2 nd Holder		X
3 rd Holder		X

Voluntary Declaration by Client

1. **Order Placement and Execution:** My/ Our orders for trading in shares and securities may be communicated to you via telephone, orally during personal visits to your office, through Email, or by utilizing any other communication channels that are mutually agreed upon and acceptable to you. In addition, I/ we authorize my/ our designated representative(s) to place orders on my/ our behalf using the same methods of communication, including telephone, oral instructions during visits, Email, or any other acceptable communication channels. Such orders placed by my/ our authorized representative(s) shall be treated as having been made by me/ us personally and will carry the same binding effect.

2. **Limitation of Liability for Inadvertent Errors:** I/ We understand and acknowledge that, despite best efforts, inadvertent errors may occasionally occur during the execution of orders placed by me/ us. In the event of such errors, you agree to make all reasonable efforts to rectify the mistake promptly, ensuring that I/ we do not suffer any financial loss as a result of any punching error made by you or your representatives. However, I/ we agree that any such corrective action will be limited to rectifying the specific error that occurred and will not cover any market movements or price changes that may occur during the period of correction.

Furthermore, I/ we understand and agree that, beyond the reasonable corrective measures taken to address such errors, I/we shall not hold you responsible for any additional claims, damages, or losses that may arise. I/we expressly waive the right to seek compensation beyond the rectification of the immediate error.

I/ We am/ are aware that cancellation or modification of an order pursuant to my/ our request is not guaranteed. The order will be cancelled or modified only if my/ our request for cancellation or modification is duly received before the original order is executed

3. **Non-Liability for Losses:** You will not be responsible for any losses or damages resulting directly or indirectly from:
 - a. Any action, omission, suspension of trading, or ruling of an exchange, regulatory body, government authority, or any other body beyond your control, including exchanges, clearing corporations, or depositaries.
 - b. Any war, natural calamity, strike, lockout, national disaster, terrorism, postal delays, interruptions in communication systems, or any breakdown, failure, or malfunction of telecommunication or computer systems, including trading terminals.
 - c. These force majeure events do not exempt me/ us from fulfilling my/ our obligations under my/ our account with you.

4. **Trading Obligations and Restrictions:** In consideration of your facilitation of transactions conducted on the stock exchange, I/we hereby expressly agree and undertake that I/we shall not, individually or in concert with any other party, directly or indirectly, engage in any activity or conduct that could be construed as an attempt to manipulate the price or value of any specific security or securities, whether or not in collaboration with the management of such security or securities

5. **Insider Trading Restrictions:** I/ We will not trade in any company or scrip in which I/ we possess insider knowledge or Unpublished Price Sensitive Information, as per the Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015, as amended from time to time.

6. **Prohibition of Fraudulent Trade Practices:** I/ We will not engage, directly or indirectly, in any activities prohibited under Regulations 3 and 4 of SEBI (Prohibition of Fraudulent and Unfair Trade Practices Relating to Securities Market) Regulations, 2003.

7. **Commitment Against Market Manipulation:** I/ We undertake not to execute transactions, individually or in concert with others, that may be viewed as manipulative trades. This includes artificially influencing the price, creating artificial volumes, synchronized trades, cross trades, or self-trades. Should you find me/ us engaging in such activities, you reserve the right to inform SEBI, the Exchanges, or any relevant authority and to suspend or close my/ our trading account.
8. **Undertaking not to act as an Unregistered Authorized Person:** I/ We confirm that I/ we will not act as an unregistered Authorized Person and will trade solely for myself/ ourselves. If you perceive that I/ we am/ are acting as an unregistered Authorized Person, you have the right to immediately suspend my/ our trading account, close all open positions, and adjust credits (across all segments) against any dues I/ we owe to you. You also reserve the right to inform the relevant regulatory authorities. In such cases, I/ we agree to indemnify you against any loss, damage, or claims resulting from my/ our actions.
9. **Declaration of Non-Debarment by any Regulator:** I/ we confirm that I/ we am/ are not prohibited from trading in securities by any of the exchange, regulatory body, or statutory authority. I/ We agree to inform you immediately if any regulatory action is taken against me/ us in the future. Should I/ we fail to inform you, and you independently discover such actions, you may suspend or close my/ our trading account. You may also, at your sole discretion, liquidate my/ our open positions and collateral to cover any trade related debit balances without prior notice. I/ We hereby declare that I/we have not been declared a defaulter, nor does my/our name(s) appear in any defaulter database maintained by SEBI, various Exchanges, Regulatory Bodies, or the Credit Information Bureau of India Limited (CIBIL). I/We further affirm that the above declaration is true and correct.
10. **PMLA Declaration:** I/ We declare that I/ we have read, understood, and will comply with the provisions of the Prevention of Money Laundering Act, 2002. I/ We further declare that I/ we do not have any links with unlawful persons or institutions. I/ We affirm that the investment money is derived from legitimate sources and does not involve black or hawala money.
11. **Indemnification:** I/ We hereby agree to indemnify, defend, and hold you, your Directors, officers, employees, and agents harmless from and against any and all claims, demands, actions, losses, damages, liabilities, costs, and expenses (including reasonable legal fees) arising directly or indirectly from any unlawful act, omission, or commission on my/ our part in relation to any trading activity.

This indemnification applies to any situation where my/ our actions, whether intentional or unintentional, result in legal or financial consequences for you or any of your representatives. It extends to include circumstances where any failure on my/ our part to comply with legal, regulatory, or contractual obligations leads to claims or damages suffered by you or your representatives.
12. **Indemnity of Joint Holdings:** I/ We agree to indemnify and hold you harmless from any claims, demands, actions, losses, damages, or liabilities arising from transactions in securities held jointly by me/us with any other person(s), if applicable.
13. **Delayed Payment Charges:** Interest will be charged on all delayed payments from the due date until payment is received. The interest rate, up to a maximum of 15% per annum, will be determined at your discretion. You also reserve the right to waive this interest based on the circumstances of each case. However, no interest shall be payable on any credit balances maintained in the account at any time. I/ We confirm having read the rules & regulations pertaining to the levy of such interest under the policies & procedures.
14. **Acknowledgment of Receipt of Policies and Procedures:** I/ We hereby acknowledge that I/ we

have received, read, understood, and accepted the documents outlining your Policies and Procedures.

15. **Confirmation of Receipt of Login Credentials:** I/ We confirm that I/We have received my/our login ID and password for your website (www.uniquestockbro.com), through which I/We can access my/our account information, trade positions, daily margin reports, ECN, and other relevant details.
16. **Proprietary Trading disclosure by Member:** Trading Members/ Brokers are required to disclose to clients whether they engage in proprietary trading. I/ We have been informed and acknowledge that you engage in proprietary trading in the Cash and F&O segments of BSE and NSE.

Holder	Name	Signature
1 st Holder		X
2 nd Holder		X
3 rd Holder		X

Demat Debit and Pledge Instruction (“DDPI”)

I/ We,

Holder(s)	Name(s)	PAN
Sole / First Holder		
Second Holder		
Third Holder		

hereby agree to and accept the terms, conditions, and purposes of this Demat Debit and Pledge Instruction (“DDPI”) executed between myself/ ourselves and **Unique Stockbro Private Limited**, a Private Limited Company incorporated under the Companies Act, 2013, and having SEBI Registration number INZ000187737 as a Stock Broker and IN-DP-502-2020 as a Depository Participant, with its registered office at *101, 1st Floor, Value Enclave, Plot No. 55, Laxmibai Kelkar Marg, Sion (West), Mumbai – 400 022* (hereinafter referred to as “**Unique**”). Whereas:

- (a) I/ We have established a business relationship with Unique for availing services in relation to trading, investing, and other services offered by Unique, and have opened a Beneficial Owner (BO) Account bearing number 12033600_____ with Unique, in its capacity as a Depository Participant of Central Depository Services (India) Limited (“**CDSL**”).
- (b) This DDPI document shall be in line with SEBI Circular number SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04, 2022, as may be updated from time to time, and I/ we agree to the below points:

Sr. No.	Purpose	Signature of BO	
1	I/ We agree and permit Unique to transfer any securities held in my/ our beneficial owner account towards any Exchange (any SEBI recognized Exchange where Unique is a member) related deliveries/ settlement obligations arising out of trades executed by me/ us on the Exchange through Unique.	1 st Holder	x
		2 nd Holder	x
		3 rd Holder	x
2	I/ We agree and confirm to allow pledging/ re-pledging of securities in favor of Unique for the purpose of meeting my margin requirements in connection with the trades executed by me on the Exchanges.	1st Holder	x
		2nd Holder	x
		3rd Holder	x
3	I/ We agree to enable Mutual Fund Transactions (buy or sell) to be executed via stock exchange operated order entry platforms, such as BSEStar MF & NSE NMF.	1st Holder	x
		2nd Holder	x
		3rd Holder	x
4	I/ We agree to enable tendering of shares submitted by me under any open offers via stock exchange platforms.	1st Holder	x
		2nd Holder	x
		3rd Holder	x

Details of Unique's Accounts for aforesaid purposes are mentioned herein below:

Account Title	BOID / CMBP ID	DP ID	Account Title	BOID / CMBP ID	DP ID
USB-BSE-Pool A/c	18865525/ IN653956	IN301330	USB-NSE-CM CDSL Early Pay-in	1100001100019055	11000011
USB-BSE-Pool A/c	1203360000000501	12033600	USB-Client Securities Margin Pledge A/c	1203360000088505	12033600
USB-NSE-Pool A/c	18865533/ IN562718	IN301330	USB-Client Securities Margin Pledge A/c	40369685	IN301330
USB-NSE-Pool A/c	1203360000058455	12033600	USB-Clearing Member A/c-NSE-SLB-Pool	1203360000105475	12033600
USB-BSE-CM CDSL Early Pay-in	1100001000014692	11000010	USB-NSE-CM CDSL SLB Early Pay-in	1100002300002291	11000023

USB - Unique Stockbro Private Limited; **NCL** - NSE Clearing Limited; **EPI** - Early Pay-in; **CDSL** - Central Depository Services (India) Limited; **BSE** - Bombay Stock Exchange Limited; **NSE** - National Stock Exchange of India Limited; **SLB** - Securities Lending and Borrowing; **CM** - Clearing Member

I/ We agree and confirm that execution of the DDPI has not been insisted upon or made mandatory by Unique, whether acting as a Stock Broker and/or as a Depository Participant, and that the same is not a precondition for opening or continuation of my/our account.

Signed and Delivered on this ____ day of _____ 20 ____ at _____.

	Sole/ First Holder	Second Holder	Third Holder
Name			
Signature	X	X	X

Declaration by the Client in respect of his Beneficial Owner's Account

As you are aware that I/ We have executed DP-BO relationship. In Addition to that I/ We would like to declare the followings.

1. You will not be liable to me/ us 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 my/ our account.

2. The fees, charges payable by me/ us to you will be exclusive of GST and other taxes as per applicable rates from time to time and out of pocket expenses incurred by you. All these payments will be borne by me/ us.

3. I/ We will take your prior permission of before I/ We deal in a Company/ Scrip wherein I/ We am/ are insider as per the provisions of SEBI (Prohibition of Insider Trading) Regulations, 1992 (as amended thereafter) and affecting operations of my/ our demat account.

4. I/ We will not act alone or in concert with others, directly or indirectly, knowingly or unknowingly to control or manipulate the particular scrip or scrips with or without the help of the management of that particular scrip or scrips.

5. I/ We authorise you to set off or forfeit any credit lying with Unique Stockbro Pvt. Ltd. in any segment(s) of any Exchange(s) towards any legitimate dues payable to you

6. I/ We will not make any untrue statement or suppress any material fact in any documents, reports, papers or information furnished to you.

7. I/ We will be responsible for the acts or omissions by me/ us or my/ our employees or agents or authorized representative or sub-brokers as may be applicable in respect of the conduct of my/ our demat account.

8. I/ We will solely bear interest, penalty, legal fees or other charges levied by any statutory body or in the case of any legal proceedings attributable to my/ our demat account and operations therein. You will recover the same from me/ us.

9. I/ We will carefully preserve Delivery Instruction Slip Book(s), make necessary safety arrangements to avoid any fraud or misuse of the same. I/ We will constantly reconcile slips issued and the balance slips lying with me/ us from time to time. I/ We will also abide all instructions mentioned in the Delivery Instruction slips issued to me/ us. I/ We will promptly inform you in writing about lost or stolen slips. I/ We will solely bear any loss arising out of non-compliance with any or all these issues relating to Delivery Instruction Slip Book(s).

10. I/ We will be responsible for:

- The veracity of all statements and particulars set out in the account opening form, supporting or accompanying documents.
- The authenticity and genuineness of all certificates and/ or documents submitted to you along with or in support of the account opening form or subsequently for dematerialisation;
- Title to the securities submitted to you from time to time for dematerialisation.
- Ensuring at all times that the securities to the credit of my/ our account are sufficient to meet the instructions issued to you for effecting any transaction;
- Informing you at the earliest of any changes in my/ our account particulars of such as address, bank details, status, authorisations, mandates, nomination, signatures, etc.;
- Furnishing accurate identification details whilst subscribing to any issue of securities.

11. I/ We will indemnify you and keep you indemnified and save harmless you and your employees and servants from and against all harm, loss, damage and injury and all claims, demands, suits, actions, litigation, prosecution or every other proceeding whatsoever (and all costs, charges and expenses relating thereto) suffered or incurred by you on account of or as a reason of any certificates or other documents in respect of the securities submitted to you being forged, fabricated, counterfeit, stolen, cancelled or being otherwise invalid or such securities being subject to any decree, order or injunction of any court, tribunal, Central or State Government or any other authority empowered in that behalf restraining or prohibiting transfer of those securities or the transfer of such securities being in breach of any undertaking or covenant in favour of any statutory body or authority.

12. You may terminate the DP-BO relationship without assigning any reasons for such termination in following events of

- a. Failing to pay the fees or charges as may be mutually agreed upon within a period of thirty days from the date of demand made in that behalf.
- b. Submitting for dematerialisation any certificates or other documents of title which are forged, fabricated, counterfeit or stolen or have been obtained by forgery or the transfer whereof is restrained or prohibited by any direction, order or decree of any court, tribunal, Central or State Government, SEBI or any statutory or revenue authority or under any covenant or undertaking given to any statutory authority.
- c. Committing or participating in any fraud or other act of moral turpitude in my/ our dealings with you.
- d. Otherwise misconducting in any manner.

13. In the event of you terminating the DP-BO relationship, you will issue at least one month's prior notice in writing to me /us in that behalf and you will call upon me/ us to specify whether I/ We desire to have the security balances in my/ our account transferred to my/ our account with another Participant or to have the same rematerialized in the manner specified in the Bye Laws and you will accordingly close my/ our account.

14. Notwithstanding termination of the DP-BO relationship by you or by me/ us, all mutual rights and obligations arising therefrom will, except in so far as the same are contrary to or inconsistent with such termination or closure, will continue to be binding on the parties in respect of all acts, deeds, matters and things done and transactions effected during the period when the said relationship was effective.

To,
Unique Stockbro Private Limited
101, Value Enclave, 1st Floor,
Plot No. 55, Laxmibai Kelkar Marg,
Sion (West), Mumbai – 400 022

Account Opening Form – Acknowledgement

I/We, hereby acknowledge that I/We have read and understood all below mentioned documents. I/We, further confirm that receipt of copies of the same, along with my/our duly e-signed and executed documents, on my/our registered Email ID shall constitute valid receipt of the documents.

Sr. No.	Description of the Document
1.	Duly Executed copy of KYC
2.	Rights & Obligations for CM, DP & SLBM
3.	Risk Disclosure Document (RDD) for Capital Market and Derivative Segment
4.	Guidance Notes – Do's and Don'ts for CM & DP
5.	Policy & Procedure Document pursuant to the SEBI Circular dated December 03, 2009
6.	Tariff Sheets CM & DP
7.	Most Important Terms & Conditions (MITC)
8.	Running Account Authorisation & Copy of duly executed DDPI
9.	Declarations & Authorisations

I/We, further confirm that I/We have understood the contents of all the above documents and that I/We have received necessary clarifications, wherever required, from the officials of Unique Stockbro Private Limited, to my/our full satisfaction.

Holder	Name	Signature
1 st Holder		X
2 nd Holder		X
3 rd Holder		X

CLIENT MASTER RECORD

Client Name			
Father/ Spouse Name			
KYC Registered with		PAN	
Occupation		Date of Birth	
Client Type	<input type="checkbox"/> Individual <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> Others		
Registered/ Permanent Address			
Mobile No.		Alternative Number	
Office/ Correspondence Address			
Office Telephone No.		Annual Income	
Email id		Nominee Opted	<input type="checkbox"/> Yes / <input type="checkbox"/> No
Name of Bank		A/c. Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current
Bank A/c. No.		MICR NO.	
Branch		IFSC	
Demat Client ID No.		DP ID No.	
DP Name			
Introducer/ AP Name			

FOR OFFICE USE ONLY

Client Code No.		Family Code :			DDPI Opted: <input type="checkbox"/> Yes / <input type="checkbox"/> No		DPC: <input type="checkbox"/> Yes / <input type="checkbox"/> No	
SLBM Brokerage code :		Cash Brokerage code :			Derivatives Brokerage Code:			
%	Min. Paise	Delivery %	Trading %	Min. Paise	Type	%	Min. Paise	Refund Code
					Future			
Date of A/c. Opening		Minimum Brokerage Per Scrip			Option	(% on Prem)	Min. Per Lot	Max. Per Lot
NSE		BSE			Checked by :		Index	
C	F	SLBM	C	F	Bank Verified by :		Equity	
UCC Uploaded by :		Demat Verified by :			CM Seg Exp			
Remark :		Approved by :			F&O Seg Exp.			