

CONTACT DETAILS:	
Registered & Correspondence Office: 61/8 Chandanbala, Road # 25C, Sion West, Mumbai – 400 022	
Telephone Nos.	: +91 22 2408 0444
Facsimile	: +91 22 2407 8018
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	INB011072130	December 9, 1999
		F & O	INF011072130	December 12, 2000
2	National Stock Exchange of India Ltd.	Cash	INB231072134	June 27, 2011
		F & O	INF231072134	June 27, 2011
3	MCX-SX Stock Exchange Ltd.	Cash	INB261072137	December 19, 2012
		F & O	INF261072137	December 19, 2012
4	Central Depository Services (I) Ltd.	DP Services	IN–DP–CDSL–235–2004	May 13, 2004

MANAGING DIRECTOR AND COMPLIANCE OFFICER DETAILS:			
	Managing Director	Compliance Officer for Capital Market Division	Compliance Officer for DP Services Division
Name	Mr. Paresh V. Popat	Mr. Chetan P. Mehta	Mr. Krishna P. Ambekar
Phone	+91 22 2408 0444	+91 22 2408 0444	+91 22 2401 8644
Mobile	+91 98211 14345	+91 98199 00852	+91 99209 28783
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 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
MCX-SX Stock Exchange Ltd.	investorcomplaints@msei.in	+91 22611 29028
Central Depository Services (I) Ltd.	complaints@cdslindia.com	1800 200 5533

GENERAL INSTRUCTIONS

- Self attested copy of PAN card is mandatory for all clients.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.

REQUIREMENTS IN CASE OF ALL NON-INDIVIDUAL CLIENT

1. Copy of cancelled cheque leaf/pass book/bank statement containing name and account number of the client along with MICR Code and IFSC Code of the bank.
2. Demat master or recent holding statement issued by DP bearing name of the client
3. Documentary Evidence of Financial Details (any one of the following) (mandatory for derivatives Segment)

- | | |
|--|--|
| <input type="checkbox"/> Copy of ITR Acknowledgement | <input type="checkbox"/> Copy of Annual Accounts |
| <input type="checkbox"/> Net worth certificate | <input type="checkbox"/> Copy of demat account holding statement |
| <input type="checkbox"/> Bank account statement not more than 3 months old | <input type="checkbox"/> Any other relevant documents substantiating ownership of assets |
| <input type="checkbox"/> Self declaration with relevant supporting documents | |

ADDITIONAL REQUIREMENTS IN CASE OF ALL NON-INDIVIDUAL CLIENT

HUF	Partnership Firm/Trust	Company	LLP
Certified copy PAN	Certified copy PAN	Certified copy PAN	Certified copy PAN
Deed of declaration of HUF containing list of coparceners signed by all coparceners	Certified copy of Partnership Deed/Trust Deed	Certified true copy of Memorandum & Articles of Association along with Certificate of Incorporation	Certified copy of LLP Agreement/Deed
Personal Details such as Name, residential Address, Photograph along with POI, POA, PAN of Karta (as per KYC)	Personal Details such as Name, residential Address, Photograph along with POI, POA, PAN of Partners/Trustees (as per KYC)	Personal Details such as Name, residential Address, Photograph along with POI, POA, PAN in respect of individual Promoters holding control – either directly or indirectly (as per KYC)	Personal Details such as Name, residential Address, Photograph along with POI, POA, PAN of Partners (as per KYC)
—	Certificate of Registration (Applicable if registered)	Certified true copy of Resolution of Board of director's approving participation in equity/derivatives trading & naming authorized signatories for dealing in securities (format enclosed)	Certificate of Registration
—	Copy of Balance Sheet for Last Two Years (to be submitted every year)	Copy of Balance Sheet for Last Two Years (to be submitted every year)	Copy of Balance Sheet for Last Two Years (to be submitted every year)
—	List of Authorised Signatories on the letter head of the Firm	List of Authorised Signatories on the letter head of the Company	List of Authorised Signatories on the letter head of the LLP
—	List of Partners/Trustees on the letter head of Firm/Trust (Certified by all partners/CA or Managing trustee)	List of Directors with DIN on the letter head of company (format enclosed)	List of Partners and Designated Partners (Min. two) with DPIN on the letter head of LLP (Certified by all partners/CA)
—	Authority Letter on the letter head of the firm/trust in respect of authorised persons/ authorised signatories	Personal details such as Name, Residential Address, Photograph along with POI, POA, PAN in respect of at least two authorized persons/authorized signatories who are not promoters/whole time directors of the company (as per KYC if applicable)	Authority Letter on the letter head of the LLP in respect of authorised persons/authorised signatories
—	—	Personal details such as Name, Residential Address, Photograph along with POI, POA, PAN and DIN in respect of at least two whole time directors in charge of day to day operations (as per KYC)	—
—	—	Copy of latest share holding pattern including list of all those holding control either directly or indirectly, in the company in terms of SEBI take over regulations, duly certified by the company secretary/ whole time director/MD (to be submitted every year)	—

ACCOUNT OPENING KIT

I N D E X

PART A			
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
Sr. No.	Name of the Document	Brief Significance of the Document	Page Nos.
1	KYC and Account Opening Form	A.KYC form - Document captures the basic information about the constituent and an instruction/check list.	-
		B.Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	1-4
2	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading).	5-10
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	11-15
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	16-17
5	Policies and Procedures	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	18-20
6	Tariff sheet	Document describing significant policies and procedures of the stock broker.	21

PART B			
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
Sr. No.	Name of the Document	Brief Significance of the Document	Page Nos.
7	Authorisation by Client in respect of his trading account	Authority for sending Electronic Contract Notes (ECN) trading member, sub-broker and client for trading on exchanges	22
8	Declaration by Client in respect of his trading account	Various declarations covering issues such as orders, Brokerage adherence to SEBI/Exchange Rules & Regulations	23-24
9	Running Account Authorisation	Authorisation for Running Account & Terms & Condition relating to the same	25-26
10	Letter for Operating Instructions	Authority to perform various Acts	27
11	Snapshot of Policies & Procedure for PMLA	Snapshot of Policies & Procedure for PMLA	28
12	Deed of declaration of HUF/List of Coparceners to Unique Stockbro Pvt. Ltd. (BSE, NSE & MCX-SX)	Declaration of HUF and its karta/managing member in respect of trading in shares/securities and empowering karta/managing member to do necessary acts and deeds	29-30
13	Declaration by Partnership Firm to Unique Stockbro Pvt. Ltd. (BSE, NSE & MCX-SX)	Declaration of partnership firm in respect of transfer securities to/from designated BO Account	31

Sr. No.	Name of the Document	Brief Significance of the Document	Page Nos.
14	Authority letter from all partner(s) of the firm to Unique Stockbro Pvt. Ltd. (BSE, NSE & MCX-SX)	Authorisation of firm and its partner(s) in respect of trading in shares/securities and empowering partner(s) to do necessary acts	32
15	List of persons authorised by Partnership Firm to sign and do necessary act on behalf of the firm (BSE, NSE & MCX-SX)	List of Authorised Signatories of firm who are engaged in day to day Operation of trading in shares/securities along with their Specimens Signature(s)	33
16	Sharing Pattern of the Partnership Firm	Certified Copy of Profit/Loss Ratio of Partner(s) of the Partnership Firm	34
17	Format of the Board Resolution for the company	Authorisation of the company in respect of trading in shares/securities and empowering directors/authorised person(s) to necessary acts and deeds	35
18	List of persons authorised by company to sign & do necessary act on behalf of the company (BSE, NSE & MCX-SX)	List of Authorised Signatories of the company who are engaged in day to day Operation of trading in shares/securities along with their Specimens Signature(s)	36
19	Format of Shareholding Pattern of the company	Certified Copy of Shareholding Pattern of the Company (To be submitted every year)	37
20	List of Directors	List of all present directors with designation	38
21	Authority letter from all partner(s) of the LLP to Unique Stockbro Pvt. Ltd. (BSE, NSE & MCX-SX)	Authorisation of LLP and its partner(s) in respect of trading in shares/securities and empowering partner(s) to do necessary acts	39
22	List of Persons authorised by LLP to sign and necessary act on behalf of the LLP (BSE, NSE & MCX-SX)	List of Authorised Signatories of LLP who are engaged in day to day Operation of trading in shares/securities along with their Specimens Signature(s)	40
23	Sharing Pattern of the LLP	Certified Copy of Profit/Loss Ratio of Partner(s) of the LLP	41

SIGNATURE INSTRUCTIONS

1. Please put full signature against 'X' with Rubber Stamp
2. Total signatures required in case of Corporate-22
3. Total signatures required in case of Firm/HUF/Trust-23

PART - A
MANDATORY DOCUMENTS
(As prescribed by SEBI & Exchanges)

ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT FOR NON-INDIVIDUALS

A. CLIENT INFORMATION																				
Name of the Applicant																				
Status											CIN No.									
PAN (10 DIGIT)											Date of Incorporation		D	D	M	M	Y	Y	Y	Y
Registered/ Correspondence Address																				
Telephone No.											Mobile No.									
Email id																				

B. (i) BANK ACCOUNT DETAILS																				
Bank Name																				
Branch address																				
Bank account No.																				
MICR Number (9 DIGIT)											IFSC: (11 DIGIT)									
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others																			

B. (ii) BANK ACCOUNT DETAILS																				
Bank Name																				
Branch address																				
Bank account No.																				
MICR Number (9 DIGIT)											IFSC: (11 DIGIT)									
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others																			

C. (i) DEPOSITORY ACCOUNT DETAILS														
Depository Participant Name														
Depository Name	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL					DP ID:								
Beneficiary name														
Beneficiary ID (BO ID)														

C. (ii) DEPOSITORY ACCOUNT DETAILS														
Depository Participant Name														
Depository Name	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL					DP ID:								
Beneficiary name														
Beneficiary ID (BO ID)														

D. TRADING PREFERENCES		
Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.		
Exchanges	Segments	Signature
BSE Limited	Cash	X 3
	F & O	X 4
National Stock Exchange of India Limited	Cash	X 5
	F & O	X 6
	Currency Derivative	X 7
MCX Stock Exchange Limited	Cash	X 8
	F & O	X 9
	Currency Derivative	X 10

If in future, the client wishes to trade on any new segment/new exchange then separate mandate letter in respect of new segment/new exchange would be required.

E. PAST ACTIONS
<p>Details of any action/proceedings initiated/pending/taken by SEBI/Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors authorized persons in charge of dealing in securities during the last 3 years: _____</p> <p>_____</p> <p>_____</p>

F. NEW OTHER DETAILS (please see guidelines overleaf)									
1. Gross Annual Income Details Please tick (✓)	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lac-1 Crore <input type="checkbox"/> >1 Crore								
2. Net worth as on (Date)	<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table> ₹ _____ (Net worth should not be older than 1 year)	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
3. Is the entity involved/providing any of the following services	<input type="checkbox"/> Yes <input type="checkbox"/> No For Foreign Exchange/Money Changer Services <input type="checkbox"/> Yes <input type="checkbox"/> No Gaming/Gambling/Lottery Services (e. g. casinos, betting syndicates) <input type="checkbox"/> Yes <input type="checkbox"/> No Money Lending/Pawning <input type="checkbox"/> Yes <input type="checkbox"/> No								
4. Any other information _____									

G. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name: _____

SEBI Regn. No. : _____

Registered office address : _____

Phone : _____ Fax : _____

Website / Email id : _____

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

Name of stock broker : _____

Name of Sub-Broker, if any : _____

Client Code : _____ Exchanges : _____

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

H. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):

Specify your Email id, if applicable : _____

& Alternative Email id : _____

- Whether you wish to avail of the facility of internet trading/wireless technology (please specify):

- Number of years of Investment/Trading Experience : _____

- Name & Designation of persons authorised to deal in securities on behalf of company/firm/HUF/others

Name : _____ Designation : _____

Name : _____ Designation : _____

(Please also furnish all relevant details such as PAN, UID, Residential Address and Photograph in respect of for aforesaid person(s) in Point No. 3 of KYC)

- Any other information _____

I. INTRODUCER DETAILS (optional)

Name : _____
(Name) (Middle Name) (Surname)

Address: _____

PAN : _____ Phone: _____

Status : ☐ Sub-broker ☐ Remisier ☐ Authorized Person ☐ Existing Client
☐ Others (please specify) _____

Signature

DECLARATION

1. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it.
2. 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. We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. We do hereby agree to be bound by such provisions as outlined in these documents. We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Authorised Signatory 13a

Authorised Signatory 13b

Authorised Signatory 13c

Authorised Signatory 13d

Place : _____

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

FOR OFFICE USE ONLY											
UCC Code allotted to the Client: _____											
	Documents verified with Originals by	Client Interviewed by	In-Person Verification done by								
Name of the Employee/ Intermediary											
Employee Code											
Designation of the Employee/Intermediary											
Date	D D / M M / Y Y Y Y	D D / M M / Y Y Y Y	D D / M M / Y Y Y Y								
Signature											
<p>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), RDD and Guidance Note. We have given/sent him 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 RDD would be made available on our website, if any, for the information of the clients.</p>											
<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px; text-align: center;">D</td> <td style="width: 20px; height: 20px; text-align: center;">D</td> <td style="width: 20px; height: 20px; text-align: center;">M</td> <td style="width: 20px; height: 20px; text-align: center;">M</td> <td style="width: 20px; height: 20px; text-align: center;">Y</td> <td style="width: 20px; height: 20px; text-align: center;">Y</td> <td style="width: 20px; height: 20px; text-align: center;">Y</td> <td style="width: 20px; height: 20px; text-align: center;">Y</td> </tr> </table>		D	D	M	M	Y	Y	Y	Y	<hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> Signature of Authorised Signatory of Stock Broker with stamp	
D	D	M	M	Y	Y	Y	Y				

FOR HO OFFICE USE ONLY				
Form Received on	D D / M M / Y Y Y Y	Remarks:		
KYC Details	Date	Name of the KRA	Name of the Official	Signature
KYC Uploaded on	D D / M M / Y Y Y Y			
KYC Fetched on	D D / M M / Y Y Y Y			

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS
as prescribed by SEBI and Stock Exchanges

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

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

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

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

LAW AND JURISDICTION

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

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

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

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

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities/derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities/derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities/derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities/derivatives contracts as compared to active securities/derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

- 1.2.1 Buying or selling securities/derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities/derivatives contracts may have to be sold/purchased at low/high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security/derivatives contract.

1.3 Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security/derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities/derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

The placing of orders (e.g., “stop loss” orders, or “limit” orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

- 1.4.1 A “market” order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a “market” order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security/derivatives contract.
- 1.4.2 A “limit” order will be executed only at the “limit” price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.
- 1.4.3 A stop loss order is generally placed “away” from the current price of a stock/derivatives contract, and such order gets activated if and when the security/derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security/derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security/derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock/derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security/contract.

1.6 Risk of Rumors:

Rumors about companies/currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security/derivatives contract due to any action on account of unusual trading activity or security/derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

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

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

2.1 Effect of “Leverage” or “Gearing”:

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

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

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

2.2 Currency specific risks:

- 2.1 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.
- 2.2 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.
- 2.3 Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

- 2.1 An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
- 2.2 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:

- 2.1 If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
- 2.2 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.
- 2.3 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 websites www.bseindia.com, www.nseindia.com, www.mcx-sx.com and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization, for maintaining running account payout of funds or delivery of securities as the case may be, may not be made to you within one working day from the receipt of payout from the Exchange. Thus the stock broker may maintain a running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.

c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

DISPUTES/ COMPLAINTS

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

DOCUMENT ON POLICIES AND PROCEDURES FOR TRADING/DEALINGS OF THE CLIENT ON CAPITAL MARKET/F & O SEGMENT OF BSE, NSE AND MCX-SX

- 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 the total contribution of the member in 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, member may at his sole discretion refuse to take orders for the clients.

This decision will be based on the details available with the member in respect of the followings:

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

Member will take all the decisions in good faith and he will not be bound to give reasons for refusal to accept orders in penny stocks.

- b. Setting up client's exposure limits:** Member does not guarantee any exposure limit to the client and the same will be at the discretion of the member.
- c. Applicable brokerage rate:** Brokerage rate will be decided with the client individually having regard to the volume, services required, infrastructure requirements etc. In any case it will not exceed 1.5% of the transaction value.
- d. Imposition of penalty/delayed payment charges by either party:** Notwithstanding the fact that the client has given running balance authorization to the member, the client will be charged 15 % interest p.a. on all delayed payment of funds from the date when payment becomes due till the date of payment to the member. The member may waive at his sole discretion, the levy of said interest having regard to the circumstances of each case.

In case of delayed payment of funds to the client wherein running balance authorization has not been obtained, the member will pay 15% interest p.a. on delayed payments based on the circumstances of each case and if the member deems it fit. The interest will be paid from the date when payment becomes due till the date of payment to the client.

- e. Member's right to sell client's securities or close client's positions:** Member has the right to sell client's securities or close client's positions without giving notice to the client in the following circumstances.
1. In case of non payment of settlement or margin obligation by the client or
 2. If the member and/or client has exceeded the limits prescribed by SEBI/Exchange from time to time or
 3. Due to illustrative circumstances mentioned at para i. hereinbelow

But member may at his discretion and having regard to the circumstances of each case, decide not to sell client's securities or close client position. Any profit or loss due to the act(s) of the member or otherwise whether actual or notional will be borne solely by the client.

- f. Shortages in obligations arising out of internal netting of trades:** If shortage arises due to internal netting of trades then scrip will be bought from the market at the prevailing price and purchase value will be debited to the seller party and the securities will be delivered to the purchase party. Any loss or profit arising out of the same will be borne by the seller party alone.
- g. Client not allowed to take further positions or closing of the existing position:** The risk management policy of the member takes care of only normal circumstances as it is not practical for member to assume extreme situations while handling risk on a daily basis.

Extreme situations might be in the market or it might arise for a particular client due to increase in his individual risk or if market falls drastically in short period of time and the client makes substantial losses or due to any legal action of SEBI/exchange against the Client/Member such as levy of huge penalties, suspension or cancellation of the registration as the case may be or due to huge pay-in obligation of funds & securities on the member or due to happening of any event(s) due to which member is of the opinion that the client should not be allowed to take further position or his existing positions should be closed. The extreme situations described hereinabove are for illustrative purpose and the same are not exhaustive.

Hence, whenever extreme situations arise and it is not possible for the member to allow client to take further positions or if the client is required to close existing position then the member will do so on behalf of the client without any notice to the client and profit and loss whether actual or notional arising out of the same will be borne solely by the client.

- h. Temporarily suspending or closing a client's account:** If the client wishes to temporarily suspend or close his account then the client will intimate about his willingness to do so in writing to the member at least 7 days in advance. The intimation will indicate start date and end date of the suspension. On receipt of the valid intimation the member will comply with the same.
- i. Deregistering of the client:** Member may at his discretion deregister a client whether temporarily or permanently without giving any reasons for the same in the following circumstances. These circumstances are illustrative and not exhaustive.

 - 1. If the client fails to meet his obligation towards settlement or margin or when there is a dispute between client and the member.
 - 2. If the client makes losses and which in the opinion of the member is substantial having regard to the circumstances of the case.
 - 3. Happening of any event(s) due to which member is of the opinion that deregistration is imperative.
 - 4. The client without intimating the member deals in a company/scrip wherein he is an insider as per the provisions of SEBI (Prohibition of Insider Trading) Regulations, 1992.
 - 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 by sub-broker/remisier/authorised person/introducer as the case may be and the member is of the opinion that he wants to deregister his relationship with any of the said sub-broker/remisier/authorised person/introducer as the case may be.
 - 8. On receipt of notice, letter or order from any Statutory body/Government Department or from Local authorities/Income Tax Department/Service Tax Department/Judicial or Quasi Judicial authority directing member to deregister the client.
 - 9. Client lodges a complaint either directly with Member or through Exchange suspecting unauthorized trades being executed in his account by unknown or unauthorized person.
 - 10. In case of demise of the Client.
 - 11. 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.
 - 12. Member 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.
- j. Policy on Inactive Accounts:** It has been observed that many a time client stops dealing with Member for a prolonged period of time. This leads to various kinds of risks for Member as well as for the market. Needless to say that it is utmost important to have a policy in this regard to define inactive clients and to deal with them. We have framed the policy under this backdrop. If a client has not dealt with Member for a continuous period of two years then he will become inactive client.

All the assets belonging to client and lying with us such as his credit balance, securities etc. will be returned to him within a week of his becoming Inactive client.

No dealer will entertain any calls for trading with respect to such clients unless clearance is received from the Compliance Officer. Such clients will be reverted back to the Compliance Officer. He will identify the clients based on voice, personal information etc. If necessary, he will insist for In-Person verification. After he is fully satisfied with the feedback etc., he will give his clearance & thereafter client will be allowed to trade by the dealer. This policy is circulated amongst all departmental heads and all dealers. The same is also displayed on our website.

- k. Grievances Mechanism:** As per the system formulated by the member, any complaint received is first written in the investor grievances register. The complaint is to be looked into within 24 hours by a four member committee representing 3 divisional heads and one director. Veracity of the complaint received is verified based on the documents received along with the complaint and internal enquiries. Every effort is to be made to resolve the complaint. Reply to the client is to be given within 48 hours. In case when client complaint is found to be genuine after due verification, the same should be resolved immediately and amicably irrespective of the amount involved and these types of complaint should not form part of the long pending complaints. In case when client complaint is not found to be genuine then the client should be explained the same in person. This should be followed up by a detailed reply along with documentary evidences. If the client prefers arbitration then to co-operate fully in the arbitration and then the matter will be solved in accordance with respective Exchange Arbitration mechanism and legal proceedings.

We hereby acknowledge that We have received and understood this policies & procedures document.

X

Client's Signature with stamp 14

TARIFF SHEET

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

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

INDEX OPTIONS				
Minimum (paise) (per share)	Percentage on Premium (per share)		Amount (per lot)	
	1 st Leg	2 nd Leg (Intra Day)	Minimum (₹)	Maximum(₹)

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

EQUITY OPTIONS				
Minimum (paise) (per share)	Percentage on Premium (per share)		Amount (per lot)	
	1 st Leg	2 nd Leg (Intra Day)	Minimum (₹)	Maximum(₹)

The above rates are exclusive of Transaction Charges, Service Tax, Education Cess, 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 case basis.

I agree

x

Client's Signature 15

PART - B

VOLUNTARY DOCUMENTS

(As provided by the Stock Broker)

VOLUNTARY

AUTHORISATION BY CLIENT IN RESPECT OF HIS TRADING ACCOUNT

NAME : _____

ADDRESS: _____

Date: _____

To, _____

UNIQUE STOCKBRO PVT. LTD.

Member: BSE Limited (BSE)

Member: National Stock Exchange of India Limited (NSE)

Member: MCX Stock Exchange Limited (MCX-SX)

61/8 Chandanbala, Road # 25C,

Sion West, Mumbai – 400 022

Dear Sirs,

Sub: Authorisation in respect of our client account

We have opened a client account in your company for Investment/Trading/Speculation/hedging in shares & securities in Cash & Derivatives Segment of BSE, NSE & MCX-SX We hereby give you certain operational instructions with respect to the said dealings by us in relative segments of the exchanges.

In addition to the above, We would like to authorize you to execute following acts:

1. We hereby instruct you that the daily contracts notes, quarterly/half yearly/yearly confirmation of funds/securities authenticated by means of digital signatures for the trades executed may be delivered to us through Email. The same will be construed as valid delivery of these documents.

For above purpose our Email Id is _____ & **17** **X**

16

X alternative Email Id is _____.

We hereby confirm that the above email id has been created by us and not by you.

We also state that non-receipt of bounced mail notification to you shall amount to delivery of the contract note at our Email Id.

We undertake to inform you the change in above email id(s) through a physical letter.

Even if the contract is delivered on one of the email ids then it will tantamount to sufficient compliance on your part.

Thanking You,

Yours Faithfully,

X

Client's Signature with Stamp 18

VOLUNTARY
DECLARATION BY CLIENT IN RESPECT OF HIS TRADING ACCOUNT

NAME : _____

ADDRESS: _____

Date: _____

To, _____

UNIQUE STOCKBRO PVT. LTD.

Member: BSE Limited (BSE)

Member: National Stock Exchange of India Limited (NSE)

Member: MCX Stock Exchange Limited (MCX-SX)

61/8 Chandanbala, Road # 25C,

Sion West, Mumbai – 400 022

Dear Sirs,

Sub: Declaration in respect of our client account

As you are aware that we have executed Stock Broker-Client Relationship. In addition to that We would like to declare the followings.

1. Orders: Our orders for purchase/sale of shares & securities will be given to you on telephone or orally during our visit to your office or through our authorized representative in the similar manner.
2. All trades, transactions and contracts are subject to the Rules, Bye - Laws and Regulations of the respective Exchange as per the provisions of the respective Exchange.
3. We are aware that cancellation or modification of an order pursuant to our request is not guaranteed. The order will be cancelled or modified only if our request for cancellation or modification is duly received before the original order is executed.
4. We agree to pay brokerage, service tax and other taxes as applicable from time to time. We also agree to bear and be responsible for the payment of all stamp duties, levies, fees and other similar expenses etc.
5. We are fully aware that investment in securities carries risk & notwithstanding any recommendations made by you, We will take buy/sell decisions at our sole discretion after evaluating such risks and shall not hold you liable for any loss whether notional or actual arising from such purchase/sale.
6. You will not be responsible for any losses or damages resulting directly or indirectly from:
 - a. Any action, omission, suspension of trading decision or ruling of the exchange, regulatory body, governmental body or other body or of other person which is beyond your control (including floor broker, exchange, dealing, clearing house) ; or
 - b. Any war, natural calamities, strike, lock-out, national disaster, act of terrorism, delay in postal service any other delay in the transmission of orders or other information or any other breakdown, failure or malfunction of any telecommunication or computer system or trading terminals.
7. The above force majeure events do not exempt us to fulfill the obligations in our account with the stock broker.

8. In consideration of your handling transaction carried out at the stock exchange I hereby agree that:
- I shall not, acting alone or in concert with others, directly or indirectly, knowing or unknowingly to control or manipulate the particular scrip(s) with or without help of the management of that particular scrip(s).
 - All monies, securities etc. which you may hold on my account shall be subject to a general lien for the discharge of my obligations arising out of my trading with you.
9. We hereby confirm that you have informed me that you undertake proprietary trading.
10. We will take your prior permission before we deal in a Company/Scrip wherein We are an insider as per the provisions of SEBI (Prohibition of Insider Trading) Regulations, 1992.
11. We will not indulge 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 us.
12. We hereby acknowledge that We have received and understood documents on Policies & Procedures and the same is acceptable to us.
13. We are aware of your website www.uniquestockbro.com wherein all communications that you as stockbroker give to your clients including policies, procedures and other related documents.
14. We have received our login ID and password for your website www.uniquestockbro.com from where we can access our accounts position, trade position, daily margin details, ECN etc.
15. We have received and understood literature for PMLA requirements.
16. We have opted for monthly/quarterly option of account settlement for funds.
17. We have opted for receipt of trade confirmations on SMS from yourselves and our mobile number for the same is given hereinbelow:

Mobile Number										
---------------	--	--	--	--	--	--	--	--	--	--

Thanking You,

Yours Faithfully,

x

Client's Signature with Stamp 19

VOLUNTARY
RUNNING ACCOUNT AUTHORISATION

NAME : _____

ADDRESS: _____

Date:

To,

UNIQUE STOCKBRO PRIVATE LIMITED

Member: BSE Limited (BSE)

Member: National Stock Exchange of India Limited (NSE)

Member: Metropolitan Stock Exchange of India Limited (MSE)

61/8 Chandanbala, Road #25C,

Sion West, Mumbai – 400 022

Dear Sirs,

Sub: Running Account Authorization for funds

We are dealing through you as a client in Capital Market ('CM') and Future & Options ('F&O') Segments. We have executed several documents/ mandates in connection with the same. In order to facilitate operations of our trading account opened under Unique Client Code (UCC) mentioned hereinbelow, we 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. You are hereby instructed that actual/ periodic settlement of funds shall be done by you at any day at least once within gap of 30 or 90 days between two settlements of running account in accordance with periodic settlement as indicated by me hereinbelow (hereinafter referred to as '**settlement period**'). While settling the account you will send a 'Statement of Account' containing an extract from our client ledger for funds along with the 'Retention Statement' explaining the retention of funds, if any. We shall prefer periodic settlement of funds at such frequency as given hereinbelow.

Unique Client Code (UCC)	
Settlement Period	My Preference
Once in a 30 days	
Once in a 90 days	

2. We also authorize you to retain following funds at the time of periodic settlement
 - i) Entire pay-in obligation of funds outstanding at the end of day on date of periodic settlement, across all segments
 - ii) Margin liability as on the date of settlement of running account, in all segments and additional margins (maximum up-to 125% of the Cumulative Margin liability of all segments on the day of periodic settlement). The margin liability shall include the end of the day margin requirement excluding the margin on crystalized obligation/ MTM. Hence, you can retain

225% of the total margin liability in all the segments across exchanges excluding the margin on crystalized obligation/ MTM.

- iii) You will first adjust the value of securities (after applying appropriate haircut) accepted as collateral from us by way of 'margin pledge' created in the Depository system for the purpose of margin as per the applicable provisions/ guidelines of margin collection and thereafter you shall adjust/ retain the funds in accordance with SEBI Circular SEBI/HO/MIRSD/DOP/P/CIR/2021/577 dated June 16, 2021 and subsequent guidelines issued by Exchanges from time to time.
 - iv) Excess pledged/re-pledged securities after considering the 225% margin liability as per point no. ii) hereinabove need not be unpledged for the purpose of periodic settlement
3. We would like to inform you that at any point of time if there is debit balance in our account, then I will make the payment before pay-in day notwithstanding running account to that extent.
 4. We will bring any dispute arising from the 'statement of account' and/ or 'Retention Statement' of periodic settlement to your notice within 30 working days from the date of receipt of 'statement of account' and/ or 'Retention Statement'.
 5. You are instructed to transfer the funds (net credit amount across all segments across all stock exchanges) lying in the credit of our account (net credit amount across all segments and across all stock exchanges) within one working day of my request and there shall be no inter-family adjustments.
 6. We have read and understood the content of Policy & Procedures Document and we understand that no interest will be paid to us on the credit balances in our Account at any point of time.
 7. Running account authorization received by you through our registered email id shall be considered as authorization in writing.
 8. We may revoke this authorization at any time by giving notice of revocation in writing sent either physically or through our registered email Id. This running account authorization shall remain in force until it is revoked by us in writing in accordance with terms of SEBI Circular SEBI/MIRSD/Cir/01/2011 dated May 13, 2011.
 9. We are 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.

Thanking you,

Sincerely,

x

Client's Signature with stamp 20

VOLUNTARY

LETTER FOR OPERATING INSTRUCTIONS

NAME : _____

ADDRESS: _____

Date :

To,

UNIQUE STOCKBRO PVT. LTD.

Member: BSE Limited (BSE)

Member: National Stock Exchange of India Limited (NSE)

Member: MCX Stock Exchange Limited (MCX-SX)

61/8 Chandanbala, Road # 25C,

Sion West, Mumbai – 400 022

Dear Sirs,

Sub: Authorisation to Mr./Mrs./M/s _____
to deal with your Company on our behalf

We have become your client for buying shares and securities in cash & derivatives market segment(s).
of the respective stock exchanges as mentioned above. In that connection, I authorise

Mr./Mrs./M/s. _____

or any of his/her/their representative(s) to represent me for all my share and securities dealings with
your company. Also he/she/they shall be authorised to do the following acts/deeds etc. on my behalf.

1. To place orders
2. To take confirmation for orders
3. To receive contracts/contract cum bills
4. To collect payout cheques from you and give it to us and viceversa
5. To make arrangements to receive/give shares in demat accounts
6. To settle our account(s) with your firm
7. To receive half yearly/yearly confirmation of funds/securities
8. Any other matters as may be required to be complied in respect of our dealings

We hereby state that all acts/deeds etc. carried out by Mr./Mrs./M/s _____

_____ shall be binding on us.

Yours Faithfully,

I/We accept

x

x

Client's Signature with Stamp 21

(Signature Name and Stamp)

SNAPSHOT OF POLICY AND PROCEDURE FOR PMLA

1. The Prevention of Money Laundering Act, 2002 (PMLA) came into effect from 1st July 2005.
2. Stock-broker is required to maintain records and report transactions which are suspicious, and cash transactions.
3. Objective of the Act is to prevent money laundering and terrorist financing.
4. Customer due diligence measures will be implemented which includes verification of identity and address of the customer, identifying beneficial ownership and control, conducting ongoing due diligence and scrutiny.
5. No account to be opened in fictitious/benami name or on an anonymous basis.
6. KYC, Mandatory & Voluntary Client Registration Documents.
7. Identity of the client should not match with any person having known criminal background or is not banned in any other manner.
8. Customers will be categorized into higher or lower risk category depending on circumstances of each case and risk based approach will be followed while scrutinizing transactions.
9. Transactions of Clients falling into special categories such as Non-resident clients, High net-worth clients, Companies having close family shareholdings or beneficial ownership, politically exposed persons and so on will be monitored accordingly.
10. Suspicious Transaction will be Monitored & Reported to Financial Intelligence Unit-India.
11. Employees will be hired and trained keeping in view objectives of PMLA.
12. Detailed policy is available with the Stock Broker/Depository Participant and copy can be obtained on demand.

I have read and understood the above.

x

Client's Signature with Stamp 22

VOLUNTARY

DEED OF DECLARATION OF HUF/LIST OF COPARCENERS

NAME : _____

ADDRESS: _____

Date: _____

To,

UNIQUE STOCKBRO PVT. LTD.

Member: BSE Limited (BSE)

Member: National Stock Exchange of India Limited (NSE)

Member: MCX Stock Exchange Limited (MCX-SX)

61/8 Chandanbala, Road # 25C,

Sion West, Mumbai – 400 022

Dear Sirs,

We the undersigned the present Karta or Managing Member and we the undersigned are the present member of our Joint HINDU UNDIVIDED FAMILY known as _____

HUF. We are desirous of opening a trading Account in the name of _____

_____ HUF with you. The said account will be operated by _____

(KARTA) on behalf of _____ (HUF).

We below mentioned persons are coparcener(s) of above mentioned HUF.

Sr. No.	Name	Gender	Relationship	Age	Date of Birth
1					
2					D D M M Y Y Y Y
3					D D M M Y Y Y Y
4					D D M M Y Y Y Y
5					D D M M Y Y Y Y
6					D D M M Y Y Y Y
7					D D M M Y Y Y Y
8					D D M M Y Y Y Y

In the event of the you acceding to our request and opening the account in the name _____

_____ HUF, we undersigned, undertake that

all the transactions undertaken by the said HUF shall be binding not only on the present members of the said joint family (both adults and minors) but also all future members thereof (both adults and minors) and all persons entitled to a share therein and ourselves personally.

Also that whenever any change occurs in the managership or in the constitution of the said joint family of whatsoever nature, we undertake to give notice thereof to you.

Thanking You,

Yours Faithfully

Member(s) of _____ (HUF)

Sr. No.	Name	Designation	Signature
1		Karta	
2		Coparcener	
3		Coparcener	
4		Coparcener	
5		Coparcener	
6		Coparcener	
7		Coparcener	
8		Coparcener	

23

CLIENT MASTER RECORD

Client Name	:									
Client Type	:	<input type="checkbox"/> Corporate	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> LLP	<input type="checkbox"/> HUF	<input type="checkbox"/> Others				
KYC Registered with	:									
Registered Address	:									
Res. Telephone No.	:									
Office / Corres. Add.	:									
Off. Telephone No.	:				Mobile No.	:				
Email id	:				Fax No.	:				
PAN	:				Date of Incorporation:					
Name of Bank	:									
Bank A/c. SB/CA No.	:				MICR No.	:				
Branch	:				IFSC	:				
Demat Client ID No	:				DP ID No.	:				
DP Name	:									
Introducer's /AP/ Sub-Broker's Name	:				Signature	:				

FOR OFFICE USE ONLY

Client Code No.:						Group Code :						Agreement Sr. No. :									
Documents Received : Yes / No						Cash Brokerage code :						Derivatives Brokerage code :									
Auto Pay - in : Yes / No						Delivery %		Trading %		Min. Paise		Future %		Min. Paise							
Voucher No. :																					
Date of A/c. Opening		D D		M M		Y Y		Y Y		Minimum Brok. Per Scrip :				Option		(% on Prem.)		Min. Per Lot ₹		Max. Per Lot ₹	
UCC Uploaded						Sanctioned by :						Index									
NSE		BSE		MCX-SX		Bank Details Verified by :						Equity									
C	F	C	F	C	F	Demat Details Verified by :						Remarks									