

KNOW YOUR CLIENT FORM

FOR TRADING & DEMAT ACCOUNT

CORPORATE MEMBER :
NSE / BSE / MCX-SX / DP (CDSL)

Client Code : _____

Branch : _____

Name : _____

FOR OFFICE USE ONLY

Branch Code & Name : _____ Group ID : _____

Receipt on / by _____ Entered on/by _____

Authenticated by / on _____ DPM Release on / by _____



Oswal Shares & Securities Ltd.

CIN No.: U65910GJ1995PLC024793

Member : NSE / BSE / MCX-SX / ASE / CDSL

605, SAKAR-I, Opp. Nehru Bridge, Ashram Road, Ahmedabad -380 009.-

Tel.: +91-79-30082041-45, 30082050 Fax : +91-79-30082048

E-mail : kalpesh@oswalshares.com

Website : www.oswalshares.com

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Annexure-1 ACCOUNT OPENING KIT

S. No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY			
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent.	3-9
		B. Document captures the additional information about the constituent relevant to Trading Account and Demat Account and an instruction/check list.	10-17
2	Rights and Obligations (Stock Brokers)	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).	18-21
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in these securities market.	22-23
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5	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	26-28
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7	Schedule of charges (Depository Participants)	Schedule detailing the charges levied on the client for transacting in demat account.	30
8	Rights and Obligations (Depository Participants)	Rights and Obligations of Beneficial Owner and Depository participant as prescribed by SEBI and Depositories.	31-32
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Name of stock broker : **OSWAL SHARES AND SECURITIES LTD.** Details of SEBI Registration Numbers and Date:

Exchange	CM Segment	F&O / Equity Derivatives Segment	Currency Derivative Segment
NSE	INB231063133 [04-07-2008]	INF231063133 [07-07-2008]	INE231063133 [23-04-2013]
BSE	INB011063139 [22-09-2005]	INF011063139 [31-12-2010]	INE011063139 (29/11/2013)
MCX-SX	INB261480132 [08-03-2013]	INF261480132 [08-03-2013]	---

Exchange and Segment	Details of Clearing Member
NSE F&O Segment Currency Derivatives Segment	Globe capital Market Limited, 609, Ansal Bhawan, 16 K.G Marg, Connaught Palace New Delhi-110001 Phone: 011-30412345 SEBI Regn No. FOR NSE F&O : AND NSE CURRENCY DERIVATIVE – INZ000295436
BSE F&O Segment & Currency Derivatives	Globe capital Market Limited, 609, Ansal Bhawan, 16 K.G Marg, Connaught Palace New Delhi-110001 Phone: 011-30412345 SEBI Regn No. FOR BSE F&O : AND BSE CURRENCY DERIVATIVE – INZ000295436

Depository Details :	
Name	CDSL
DP ID	12044600
SEBI Reg. No.	IN-DP-CDSL-348-2006
Registered office address	605, SAKAR-1, OPP NEHRU BRIDGE ASHRAM ROAD, AHMEDABAD- 380009 Phone : 079-30082041,42,43,44 Fax:079-30082048 E-mail : kalpesh@oswalshares.com Website : www.oswalshares.com
Correspondence office address	SAME AS ABOVE
Compliance officer's details	Mr. Kalpesh Oswal Phone : 079-40082040,42,43 E-mail : kalpesh@oswalshares.com
CEO's details	MR. Javerilal Oswal Phone : 079-40082040,42,43 E-mail : javerilaloswal@gmail.com

For any grievance/dispute please contact stock broker (Oswal shares and Securities Ltd.) at the above address or email id : complain2grievance@oswalshares.com and Phone No. 079-40082040,42,43. In case not satisfied with the response, please contact the concerned exchange(s) as per following details:

Details of Investor Grievance Cell of Respective Exchanges:

Exchange	e-mail id	Phone no.
NSE	ignse@nse.co.in	022-26598190
BSE	is@bseindia.com	022-22728097
MCEI	investorcomplaints@mcx-sx.com	022-67318931
CDSL	complaints@cdslindia.com	1800-200-5533

4. CONTACT DETAILS* (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction C at the end)

Tel. (Off) - Tel. (Res) - Mobile -
 Email ID

5. REMARKS (If any)

6. APPLICANT DECLARATION

- * I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- * I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : - - - -
 Place:

Signature / Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

- Documents Received Certified Copies E-KYC data received from UIDAI Data received from Offline verification Digital KYC Process
 Equivalent e-document Video Based KYC

KYC VERIFICATION CARRIED OUT BY

Date - - - -
 Emp./AP Name
 Emp./AP Code
 Emp. Designation
 Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **OSWAL SHARES & SECURITIES LTD.**
 Code **I N C V L 1 2 0 0 0 0 3 0 5 8**

OSWAL SHARES & SECURITIES LTD.
 605, SAKAR-I, Opp. Nehru Bridge, Ashram Road, Ahmedabad -380 009.
 Tel.: +91-79-30082041-45, 30082050 Fax : +91-79-30082048
 E-mail : kalpesh@oswalshares.com • grievance@oswalshares.com
 Website : www.oswalshares.com



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

Important Instructions :

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



For office use only

(To be filled by financial institution)

Application Type*

- New Update

KYC Number

(Mandatory for KYC update request)

Account Type*

- Normal Minor Aadhaar OTP based EKYC (in non-face to face mode)

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

Name* (Same as ID proof)

Maiden Name

Father / Spouse Name

Mother Name

Date of Birth*

Gender* M- Male F- Female T-Transgender

PAN* Form 60 furnished

2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction b at the end)

I. Certified copy of OVD or equivalent e-document of OVD or DVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A- Passport Number
- B- Voter ID Card
- C- Driving Licence
- D- NREGA Job Card
- E- National Population Register Letter
- F- Proof of Possession of Aadhaar
- II E-KYC Authentication
- III Offline verification of Aadhaar

PHOTO*

Address

Line 1*

Line 2

Line 3

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

3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or DVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A- Passport Number
- B- Voter ID Card
- C- Driving Licence
- D- NREGA Job Card
- E- National Population Register Letter
- F- Proof of Possession of Aadhaar
- II E-KYC Authentication
- III Offline verification of Aadhaar
- IV Deemed Proof of Address - Document Type code
- V Self Declaration

Address

Line 1*

Line 2

Line 3

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



CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity / Other than Individuals

Important Instructions :

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



For office use only Application Type* [] New [] Update
KYC Number [] (Mandatory for KYC update request)

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

Name* []
Entity Constitution Type* [] Others (Specify) []
Date of Incorporation / Formation* [] Date of Commencement of Business []
Place of Incorporation / Formation* [] Country of Incorporation / Formation* [] TIN or Equivalent Issuing Country* []
PAN* [] Form 60 furnished []
TIN/GST Registration Number []

2. PROOF OF IDENTITY (POI) (Please refer instruction B at the end)

Officially valid document(s) in respect of person authorised to transact
Certificate of Incorporation / Formation [] Registration Certificate []
Memorandum and Articles of Association [] Partnership Deed [] Trust Deed []
Resolution of Board / Managing Committee [] Power of attorney granted to its manager, officers or employees to transact on its behalf []
Activity Proof - 1 (For Sole Proprietorship Only) [] Activity Proof - 2 (For Sole Proprietorship Only) []

3. ADDRESS* (Please refer instruction C at the end)

3.1 Registered Office Address / Place of Business*
Proof of Address* [] Certificate of Incorporation / Formation [] Registration Certificate [] Other Document []
Line 1* []
Line 2 []
Line 3 [] City / Town / Village* []
District* [] Pin/Post Code* [] State/U.T Code* [] ISO 3166 Country Code* []
3.2 Local Address in India (If different from Above)*
Line 1* []
Line 2 []
Line 3 [] City / Town / Village* []
District* [] Pin/Post Code* [] State/U.T Code* [] ISO 3166 Country Code* []

4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided* may be used) (Please refer instruction D at the end)

Tel. (Off) [] - [] FAX [] - []
Mobile [] - [] Email ID []
Mobile [] - [] Email ID []

5. NUMBER OF RELATED PERSONS [] (Please refer instruction E at the end)

6. REMARKS (if any)

[]

7. APPLICANT DECLARATION (Please refer instruction G at the end)

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date: [] Place: [] Signature / Thumb Impression of Applicant []

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received [] Certified Copies [] Equivalent e-document []

KYC VERIFICATION CARRIED OUT BY

Date []
Emp./AP Name []
Emp./AP Code []
Emp. Designation []
Emp. Branch []

[Employee Signature]

INSTITUTION DETAILS

Name OSWAL SHARES & SECURITIES LTD.
Code IN CVL1200003058

OSWAL SHARES & SECURITIES LTD.
605, SAKAR-I, Opp. Nehru Bridge, Ashram Road, Ahmedabad -380 009.
Tel.: +91-79-30082041-45, 30082050 Fax : +91-79-30082048
E-mail : kalpesh@oswalshares.com * grievance@oswalshares.com
Website : www.oswalshares.com

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co Operative Bank / Multinational Foreign Banks/Gazetted Officer / Notary public/Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt, or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members.
7. For Fill/sub account, Power of Attorney given by Fill/sub account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

E. List of people authorized to attest the documents:

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

F. In case of Non-Individuals, additional documents to be obtained from Non-Individuals, over & above the POI & POA, as mentioned below :

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

Details of Promoters/Partners/Karta/Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant _____ PAN of the Applicant _____

Sr. No.	PAN	Name	DIN (For Directors)/ Aadhaar Number (For Others)	Residential / Registered Address	Whether Politically Exposed	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph
					<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO		PLEASE AFFIX RECENT PASSPORT SIZE PHOTOGRAPH AND SIGN ACROSS IT
					<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO		PLEASE AFFIX RECENT PASSPORT SIZE PHOTOGRAPH AND SIGN ACROSS IT
					<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO		PLEASE AFFIX RECENT PASSPORT SIZE PHOTOGRAPH AND SIGN ACROSS IT
					<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO		PLEASE AFFIX RECENT PASSPORT SIZE PHOTOGRAPH AND SIGN ACROSS IT
					<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO		PLEASE AFFIX RECENT PASSPORT SIZE PHOTOGRAPH AND SIGN ACROSS IT

PEP : Politically Exposed Person RPEP : Related to Politically Exposed Person



CVL

Name & Signature of the Authorised Signatory(ies) with stamp



Oswal Shares & Securities Ltd.



ADDITIONAL KYC DETAIL FOR TRADING ACCOUNT AND DEMAT ACCOUNT

(For Individual and Non Individual)

OTHER DETAILS (Individual - First Holder)

- 1. Gross Annual Income Details (Please tick (✓)): Below 1 Lac, 1-5 Lac, 5-10 Lac, 10-25 Lac, >25 Lacs
OR Net-worth in Rs. (*Net worth should not be older than 1 year) as on (date) dd / mm / yyyy
2. Occupation (Please tick (✓) any one and give brief details): Private Sector Service, Public Sector, Government Service, Business, Professional, Agriculturist, Retired, Housewife, Student, Forex Dealer, Others (Please specify)
3. Please tick, if applicable: Politically Exposed Person, Related to a Politically Exposed Person
For definition of PEP, please refer guideline overleaf
4. Any other information:

PREFERENCE FOR RECEIPT OF DOCUMENTS

I wish to receive the KYC documents (RDD, Rights & Obligations - trading & demat & Do's & Don'ts & Other documents.)

in physical, in electronic

CONSENT LETTER TO UPDATE MOBILE NUMBER AND EMAIL ID IN DEMAT AND TRADING ACCOUNTS

Pursuant to SEBI circular bearing Ref. CIR/MIRSD/15/2011 dated August 2, 2011, please note that the mobile number and E-mail id mentioned by me in the KYC/KRA/CKYC from belongs to

Table with 5 columns: Mobile No., My Self, Spouse, Son/Daughter, Father/Mother, Not Available. Rows for Mobile No. and E-mail ID.

Name of Person (Mobile)

Name of Person (E-mail)

BANK ACCOUNT DETAILS/DIVIDEND BANK DETAILS FOR TRADING ACCOUNT & DEMAT ACCOUNT (To be filed by the applicant in BLOCK LETTERS in English)

Main/Default Bank Detail/Dividend Bank and Additional Bank Detail form with fields for Bank Name, Branch, Address, A/C No., A/C Type, MICR CODE, IFCS CODE, ECS/RTGS/NEFT.

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

ADDITIONAL KYCFORM FOR OPENING A DEMAT & TRADING ACCOUNT

FOR INDIVIDUALS & NON-INDIVIDUALS

Application No. (To be filled by the Depository Participant)

Date

DP Internal Reference No. DP ID : **12044600** Client ID :

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

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

HOLDERS DETAILS		PAN / UID	
Sole/First Holder's Name		PAN	<input type="text"/>
Search Name		UID	<input type="text"/>
		UCC	<input type="text"/>
		Exchange Name & ID	
Second Holder's Name		PAN	<input type="text"/>
		UID	<input type="text"/>
Third Holder's Name		PAN	<input type="text"/>
		UID	<input type="text"/>
Name *	<input type="text"/>		

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

TYPE OF ACCOUNT (Please tick whichever is applicable) (INCASE OF INDIVIDUAL)		
STATUS	SUB STATUS	
<input type="checkbox"/> INDIVIDUAL	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c. (MANTRA)	<input type="checkbox"/> Individual - Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others (Specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI Non - Repatriable <input type="checkbox"/> NRI Non - Repatriable Promoter <input type="checkbox"/> Others (Specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National – Depository Receipts <input type="checkbox"/> Others (Specify) _____	

DETAILS OF GUARDIAN (in case the account holder is minor)	
Guardian's Name	PAN <input type="text"/>
Relationship with Applicant	<input type="text"/>

STANDING INSTRUCTIONS						
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic credit] <input type="checkbox"/> Yes <input type="checkbox"/> No					
I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further instruction from my / our end. (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No					
Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly						
I / we request you to send Electronic Transaction cum Holding Statement at E-mail ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No					
I / We would like to share the email ID with the RTA						
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical / Electronic/ <input type="checkbox"/> Both Physical & Electronic					
I / we wish to receive dividend / interest directly in to our bank account as given below through ECS (If not marked, the default option would be 'Yes') (ECS is mandatory for locations notified by SEBI from time to time)	<input type="checkbox"/> Yes <input type="checkbox"/> No					
SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4	MOBILE NO. +91 <input type="text"/> (Mandatory, if you are giving Power of Attorney (POA) (If POA is not granted & you do not wish to avail of this facility, Cancel this Option) <input type="checkbox"/> Yes <input type="checkbox"/> No					
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure-2.6 (If marked 'Yes')	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No					
	I / We wish to register the following clearing member IDs under my / our below mentioned BO ID registered for TRUST					
	<table border="1"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)	<input type="text"/>	<input type="text"/>
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)				
<input type="text"/>	<input type="text"/>	<input type="text"/>				
easi	To register for easi, please visit our website www.cdslindia.com easi allows a BO to view his ISIN balances, transactions and value of the portfolio online. <input type="checkbox"/> Yes <input type="checkbox"/> No					
1. Whether you want to opt for RGESS	<input type="checkbox"/> Yes <input type="checkbox"/> No					
2. Consolidate Account Statement (CAS) Do you wish to receive CAS for all Securities Assets.	<input type="checkbox"/> Yes <input type="checkbox"/> No					

OPTION FOR ISSUE OF DIS BOOKLET

I / We hereby state that

- Option 1 :** I/We require you to issue delivery instruction slip (DIS) booklet to me/us immediately on opening my / our CDSL account through I/We have issued a Power of Attorney (POA) executed PMS Agreement in favour of with Oswal Shares & Securities Ltd. for executing delivery instruction for setting stock exchanges tra [settlement related transactions] effected through such Clearing Member / PMS Manager.
- Option 2 :** I/We do not require the Delivery Instruction Slips (DIS) for the timebeing, since I/We have issued a POA / executed PMS agreement in favour of / with Oswal Shares & Securities Ltd. for executing delivery instructions for setting stock exchange trade (settlement related transaction) effected through such Clearing Mamber / PMS Manager However the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my / our request at any later date.

DEPOSITORY ACCOUNT DETAILS :**Main / Default DP Detail**

DP Name : _____

DP Address : _____

DP ID : _____ Client ID : _____

POA : Yes NoDpository : CDSL NSDL**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			
NSE	Cash	<input type="checkbox"/>	<input type="checkbox"/>	Currency Derivative	<input type="checkbox"/>
	F&O	<input type="checkbox"/>	<input type="checkbox"/>	Currency Derivative	<input type="checkbox"/>
BSE	Cash	<input type="checkbox"/>	<input type="checkbox"/>	Currency Derivative	<input type="checkbox"/>
	F&O	<input type="checkbox"/>	<input type="checkbox"/>	Currency Derivative	<input type="checkbox"/>
MSEI	Cash	<input type="checkbox"/>	<input type="checkbox"/>	Currency Derivative	<input type="checkbox"/>
	F&O	<input type="checkbox"/>	<input type="checkbox"/>	Currency Derivative	<input type="checkbox"/>

E. PAST ACTIONS :

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

Yes No (If yes, please specify details) _____

DEALING THROUGH OTHER STOCK BROKERS :

Whether dealing with any other stock broker (In case dealing with multiple stock brokers provide details of all)

Name of stock broker _____

Client Code: _____ Exchange: _____

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

ADDITIONAL DETAILS:Whether you wish to receive : physical contract note Electronic Contract Note (ECN)

Email id: _____

Mobile No. : _____ (for receiving SMS Alerts)

Whether you wish to avail of the facility of internet trading/ wireless technology:

 Yes No Number of years of Investment/Trading Experience: No Prior Experience ___ years in Equities ___ Years in Derivatives ___ Years in other Investment Field

In case of nonindividuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: _____

Any other information: _____

SETTLEMENT OF CLIENT : Once in a Month Once in a Quarter**INTRODUCER DETAILS (optional)**Name of the Introducer: _____
(Surname) (Name) (Middle Name)Status of the Introducer: Sub-broker Remisier Authorized Person
 Existing Client Others, please specify _____

Address and phone no. of the Introducer: _____

Signature of the Introducer: _____

ADDITIONAL DETAILS FOR NON - INDIVIDUAL

TYPE OF ACCOUNT (Please tick whichever is applicable)		SUB STATUS								
STATUS		To be filled by the DP								
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify)										
SEBI Registration No. (If applicable)		SEBI Registration Date	D	D	M	M	Y	Y	Y	Y
RBI Registration No. (If applicable)		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
Nationality :	<input type="checkbox"/> Indian <input type="checkbox"/> Other (Specify)									

OTHER DETAILS :

1. Gross Annual Income Details (Please tick () Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac 25 Lacs-1 Crore > 1 Crore

2. **Networth in ₹** _____ as on (date)

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

(Networth should not be older than 1 year)

3. **Is the entity involved / providing any of the following services :** Yes No
 - For Foreign Exchange / Money Changer Services Yes No
 - Gaming/Gambling/Lottery Services (e.g. casinos, betting syndicates) Yes No
 - Money Lending / Pawning Yes No

4. **Any other Information :** _____

CLEARING MEMBER DETAILS (To be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading Member ID	

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

DECLARATION :

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

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

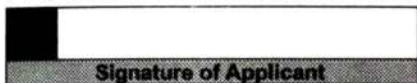
(Signatures should be preferably in black ink).

FOR OFFICE USE ONLY:

UCC Code allotted to the Client : _____

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee AP			
Employee Code of TM			
Designation of the employee			
Date			
Signature			

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

For, **Oswal Shares And Securities Ltd**

Date :

Seal / Stamp of the Stock Broker

INSTRUCTIONS / CHECKLIST :

Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents.

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

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 nominee, 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. 46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/ SEBI.

47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/ regulations / notices / circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/ SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.


Signature of Applicant

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

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

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


Signature of Applicant

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

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

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

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable

price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

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

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

2.1 Effect of "Leverage" or "Gearing":

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

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

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

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of

governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

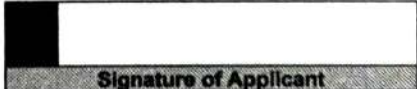
1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or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

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

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



BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.

12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/ deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as

the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

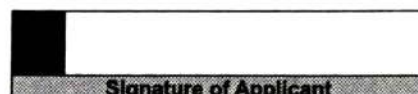
IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges give a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/COMPLAINTS

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


Signature of Applicant



POLICY AND PROCEDURES

This is mandatory/compulsory document from Broker and requires your utmost care attention and understanding. This is additional requirements from broker which if contravenes any rules regulations, articles, byelaws, circulars, directives and guidelines of SEBI and Exchanges shall be null and void. (Refer SE BI Circular No. M IRSD/SE/Cir-19/2009 dated 3-12-2009)

Dealing in Penny Stocks

Generally, the broker refuse to enter any order of clients for penny stocks, the client is required to adhere to exchange/members guidelines and due diligence while trading in such scrips. Even trading in such scrips is very risky. As such, the stock broker may from time to time limit (quantity/value)/refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies), the order being for securities which are not in the permitted list of the stock broker / exchange(s) / SEBI or liquid scrips, Depending on the market condition and risk management policy of the company. The stock broker reserve the right to refuse to provide limit in Penny Stocks and losses if any on account of such refusal shall be borne by the client only. We the broker, do hereby warn the client not to deal in any penny stocks. However, Broker at its sole discretion, may allow or disallow the clients (on case to case basis) to deal in penny stocks. subject to rules, regulations, articles, byelaws, circulars, directives and guidelines of SEBI and Exchanges as well as considering the prevalent market and other circumstances, as related point of time. The exposure limit in such scrip shall vary from client to client subject to RMS Policy of Broker and prevalent market condition from time to time without prior notice.

Client's Exposure Limit

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits tonumber, value and/or kind of securities in respect of which order can be placed etc.) The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits not limited on account of exchange/SEBI directions/limits (such as broker level/market level limits in securities specific/ volume specific exposure etc.) and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agree that the stock broker shall not be responsible for such variation, reduction or imposition or client's inability to route any order through stock broker's trading system on account of such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place order or trade in securities through the stock broker, or it may subject any order placed by the client a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin, securities or the order being outside the limit set by stock broker/exchange/SEBI and any other reasons which the stock broker may deem fit and proper in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the clients alone. The stockbroker has margin based Risk Management System. Client exposure limits are set based on collateral and funds deposited by the client. The type of acceptable collateral as well as the exposure limit varies from client to client depending upon the profile and the channel of trading of the client.

Brokerage Rate :

The broker discloses that it shall charge a brokerage at the rate being agreed by the client with Broker (including its branches or sub-brokers) as per tariff sheet executed by the client and depending upon market circumstances or as may be prescribed in KYC document / Back office Software. However, the broker shall adhere to the maximum permissible limit (presently not to exceed 2.5%) as may be prescribed by SEBI/Exchanges from time to time. On option segment of Exchange. It is hereby disclosed that brokerage shall not exceed 2.5% of the premium amount or Rs. 100/- (per lot) whichever is higher.

Imposition of Penalty/Delayed payment Charges :

The client agrees that any amounts which are overdue from clients towards trading or on account of any other reason to the stock broker, will be charged with delayed payment charges @ 12% to 21% p.a. (depending upon prevalent market rate). The client agrees that the stock broker may impose fines/penalties for any orders/traders/deals/ actions of client which are contrary to this agreement or understanding as per KYC documents / rules / regulations / byelaws / circulars / guidelines / direction of the Exchange or SEBI or under any other law for time being in force at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with or as a consequence of or in relation to any of the orders/trades/deals/actions of the client the same shall be borne by the client.

However, the client discloses that he/she/it is aware and specifically agree that charging of delayed payment charge by stock broker is just an additional/ad-hoc facility and shall not be construed/resulted into permanent practice leading of funding by broker in contravention of applicable laws.

Sell of Securities or Closing Open Position :

The client also agrees and confirms and undertake to immediately deposit with the stock broker such funds, securities or other acceptable security which the stock broker may in its own discretion from time to time require as margin. The client agrees that the stock broker shall be entitled to require the client to deposit with the stock broker a higher margin that prescribed by the Exchange. The client is liable to pay an initial margin upfront on or before creating a position in any Derivatives Contract. Such margin shall be decided upon by the stock broker or the Exchange from time to time. Furthermore, the client is liable to pay (or receive) daily margins depending on whether the price of derivatives contract moves for or against the position undertaken. The client may also be liable to pay withholding margin, special margin or such other margins as are considered necessary by the stock broker or the Exchange from time to time. The stock broker is permitted its sole and absolute discretion to collect additional margins (even though not imposed by any exchange or SEBI) and the client shall be obliged to pay such margins. In case the client does not provide the required margin or any other payment whatsoever within the time frame specified by the stock broker, the stock broker shall have the right to appropriate and / or sell and / or instruct to sell and/or transfer all or any securities or money in client's account and/or any associated account and/or any proceeds thereof, square-off all or any outstanding positions, prevent any new orders from being placed and / or executed by the client or take such other action as the stock broker thinks fit and proper. The stock broker may exercise all or any of the above rights in such manner as the stock broker may think appropriate, without demand for additional margin, security or collateral or advance notice or advertisement on any exchange or other market where such business can be transacted, at a public auction or by private sale and the stock broker may be the purchaser/seller for its own account. The giving of any prior demand, call or notice shall not be considered as a waiver of the stock broker's right to exercise its rights without any such demand, call or notice. The client agrees that in case of high market volatility, the stock broker may require that client to pay instantaneous margins in addition to the margins that may already have been paid by the client as per margin calls. The client agrees that the stock broker may be compelled to in such to in circumstances of extreme market volatility, square-off all or any outstanding positions, prevent any new orders from being placed and / or executed by the client or take such other action as the stock broker thinks fit and proper, even without calling for the payment by the client, of the aforesaid instantaneous margins by the client. In case of short fall in the margin, the stock broker shall check for availability of additional limits in client's associated account(s) to see whether adequate additional limits are available to restore the margin level to the initial margin level and if no such limits are available then the client's outstanding positions may be squared-off by the stock broker, at its discretion, with notice to client. If the client has entered into a short sale or long purchase then the stock broker shall be entitled to, at any time before the client has



squared-off his short sale or long purchase position, square-off and/or carry forward the whole or part of the same on any day, at any place and in any manner as the stock broker thinks fit, or permit the exchange to close out or auction such position, and the aforesaid shall be at the client's sole risk and cost.

In case of such square-off trades executed by us, pursuant to margin calls made to client, in any appropriate form, the same may be indicated through remark column in the contract note.

"As per the SEBI circular No. CIR/HO/MIRSD/DOP/CIR/P/2019/75 Dtd. 20-6-2019 on handling of clients securities Oswal Shares & Securities Ltd. shall transfer the securities purchase by the client to clients demat account within one working day of the pay out if clear payment is received from the client and if the client fails to make the payment in full than Oswal Shares & Securities Ltd. shall transfer the securities to the "Client unpaid securities account (CUSA)". The securities kept in the CUSA shall either be transferred to the Demat account of the client upon fulfillment of its funds pay in obligation or in case of the payment is not received by the client it shall be disposed of in the market by Oswal Shares & Securities Ltd. within 5 trading days after the date of payout without any notice to the client to the extent of demat balance of the client and/or as per the risk management policy of Oswal Shares & Securities Ltd. and balance securities shall be transferred to the respective clients demat account"

Shortage in Obligation and Internal Auction :

The stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from Exchange, the clearing corporation/house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligation first. In case of default in security pay in by the client and the shortage is a member level i.e. internal shortage then the benefit calculated at the next day's closing rate after pay-out day shall be recovered from the defaulting client and passed on to the respective beneficiary client. In case of the default of securities pay-in by the client and the shortage is from the exchange, auction value of the respective exchange plus penalty (decided by the member from time to time) plus brokerage and other statutory charges shall be recovered from the defaulting client. In the case of funds default by the client, the member shall be liquidating the stocks to recover the money, Any shortfall arising out of liquidating securities by the members shall also be recovered from the defaulting client along with interest (decided by the member from time to time)

Restrictions/Prohibition to take further position or closing existing position)

Under any of the circumstances, such as, client's failure to meet pay-in or margin obligations or clearance of outstanding/debit balance with broker before permissible time limit or beyond such period as may be allowed by broker as per its RMS policy, the client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. Even, broker can firstly set-off or adjust the payment or securities towards various dues and obligation of the client and until the full clearance of the same, shall not allow the client to take further/fresh position. Further, it would be the duty of the client to monitor his/her/its position with the broker from time to time. In case of any delay or failure in meeting any obligation, margin requirements etc. from client side, broker might close the existing position or open position **WITHOUT ANY FURTHER INFORMATION** to be client as per RMS policy. Notwithstanding anything contrary stated in the KYC documents, the stock broker in its absolute discretion, shall impose such restriction(s) or prohibit the client from taking further position or close out existing position or terminate broker- client relationship, in happening of any of the following or under any of the following circumstances which may include without any limitation,

- (i) other circumfailure to meet pay-in obligation on T+1 day
- (ii) delay in meeting the pay-in or margin requirement.
- (iii) delay or failure in clearance of outstanding or dues to the broker.
- (iv) returning or frequent returning of cheque(s) of the client
- (v) Unnecessary/ Unwarranted dispute from client without any substantial cause/reason
- (vi) Client's attitude of not coming to the amicable settlement for any dispute that can be settled without involvement of Exchange and /or SEBI.
- (vii) As per prevalent surveillance action or RMS policy of the Broker from time to time. under any law in force.
- (ix) On the death/lunacy or any other disability of client;
- (x) If a receiver/liquidator/administrator has been appointed or allowed to be appointed for all or any part of the undertaking of the client :
- (xi) If the action of the client is/are prima facie illegal/improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others:
- (xii) If the client has voluntarily or compulsorily become the subject to proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers to itself to the BIFR or under any other law providing protection as a relief undertaking.
- (xiii) In case of partnership client, the partnership has taken any steps for dissolution of partnership.
- (xiv) If the client has made any material misrepresentation of the facts, including without limitation in relation to the funds and/or security.
- (xv) If there is reasonable apprehension to the Stock broker that the client is unable to pay his/her/its debts or has admitted its inability to pay, as they become payable.
- (xvi) If the client suffers any adverse material in any other agreement or understanding or obligation with the stock broker.
- (xvii) If any covenant a warranty of the client is incorrect or untrue in any material respect.
- (xviii) Under such circumstances as the broker might think just and proper on case to case basis.

Suspension / Deregistering of Client Account :

The Broker and/or client may suspend Client's Trading Account from further dealing in the securities market through the broker in follow circumstances.

- (a) as per Client's prior written request of at least 3 days submitted to Broker at its Ahmedabad H.O. duly acknowledged by Broker (subject to clearance of entire outstanding/obligations) subject of client accepting/adhering to conditions imposed by the stock broker including but not limited to settlement of account/release of holds and/or obligation.
- (b) Dormant or in-active status of client account beyond specified time limit as may be prescribed by Broker from time to time.
- (c) Under any circumstances mentioned (i) to (xviii) above

Policy for Dormant / In-active account :

As per Broker's RMS policy, the account in which no transaction has taken place during the period of 12 months or such other period from the date of last transaction, the same shall be considered as Dormant/In-active account.



In order to reactive the account, client needs to instruct the Broker in writing with all the required data and documents with actual presence of the client. atleast 2 days in advance at its Ahmedabad H.O. The Broker will try to promptly reactive the said account subject to fulfilment of and as required by the exchange such conditions as Broker may consider fit and proper, and as required by the exchange. Such written request may also be sent by Client himself to Oswal Shares & Securities Ltd. from client's own e-mail account registered with Broker. However, Broker may in its own discretion, waive/reduce the period of 2 days as the circumstances may warrant on case to case basis.

Client's acceptance of policies and procedures started herein above.

I/We have throughly read and fully understood the same and do heresign and agree not to call into question the validity enforce ability and applicability or any provision/clauses of this document under any circumstances what so ever. These policies may be amended/changed unilaterally by the stock broker provided the change is informed to me/us through any one of more means / methods such as post/speed post/courier/regd. post/regd.ad/fcsimile/telegram/e-mail/voice mail/telephone (telephone includes such devices as mobile phone etc.) including SMS on the mobile phone or any other similar divice/by messaging on the computer screen of client's computer/informing the client through the employees/authorised persons of the stock broker/by publishing or displaying it on the website of stockbroker/making it available as a download from the website of the stock broker/broad-cast etc. or any other suitable or applicable mode or manner. I/We agree that the delivery shall be complete when communicatin is given to the postal department / courier company / the e-mail/voice mail/SMS service provider etc. by the stock broker and I/We agree never to challange the same on any grounds including the delayed receipt/non-receipt of any other reason what soever. These policies and procedures shall always be read along with other provisions of the KYC mandatory documents and shall compulsorily referred to while deciding any disputer / difference or claim between me/us and stock broker before any court of law/arbitrator or mediator/judicial/adjudicating authority etc.

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Client's Signature

TARIFF SHEET

Branch Brokerage	Client Code :		2nd Leg (Same day)			
			% age	Min.	% age	Min.
		Trading				
		Delivery				
		F & O				
		Call-Option				
		MCX - SX				

Notes:

- (1) Brokerage will be charged within the limits prescribed by SEBI/Exchanges and in %age on transaction value basis as shown above.
- (2) Brokerage will be charged on per share basis, rounded off to nearest 2 to 4 decimal points as per back office software of the stock broker and then multiplied with the total number of shares, in order to calculate total brokerage per transaction payable by the client.
- (3) Apart from Brokerage as agreed with you and as disclosed here in above, various other statutory levies at actual from time to time like GST, Stamp duty, Security transaction tax, SEBI fees, Exchange transaction charges and other charges if any, are levied as applicable from time to time.
- (4) Oswal Shares and Securities Ltd. reserves the right to revise the brokerage structure, by publishing / displaying the same on its website www.oswalshares.com and by conveying the same on registered email of client or on a registered address with 30 days prior notice.
- (5) Oswal Shares and Securities Ltd. may levy additional charge for any additional / extra service sought by you.

Client's Name : _____


Signature of Applicant

Date :

**TERMS AND CONDITIONS-CUM-REGISTRATION /
MODIFICATION FORM FOR RECEIVING SMS ALERTS FROM CDSL**

FOR DEMAT ACCOUNT

DEFINITIONS:

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

AVAILABILITY:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.

4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

RECEIVING ALERTS:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the

depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.

5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

FEES:

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

DISCLAIMER:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty

with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

LIABILITY AND INDEMNITY:

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

AMENDMENTS:

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

GOVERNING LAW AND JURISDICTION:

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

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/We consent to

CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

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

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

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

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

BOID

1	2	0	4	4	6	0	0												
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--

(Please write your 10 digit Client ID)

First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which :

+91																			
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

messages are to be sent : (Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of : _____

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

B. O. SIGNATURE

First / Sole Holder

Second Joint Holder

Third Joint Holder

Place : _____

Date : _____



To,
Oswal Shares & Securities Ltd.
(Member of NSE, BSE, MSEI)

I/WE UNDERSTAND THAT THIS IS PURELY A VOLUNTARY DOCUMENT AND SHALL FORM PART OF THE NON MANDATORY DOCUMENTS OF MY KYC FORM, INCASE IF ANY OF THE CLAUSES OF THIS DOCUMENT SHALL DILUTE YOUR RESPONSIBILITY AS A STOCK BROKER OR IN CONFLIT WITH ANY OF THE CLAUSES IN THE MANDATORY DOCUMENTS, RULES, BYE-LAWS, REGULATIONS, NOTICES, GUIDELINES AND CIRCULARS ISSUED BY SEBI AND THE STOCK EXCHANGES FROM TIME TO TIME, THE SAME SHALL STAND NULL AND VOID.

1. I/We (herein after referred to as Client at some places) do hereby declare that I am/We are regular investor in the stock markets in India and as such I am/We are conversant with the laws, practices, rules, regulations, guidelines, circulars, notifications etc. prescribed by securities & exchange board of India (SEBI), National Stock Exchange of India (NSE) Bombay Stock Exchange Ltd. (BSE).
2. I/We wish to transact through Oswal Shares & Securities Ltd. (herein after referred as OSSL /Stock Broker/Member/you) and as such this document will operate for any/all /the segments of NSE and/or BSE whether CM segment, F&O Segment, Currency Derivatives Segment or such other segment as the OSSL may become a member, in future, of those Exchanges and when I/We become client of that/those segment(s).
3. I/We understand and agree that you can debit my/our accounts either for any additional services provided by you as per my/our oral requests depending upon opening of my/our relevant account(s) or as may be required in compliance with applicable provisions of law.
4. I/We further declare that I am/We are aware of the illegal practices, if any, that may be prevalent in the Stock Market and I/We assure you that I/We will not indulge into the same.
5. I/We further declare that I/We will not carry out any unfair trade practices such as Synchronized Deals, Structured Deals, Circular Trading, Insider Trading in the Capital Market and/or F&O Market and/or Currency Derivatives Market.
6. I/We further declare and confirm that I/We will not place any order or carry out any trades/transactions on the Exchange which will reflect as an arrangement for profit or loss transaction or crsos deals. Further, all the orders placed on the Exchange through you will be in the normal market at normal / prevailing market prices and only in Liquid Securities/Scripts and not at unrealistic prices where there is corresponding underlying securities positions in the cash or futures segment of the Exchange in case any of my/our transactions being declared as violative to any rules / regulations / byelaws / circulars / directions /guidelines etc. of Exchange/SEBI /SCRA. I/We will be solely responsible for all penalties/charges/damages etc. levied from you by the Exchange and accordingly do hereby undertake to reimburse/pay the same to you.
7. I/We further declare and confirm that the shares/securities provided/being provided to you under margin pledge mechanism are generally for the purpose of availing exposure limits/margin limits/towards collaterals in CM, F&O and CD Segment of the Exchange.
8. I am/We are further declare that as on the date of registration as your client, I am / We are eligible to transact in the securities market as per applicable rules, regulations, byelaws, circulars, guidelines etc. of SEBI, NSE and/or BSE and have not been banned/restrained to transact in the securities market by any Exchange or statutory authorities and whatever permissions/prior permissions, as may be required from government authority(ies) have been obtained by me/us.
9. I/We further declare that I/We will not give any third party shares for settlement of my/our obligations to the Exchange. I/We further understand and agree that, for any reason, if any third party delivery is delivered to you, without prejudice to your right to reject the same upfront and without my/our notice/information or without your right to levy any further charges/auction charges/penalties upon me/us as you may think fit and proper, at my/our sole risk, you can take such action as you may deem fit and proper including but not limited to suspension of my trading code or withholding of funds and/or securities.
10. I/We further declare that I/We will not receive or give any monies in cash or in kind for completing the settlement obligations, either pay-in or pay-out or margin etc. to the Exchange.
11. I/We declare and confirm upfront that the securities pledged, if any, towards margin / collaterals or pay-in obligation etc. shall absolutely be free from any lien/encumbrances of whatsoever nature.
12. I/We have been informed by the trading member that in case the trading member does not receive any bounced mail or delivery failure notice from my/our side in case of ECN, if would tantamount to successful delivery of the contract notes and other documents
13. Considering my/our account to be maintained on Running Account basis only for funds, I/We also request you, subject to settlement on monthly or quarterly basis as per my / our wishes, to consider to balances in my / our running funds account with you for the purpose of margins / any other obligations due to you. In view of the above it would be proper for you to release the funds and securities (CUSA) due to us/me on our/my specific request, either written or oral and only to the extent demanded by me/us. I/We will make payments to you for bills raised by you or by way of journal voucher entries or other accounting entries in my/our client ledger maintained in your books of accounts.
14. (a) Notwithstanding anything contrary contained in the KYC documents between us, I/We hereby inform you that I/We have opened/desired to open Trading Account with OSSL as a member of NSE and/or BSE and/or such other exchange(s). I/We hereby request you to transfer, make adjustments and/or to set off, a part of whole of the securities placed as margin and/or any surplus funds in any of my/our account(s) maintained with you against the outstanding dues payable if any, by me/us in any of my/our account(s). OSSL Stockbroker will be right to lien on the credit balance(s) in any of my/our accounts/ Any entries passed by you in accordance with this authorization shall be binding on me/us. I/We am/are agreeable that if you can consider, as per your RMS policy from time to time, the credit balance of funds and share be treated as margin for both cash and derivatives segment. I am/We are also agreeable for transfer of credit balances in margin account/client account of cash segment towards adjustment debit balance in margin account/Client account of derivatives segment and vice-versa. I am/We are also agreeable for transfer of credit balance in margin account/client account of cash and derivatives segment of NSE against debit balance in margin account/client account of cash and derivatives segment of BSE and vice-versa. I am/We are agreeable to inter-settlement transfer of securities towards payin/pay out of securities in the future/past settlement. I am/We are agreeable for and authorise you to withheld funds and / or securities of pay-out towards all the applicable margins and debits.
- (b) In consideration of you the Stock Broker agreeing to this, I/We the Client agrees that if any amount is overdue from me/us you may charge delayed payment charges as per you RMS policy from time to time and thus. The over dues including the interest on delayed payment, shall



be adjusted by you from dues to be payable to me/us to the extent of debit/obligation. Thus I/We as your client authorizes you the Stock Broker to make adjustments and/or to set off a part or whole of the securities placed as margin/collateral and/or any credit in any account as a Client so maintained with you or against the outstanding dues in any of the account maintained by me/us with the Stock Broker to the extent of debit/obligation. I/We further authorize you-the stock broker to sell the securities including pledged securities to the extent of debit/obligation to recover any dues payable to the extent of debit/obligation by me/us to the Stock Broker. This authorization shall be treated as standing authorization and any entry passed or adjustments done by you-the Stock Broker to give effect to this authorization shall be binding on me/us as your Client. I/We as your Client understands and confirms that this authorization forms basis for you as a Stock Broker to give trading limits/exposure limits, and for any other facilities offered by you to me/us. I/We also understand that according to the rule byelaws and regulations of the exchange and SEBI, you the Stock Broker, are required to maintain segment wise/exchange wise account of the Client.

- (c) I/We do hereby agree and declare that I am/We are aware that the Exchanges require the Stock Broker to maintain the client account for each Exchange/segment separately. For this purpose Stock Broker may allocate the payment received from client for any exchange/segment. Similarly the client authorize the Stock Broker to pass such entries to adjust the debit or credit balance of the client in trading account of or Exchange/segment to the other or vice versa. The client also authorize the Stock Broker to maintain consolidated account of the client to facilitate the day-to-day operations. Such consolidation and segregation of client account as maintained by the Stock Broker shall be binding on the client. Without affecting the generality of the aforesaid. I/We and you OSSL i.e. the parties hereto agree as follows.
- (i) **Money pay-in to Stock Broker.** The client agrees that all payments due to the Stock Broker will be made within the specified time and in the event of any delay, the Stock Broker may refuse, at their discretion, to carry out transactions on behalf of the client. The client agrees that alternatively, the Stock Broker may square off such transactions or close-out the position and the costs/losses if any, thereof shall be borne solely and completely by the client. All payments made to the Stock Broker shall be from the account of client and shall not be from any third party. It is also agreed and confirmed that the stock broker as informed me/us that third party delivery/cheque will NOT be accepted but if Stock Broker has inadvertently accepted any third party payment given by me/us directly to the bank A/c of Stock Broker, without its knowledge or information, the same shall be considered as sole bonafid purpose of the Client so as to meet any obligation of the client and no claim of such payment shall lie of the person from whose bank account the payment has been made and the client agrees and confirms the sole responsibility of what so ever nature, if any, imposed upon the stock broker by Exchange or any other authority.
- (ii) **Money pay-out by Stock Broker :** Notwithstanding anything continue in any other clause, if any, between the parties hereto, the client hereby authorizes the Stock Broker to release all payments due to him from the trading account maintained with the Stock Broker, against the specific requis in that behalf made in the manner and following the procedure laid down in the terms and conditions. For the purposes of the clause, any request made through or on the web-site or otherwise intimated shall be sufficient for the Stock Broker to execute an instruction. Any payment made to the designated bank account or in the name of the client as per information available with the Stock Broker shall be deemed to be payment made to the client.
- (iii) **Securities pay-in to Stock Broker :** Any delivery to be effected to the Stock Broker for a trade, must be made well within the prescribed time limit as per settlement schedule of the exchange. However, stock broker may accept or reject any late delivery than as started above. Losses, if any, that may accrue in the event of default in completing the delivery on the Exchange by the Stock Broker as a result of any delay in the delivery by the client, shall be borne solely and completely by the client. Losses for the purposes of this clause shall include auction debits/penalty charges, if any incurred as a result of non-delivery of securities on the settlement date on the Exchange. No third party shares will be sold through the Stock Broker or third party payment should be made to Stock Broker and client will be solely responsible for any violation. If the client has sold any securities in anticipation of receipt of securities from the exchange against purchase in previous settlements, such sale shall be at the sole risk as to costs and consequences thereof of the client.
- (iv) **Securities pay-out by stock broker :** The Stock Broker may directly credit the demat account of the client with the depository participant provided that if the order placed by the client through the web-sit or otherwise is for securities which are in no-delivery period, such securities shall be credited to the trading account of the client only the time of settlement of traders, as per the schedule of the Exchange. However, if any sum is due from the client the Stock Broker may withhold the credit of securities to its own beneficiary demat account or the demat account of the client.
- (v) **Securities shortages in pay in and pay out :** The client agrees to be bound by the guidelines, including the rules pertaining to adjustment of shortage in the client's position in securities transacted on behalf of the client, by the Stock Broker, either through orders placed through the use of the IBT or e-broking services and dial-up services of the Stock Broker from time to time. In case of internal shortage of securities, any entry passed to the account of Client in accordance with practice, consistently followed by the Stock Broker across all its Clients as may be consonance with stock exchange market/practices, shall be binding on the Client, Further in case of shortage of securities, the Client authorizes the Stock Broker to borrow shares on behalf of the Client and debit the charges for the same to the Client's account maintained with the Stock Broker. (vi) Stock Broker is entitled to consider any sum or money or pledged security lying to the credit of the Client as margin received.
15. I/We have beneficiary account with OSSL DP bearing demat account no. _____ I/We find it extremely inconvenient to give cheques against your depository bills. Hence, I/We hereby authorise you, subject to applicable provisions, if any, to debit the trading account maintained with you for the debit charges payable by me/us to you as a DP for providing depository services to my/our trading account balances.
16. As regard the placement of orders, although you had insisted on written instruction for placing orders, considering the practical difficulties faced by me/us in complying the same, I/We would request you to accept orders placed by any other means other than written. Further note that, I/We do not require any order/trade placement or confirmation or modification or cancellation slips.
17. I/We have no objection if due to punching errors you might have to change the client codes for trade done as the circumstances may warrant, as per the rules and regulations of the Exchange.
18. I am/We are aware, agree and confirm that for non-payment of any margin money / pay-in obligations, you the stock broker may sell all/any of the securities held by broker towards margin/collaterals/credit balance lying in my/our client's account or may square up all/any open position to fulfill these requirements to the extent of Debit Balance or Obligation as the circumstances may warrant.
19. You being a Member disclosed that you are doing proprietary trading along with client Business and as such I/We have noted the same
20. I/We specifically consented not to indulge into any off market transactions leading to dubba-trading.
21. I/We have also noted the details of your compliance officer including you designated E-mail ID for complain / grievances redressal.
22. I/We shall not indulge in any activities as a authorize person nor issue bills/contracts/confirmation notes to anyone else for trades done in our client code without obtaining SEBI or Exchange Registration in my/our name.



23. I/We as your client agrees that you (stock broker) shall not be liable or responsible for non execution of orders placed through trading terminals/websites or through any other mode due to the failure of any system or link out side your control or any other reason whatsoever or for non performance of your obligations due to any reason whatsoever including but not limited to natural calamities or civil commotion, war, strikes, government/regulatory action, exchange or market ruling, suspension of trading. I/We are aware and agree that you (stock broker) also reserves the right of refusing to execute any particular transaction in your absolute discretion if you found the same to be violative to any provisions or is/are not in consonance with your RMS policy.
24. I/We as your client agrees that any failure by you as a stock broker to exercise or enforce any rights conferred upon you by this document/or as per KYC document executed between us, shall not be deemed to be a waiver of any such rights or operate so as to bar the exercise or enforcement thereof at any subsequent time to times.
25. I/We as a Client shall be responsible for all orders, including orders that may be executed without the required margin, whether or not you as a Stock Broker intimated me/us about such shortfall in margin, shall instantaneously makeup the shortfall either through delivery of shares in the event of sale or credit the required fund in the bank account via personal cheque or money order or account transfer or any other mode accepted to you as per you RMS policy from time to time.
26. I/We as a client, hereby agrees and indemnities, and shall always keep you (Stock Broker) indemnified against all such action and/or claims, costs, charges, damages, losses and expenses which may be incurred, suffered and/or sustained by you (Stock Broker) due to my/our mistake or non-compliance of any rules, regulations, circulars or other provisions or with respect to any third party cheque(s) and/or delivery of shares, which may be given by me/us as your client to be credited in my/our account as your client.
27. I/We as your client do hereby agrees with respect to compliance with prevention of money laundering act, 2002 (PM LA), as amended till date and from time to time and rules, regulation and guidelines framed hereunder and confirms that all the information which may be required by you (stock broker) to enable you to comply with the provisions of the PM LA and the rules, regulation and guidelines framed there under has been disclosed including issues related to "beneficial ownership", if any and also undertakes to promptly provide the same on an on-going basis whenever required. As also I/We hereny agree to keep you (Stock Broker) informed of any change in teh information earlier provided in/through Know Your Client Form or otherwise in this regard immediately in writing.
28. All fines/penalties and charges, exemplary damages etc levied upon you due to my/our acts/deeds or transactions including illegal acts or unfair trades practies etc. as may be levied by the Exchanged and suffered by the Member, shall be passed on to me/us and recovered by you from my/our account either byway of debiting the same or otherwise.
29. If permissible under other provisions of KYC documents executed between us or as per rules, regulations, bye-laws, circulars or guidelines or other provisions of Exchanges and/r SE BI, I am I/We are aware that you may charge delayed payment charges by whatever name called.
30. Close out in case of internal shortage : I/We, your client hereby agrees that if I/We have short delivered any securities agaisnt my/our pay-in obligations which resulted into internal shortage i.e. buys position of another client of the stock broker and couldn't be auctioned in the market than close out price @ 18% or such other percentage being generally applied by the Stock Broker for other clients, above the closing pried on the Auction Day or Closing price of first trading day of the settlement whichever is higher. I/We further specifically agrees that without prejudice to the Member's other right including the right to refer a matter to arbitration, the member shall be entitled to liquidate / close out all or any of my/our open position. Any and all losses, financial charges and/or incidental expenses incurred by the member on account of such liquidation/closing out shall be reimbursed by me/us or deductible by the member from the monies and/or colleteral margin of mine/ours, brokerage of the sub-broker available with the member.
31. I/We consent to adjust debit/credit balance in between my/our various account viz. F&O commodity initial/upfront margin account F&O MTOM Account, CM Segment Account, Margin Account or such other accounts maintained with you pursuant to opening of this trading codes with you. The same can be done in you rbooks of accounts by passing JV Entries or in such other manner as may be permissible.
32. Sharing of information : I/We agree to immediately furnish information to the member in oral/writing or the member suomoto (on its own) in receipt of such information in the event that is likely to have an adverse effect of my/our financial position or any restrictions or adverse findings or actions, if any, by any statutory authority. Upon receipt of such information, the member shall be entitled to take such action as it may consider necessary in order to protect its own interest, including without limitation, liquidation/closing out all/any outstanding positions of mines/ours. Any and all losses, financial charges and/or incidental expenses incurred by the member on account of such liquidation/closing out shall be make good or reimbursed by me/us to the member.
33. Investment Advice : The Client acknowledge that the Member shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability fo a security or investment. The Client also acknowledge that the Member's Employees are not authorized to give any such advice and that the Client will not solicit or rely upon any advice from member or any of its employees. The Client agrees that in the event of the Member or any employee or official of the member providing any information to the client, he/she/it may act upon the same at sole risks, costs and consequences and the member shall not be liable/responsible for the same. The client further agree to always, keep himself/herself/itself abreast of all requirements to be complied with by him/her/it under various laws including Foreign Exchange Management Act (FEMA), 1999 whever applicable and the rules, regulations, directions, circulars, notifications, guidelines etc. issued under the pursuant to the relevant laws from time to time.
34. The Client shall not hold OSSL responsible for any losses incurred on account of failure of System/Risk Management System/Network Congestion/Loss of Connectivity from Dealing Office/Place to OSSL or from OSSL to the Exchange.
35. Restrictions on Regulatin of Dealings : The Stock Broker shall at its discretion decide, from time to time, the volume of business which the Client (introduced directly or by the sub-broker or authorised person) may transact during any trading day on NSE/BSE Exangewise or segmentwise or in combinne. Notwithstanding such as an understanding/arrangement, the Stock Broker shall have absolute discretion to reduce the volume of business of the Client or restrict dealing bythe Client as per RMS policy from time to time, inter-alia, having regard.
 - (i) to the volatility in the market.
 - (ii) in view of impending price sensitive announcements.
 - (iii) any restrictions in relation to volume of trading/outstanding business/margins stipulated by the Exchange/Stock Broker, political instability in the country etc.
 - (iv) presence of any other price sensitive factors:
 - (v) failure by the client to provide/maintain the applicable colleteral/margin, and/or
 - (vi) delays by the Client in meeting his/her/its obligation/dues relating to the business/dealing done under the present.



36. REPRESENTATIONS AND WARRANTIES :

- (1) I/We agree that I/We have the required legal capacity and am/are authorized to enter into agreement and am/are capable of performing my/our obligations and undertakings pursuant to this KYC form submission and allotment of Client Code by the Stock Broker/OSSL
- (2) Any instructions given by me/our authorised representative to you the Stockbroker or to Stock Broker's representative, shall be binding on me/us.
- (3) I/We specifically agree that I am/We are trading for my/our own account and shall not act as a sub-broker of the stock broker without the prior written permission of the stock broker and without obtaining the certificate of registration from the Securities and Exchange Board of India (SEBI) and/or respective Exchange(s).
- (4) I/We specifically agree and confirm that all details about me/us may be provided vide this KYC form are true and correct and complete in all respect as per my/our knowledge and belief I/We hereby give this declaration to you without any coercion with sound mind and voluntarily to you which shall be part of my client registration form and in case any information /details found to be false/ untrue/ misleading/ misrepresenting, I am/We are aware that I/We may held liable for it. I/We understand and am/are aware that the aforesaid consents are purely voluntary and have been given to you for smoother operations of my/our client account with you as our broker. Further, these standing instructions are valid from the date the client/trading account is opened with you and will be valid and operational until revoked by me/us./

37. Authorised Representatives :

- a) The trading and other instructions for facilitating and carrying out business issued telephonically or through any other means either express or implied by me/us or by my/our authorized representative shall be binding to me/us.
- b) I/We hereby authorize my/our representatives _____ and/or _____ to trade and transact in securities for and on behalf of me/ us including to collect physical contract notes, cheque, statements etc. In the event of authorized representative(s) being replaced it shall be my/our responsibility to inform you of the change in writing failing which I/We shall be responsible for the obligations arising out of the actions of both the representative(s) - old as well as new.
- c) If any transaction under this agreement or under any other agreement or otherwise with you have been executed on behalf of me/us by any other person not mentioned above and the same has/have been accepted by me/us from time to time on the basis of the contract note(s)/bills/any other correspondence dispatched/communicated to me/us by you and/or by part or full settlement of the said transaction(s) by me/us, then such transaction(s) shall be deemed to be executed by the person authorized by me/us and I/We hereby agree to ratify and accept all such or other actions of such persons and undertakes to meet all obligations arising from these transaction(s).
- d) I/We shall be bound by all the transactions undertaken by you pursuant to the instructions of the above said persons. I/We hereby agree that you or the exchanges shall not be liable for non -execution of any order caused due to suspension, interruption, non-availability or malfunctioning of the online as well as off line trading services or the exchange system or services for any reasons whatsoever.

38. I/We are aware and agree that as per the SEBI circular no. CI R/HO/M I RSD/DOP/CI R/P/2019/75 dated 30.06.2019 that OSWAL SHARES & SECURITIES LTD. (herein after referred to as OSSL) shall transfer the securities bought by me/us to my/our demat account within 1 working day in case of full payment made by me/us. If I/We fail to make the payment in full then, OSSL may transfer the securities to the "client unpaid securities account(CUSA)".

I/We further agree and confirm that, the securities kept in the CUSA shall either be transferred to my/our demat account upon fulfilment of my/our funds pay-in obligation or it shall be disposed of in the market by OSSL within 5 trading days after the pay out without any notice to the extent of debit balance of the client and/or as per OSSL's Risk Management policy. Any profit/loss occurred on such sale transactions of unpaid securities, will be borne by me/us and transferred to/ adjusted in my/our ledger. If all/any of such stock will remain in CUSA due to my/our default, OSSL may charge a fine/penalty as levied on OSSL by the exchange/depositories to me and I/We shall not object the same.

39. I/We have permitted you to provide contract notes and other documents in electronic form authenticated by means of a digital signature in substitute of the physical Contract note, statement of account, settlement statement for funds and securities, daily margin report and other documents etc. through e-mail. For this purpose I/We have provided Email address on the KYC form. However you may at your discretion, continue to issue contract notes in physical form instead of ECN.

40. I/We agree and allow you to apply appropriate haircut on securities given for margin purpose in any segment/exchange which may be as a flat rate on all securities or may be additional percentage on the rate of the exchange from time to time.

15

Client's Signature



**VOLUNTARY DOCUMENT NO. 2
FOR RUNNING ACCOUNT AUTHORIZATION**

To,
Oswal Shares & Securities Ltd.
(Member of NSE, BSE)

I/WE UNDERSTAND THAT THIS IS PURELY A VOLUNTARY DOCUMENT AND SHALL FORM PART OF THE NON MANDATORY DOCUMENTS OF MY KYC FORM, IN CASE OF THE SAME SHALL DILUTE YOUR RESPONSIBILITY AS A STOCK BROKER OR IN CONFLICT WITH ANY OF THE CLAUSES IN THE MANDATORY DOCUMENTS, RULES, BYELAWS, REGULATIONS, NOTICES, GUIDELINES AND CIRCULARS ISSUED BY SEBI AND THE STOCK EXCHANGES FROM TIME TO TIME, THE SAME SHALL STAND NULL AND AVOID.

(1) About Voluntary Document :

I/We do hereby declare and confirm that I/We have thoroughly read and understood the voluntary document attached which forms part of non-mandatory documents of this KYC form and do accord consent for the same.

(2) About Running Account Authorisation (for Funds only):

I/We do hereby specifically declare and confirm that my/our account is to be maintained in Running Account mode and as such request for the same. I/We also specifically understand and agree that :

- (a) Running account authorisation is now restricted to funds only and not for securities.
- (b) This is only a voluntary authorization that may be revoked by me at any time.
- (c) This authorization shall remain in force until and unless the same is revoked by me.
- (d) This authorization is signed by me/us only and not by my/our authorized person/POA holder/
- (e) For my/our outstanding obligation/balance on the settlement date, you may retain/funds towards such obligations and may also retain the funds excepted to be required to meet margin or other obligations in compliance with applicable circulars, guideline, rules, regulations, byelaws etc, of the Exchange and/or SEBI and as may be calculated in the manner specified by the exchanges.
- (f) Any dispute from my/our end, arising from statement of account or settlement, shall be brought to your notice in writing by me/us within 30 days of receipt of funds/securities/statement as the case may be.
- (g) Periodic settlement of running account may not be necessary for or funds received towards collaterals/margin in form of Bank Guarantee Fixed Deposit etc.
- (h) In case of my/our request/demand you shall transfer the funds/securities within 1 working day if lying with you or within 3 working days of lying with Exchange/Clearing House.
- (i) There shall not be any inter-client adjustments for the purpose of settlement of my/our running account.

(3) As per the requirement of SEBI circular -SEBI/HO/MIRSD/DOP/P/CIR/2021/577 June 16, 2021, the settlement of running account of funds of the client shall be done after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchanges, at least once within a gap of 30 / 90 days between two settlements of running account as per the preference of the client. I/We may retain funds calculated in the manner specified below:

1. Entire pay-in obligation of funds outstanding at the end of the day on settlement of running account, of T day & T-1 day.
2. Margin liability as on the date of settlement of running account, in all segments and additional margins (maximum up to 125% of total margin liability on the day of settlement). The margin liability shall include the end of the day margin requirement excluding the MTM and pay-in obligation, therefore, TM may retain 225% of the total margin liability in all the segments across exchanges.

(4) About SMS on mobile by Exchanges.

I/We do hereby declare and confirm to receive SMS about my/our position, margin, ledger balance and such other brief information as may be voluntarily sent/provided by you on my / our mobile as mentioned in KYC form. In case of any charge therein, I/We shall promptly communicate in writing to you about the same.

I/We do hereby declare and confirm that the details of e-mail id and mobile no. as may be provided by me/us in KYC pertains to me/us or to my/our family members only. (Family members means my spouse, dependent children, dependent parents only) accordingly, I/We do hereby request you to upload the same as a part of UCC/UCI details to respective exchange(s).

Date :

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Client's Signature



FATCA-CRS Declaration & Supplementary KYC Information
Self Declaration Form for Individuals [For DP & Trading]

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

Form with fields for DP ID (1 2 0 8 1 3 0 0), TRADING CODE, Name & PAN*, Address Type (Residential, Business, etc.), Country of Citizenship/Birth, Gross Annual Income Details, Occupation Details, Net Worth & Date, and Politically Exposed Person [PEP] status.

* If PAN is not available, please specify Folio No(s). US Person Yes No

If 'Yes', please specify the details of all countries where you hold tax residency and its Tax Identification Number & type

Table with 4 columns: Sr. No., Country of Tax / residency#, Tax Payer Identification Number / Functional Equivalent, Identification Type (TIN or other, please specify)

to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / tax Resident in those respective countries especially of USA

Declaration :

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be liable for it. I hereby authorize you to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Exchanges/Depositories / Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of change and also undertake to provide any other additional information as may be required at your end or by domestic or overseas regulators/ tax authorities. We authorize you to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I understand that you do not offer any tax advice on CRS/FATCA or its impact on me/us. I/We shall seek advice from Professional Tax Advisor for any tax questions.

Further I/We would like to state that in future if there is any change in our tax status (ie We-become tax resident of any other country other than India) then the same will be informed Oswal Shares & Securities Ltd. (OSSSL) and FAT CA Declaration will be submitted to you immediately. :

Self Certification : Are you US Person : Yes No

To be filled only if -

- (a) Your country of Birth / Country of Tax Residency is other than India and TIN or Functional Equivalent is not available
(b) US Person is mentioned herein as Yes and TIN is not available :

I Confirm that I am neither a US Person nor a resident for Tax purpose in any country other than India, through one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following documents as proof of my citizenship and residency in India.

Document Proof submitted (Pls. tick document being submitted - Self Certified copy)

- Passport Election Card PAN Card Driving License UIDAI / Adadhar Card Letter
Govt. Issued ID Card NAREGA Job Card Others (Please Specify)

Document Identification No. _____

I/We agree that as may be required by domestic regulator/ tax authorities, you may also be required to report, reportable details to CBDT or such other Income Tax Authorities as may be applicable in India or close or suspend my / our account. I/We agree to submit a new form within 30 days if any information including my tax status / certification on this form will change.

Date : _____

Place : _____

Signature

Signature box

REQUEST FOR ECS/RTGS/NEFT PAY-OUT FACILITY

This is with reference to the account opened with you for the purpose of dealing in securities on the stock exchange(s) through you under Client code _____. In this connection, I/We request you to update my/our details in your records as given below.

Name of Bank			
Name of Bank Branch			
Account Type	Savings/Current/Others (Pl. specify)		
Account Number			
IFSC Number		MICR	

I/We request you to deposit my/our payout in respect of my/our transactions directly to above mentioned bank account (provided such facility is available) or any other bank account which I/We may intimate from time to time.

I/We may, at anytime terminate/cancel this document after execution, by sending your written request to do so.

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

Terms and conditions: In addition to the clauses contained in the KYC documents executed by me/us, I/We herein specifically agree with you and authorizes you to arrange release of payout of funds (subject to other governing conditions agreed to in the KYC documents) by making direct credit in my/our bank account maintained with any bank, the details of which are provided by me/us to you. It is also agreed by me/us that since the bank account details are provided by me/us (based on which you were to arrange making credits thereto). In case of any wrong entry flowing into any wrong account due to part of my/our mistake, you shall not accept any responsibility/consequences relating thereto. Registration and activation of payout of funds through ECS/RTGS/NEFT mode by you is subject to receipt of copy of cancelled cheque from me/us. Rejection/Deactivation of facility of payout of funds through ECS/RTGS/NEFT to me/us is/are at your discretion.

Thanking you,
Yours Faithfully

Client Signature

(In case of Non-Individual attest with the Company Seal)

Confirmation of receipt of copy of KYC documents for trading account and demat account

Date :

To,
The Director
M/s. Oswal Shares & Securities Ltd.
Ahmedabad - 380 009.

Ref. : Confirmation of receipt of copy of KYC documents for trading account and demat account

With reference to above, I / We have my / our Tradig Account No. : _____ and Demat A/c. No. 12044600 _____ allotted to me / us wish to state and confirm as under :

1. For registratio as your client / upon registration, I/We have received a photocopy of the duly completed documents viz. Client Registration kit (KYC) including do's and don'ts. Rights and Obligations (Trading and Demat), Risk Disclosure document, Guidance note, do's and don'ts, Policies and procedures, POA and also a copy of any other document executed by me/us as your client.
2. Further, the trading code / client ID and the unique client code allotted to me / us as your client and the Email ID furnished by me /us has been communicated by you to me / us through the KYC form or otherwise in writing.

As a token of acceptance and proof of aforsaid, I/We have put my signature herein below.

	First/Sole Holder / Authorised Signatory or Guardian (in case of minor)	Second Holder / Authorised Signatory or Guardian (in case of minor)	Third Holder / Authorised Signatory or Guardian (in case of minor)
Name			
Designation			
Signature			

Acknowledgment Receipt

Application No. :

(To be fille dby the Depository Participat / Trading Member

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

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

For, Oswal Shares & Securities Ltd.

Oswal Shares & Securities Ltd. UMRN Date

Sponsor Bank Code HDFC000060 Utility Code

Tick **CREATE**
 MODIFY
 CANCEL

I/We hereby authorize **Oswal Shares & Securities Ltd.** to debit (tick) **SB/CA/CC/SB-NRE/SB-NRO/Other**

Bank a/c number

with Bank Name of customers bank IFSC or MICR

an amount of Rupees ₹

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

Reference 1 Phone No.

Reference 2 Email ID

I agree for the debit of Mandate processing charges by the Bank whom I am authorizing to debit my account as per latest Schedule of charges of the Bank.

PERIOD
 From
 TO
 Or **Until Cancelled**

Signature of Primary Account Holder _____ Signature of Account Holder _____ Signature of Account Holder _____
 Name as in bank records 2. Name as in bank records 3. Name as in bank records

* This is to confirm that the declaration has been carefully read, understood and made by me/ us. I am authorizing the user entity/corporate to debit my account.
 I have understood that I am authorized to cancel/modify this mandate by appropriately communicating the cancellation/modification request to the user entity/corporate or the bank whom I have authorized the debit.
 I/we hereby declare that the above information is true and correct and that the mobile number listed above is registered in my/our name(s) and/or is the number that I/We use in the ordinary course. I/We hereby declare that, irrespective of my/our registration of the above mobile in the provider customer preference register, or in any similar register maintained under applicable law, now or subsequent to the date hereof, I/We consent to the Bank communicating to me/us about the transactions carried out in my/our above said account(s).

Oswal Shares & Securities Ltd. UMRN Date

Sponsor Bank Code HDFC000060 Utility Code

Tick **CREATE**
 MODIFY
 CANCEL

I/We hereby authorize **Oswal Shares & Securities Ltd.** to debit (tick) **SB/CA/CC/SB-NRE/SB-NRO/Other**

Bank a/c number

with Bank Name of customers bank IFSC or MICR

an amount of Rupees ₹

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

Reference 1 Phone No.

Reference 2 Email ID

I agree for the debit of Mandate processing charges by the Bank whom I am authorizing to debit my account as per latest Schedule of charges of the Bank.

PERIOD
 From
 TO
 Or **Until Cancelled**

Signature of Primary Account Holder _____ Signature of Account Holder _____ Signature of Account Holder _____
 Name as in bank records 2. Name as in bank records 3. Name as in bank records

* This is to confirm that the declaration has been carefully read, understood and made by me/ us. I am authorizing the user entity/corporate to debit my account.
 I have understood that I am authorized to cancel/modify this mandate by appropriately communicating the cancellation/modification request to the user entity/corporate or the bank whom I have authorized the debit.
 I/we hereby declare that the above information is true and correct and that the mobile number listed above is registered in my/our name(s) and/or is the number that I/We use in the ordinary course. I/We hereby declare that, irrespective of my/our registration of the above mobile in the provider customer preference register, or in any similar register maintained under applicable law, now or subsequent to the date hereof, I/We consent to the Bank communicating to me/us about the transactions carried out in my/our above said account(s).

Oswal Shares & Securities Ltd. UMRN Date

Sponsor Bank Code HDFC000060 Utility Code

Tick **CREATE**
 MODIFY
 CANCEL

I/We hereby authorize **Oswal Shares & Securities Ltd.** to debit (tick) **SB/CA/CC/SB-NRE/SB-NRO/Other**

Bank a/c number

with Bank Name of customers bank IFSC or MICR

an amount of Rupees ₹

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

Reference 1 Phone No.

Reference 2 Email ID

I agree for the debit of Mandate processing charges by the Bank whom I am authorizing to debit my account as per latest Schedule of charges of the Bank.

PERIOD
 From
 TO
 Or **Until Cancelled**

Signature of Primary Account Holder _____ Signature of Account Holder _____ Signature of Account Holder _____
 Name as in bank records 2. Name as in bank records 3. Name as in bank records

* This is to confirm that the declaration has been carefully read, understood and made by me/ us. I am authorizing the user entity/corporate to debit my account.
 I have understood that I am authorized to cancel/modify this mandate by appropriately communicating the cancellation/modification request to the user entity/corporate or the bank whom I have authorized the debit.
 I/we hereby declare that the above information is true and correct and that the mobile number listed above is registered in my/our name(s) and/or is the number that I/We use in the ordinary course. I/We hereby declare that, irrespective of my/our registration of the above mobile in the provider customer preference register, or in any similar register maintained under applicable law, now or subsequent to the date hereof, I/We consent to the Bank communicating to me/us about the transactions carried out in my/our above said account(s).


* I / We authorize OSWAL SHARES & SECURITIES LTD. to use this Mandate for following accounts.


Trading Date _____

Demat ID _____

 _____
Account Holder Signature

 _____
Sole / First Holder's Signature

 _____
Second Holder's Signature

 _____
Third Holder's Signature


* I / We authorize OSWAL SHARES & SECURITIES LTD. to use this Mandate for following accounts.


Trading Date _____

Demat ID _____

 _____
Account Holder Signature

 _____
Sole / First Holder's Signature

 _____
Second Holder's Signature

 _____
Third Holder's Signature

* I / We authorize OSWAL SHARES & SECURITIES LTD. to use this Mandate for following accounts.

Trading Date _____

Demat ID _____

 _____
Account Holder Signature

 _____
Sole / First Holder's Signature

 _____
Second Holder's Signature

 _____
Third Holder's Signature

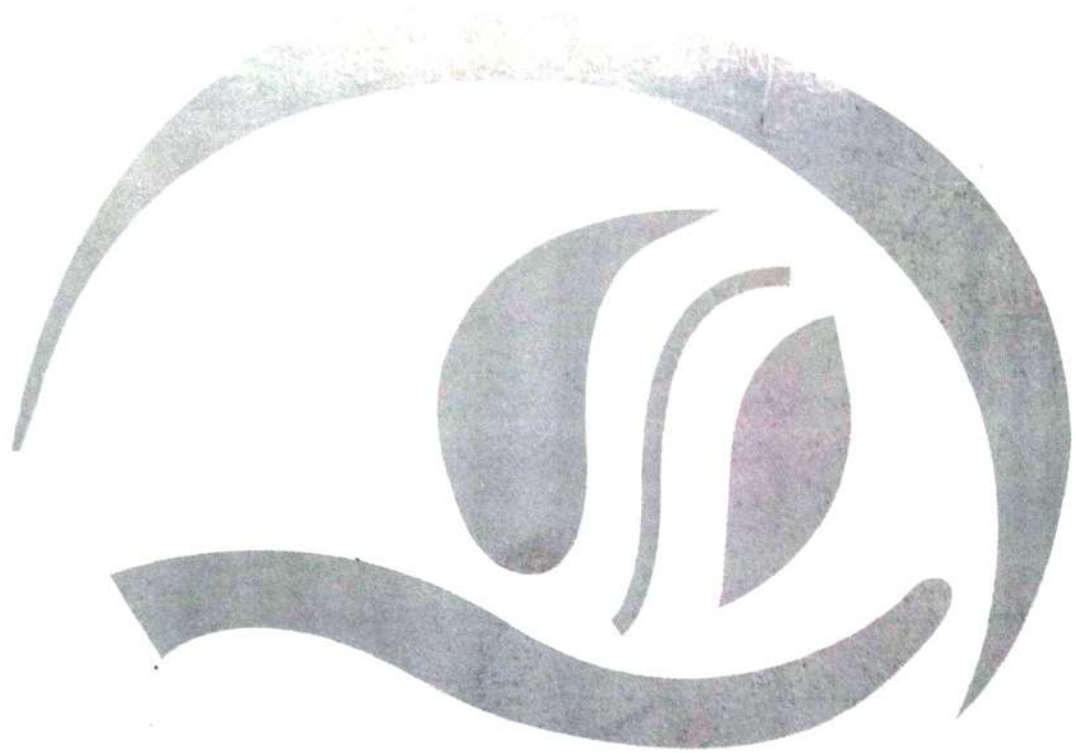


FOR HEAD OFFICE USE ONLY

Client Code _____

BO ID :

	Date	Time	Name	Signature
KYC Received				
Phone Verification				
KYC Punched				
UCC Upload				
KRA Upload				
CKYC Upload				
KYC Audit				
DP Audit				



Oswal Shares & Securities Ltd.

REGD. OFFICE :

605, SAKAR-I, OPP. NEHRU BRIDGE, ASHRAM ROAD, AHMEDABAD -380 009.

Tel.: +91-79-30082041-45, 30082050 Fax : +91-79-30082048

E-MAIL : kalpesh@oswalshares.com WEBSITE : www.oswalshares.com

Annexure - A

(SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/01650, dated January 10, 2025)

Nomination Form for Demat Accounts and Mutual Fund (MF) Folios

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *								
Nomination Details								
	Mandatory Details						Additional Details ****	
	Name of nominee	Share of nominee (%)**	Relation ship	Postal Address	Mobile number & E-mail	Identity Number ***	D.o.B. of nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

*Joint Accounts:

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

** if % is not specified, then the assets shall be distributed equally amongst all the nominees (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required.

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

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

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

- Name of nominee(s) Nomination: Yes / No

2) I hereby authorize _____ (nominee number _____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ___% of assets in the account / folio or Rs. _____.

(strike off portions that are not relevant)

3) This nomination shall supersede any prior nomination made by me / us, if any.

Name(s) of holder(s)		Signature(s) of holder	Witness Signature*
Sole / First Holder (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

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

Rights, Entitlement and Obligation of the investor and nominee:

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

Transmission aspects

- AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nomimee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.
- In case of multiple nominees the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

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

Declaration by Karta & Co Parceners of HUF

HUF Name :

Name of Karta :

Address :

.....

.....

I(Name of Karta) hereby declare that I am the Karta of the HUF

.....(Name of HUF) and following persons are the Co Parceners of this HUF.

We, all the below mentioned Co Parceners declare that Mr.(Name of Karta)

is the Karta of the above mentioned HUF of which we are the Co Parceners.

Sr. No	Name	Sex (M/F)	Date of Birth (Age)	Relationship With Karta	Status	Signature
1.					Karta	With stamp of Karta
2.					Co Parceners	
3.					Co Parceners	
4.					Co Parceners	
5.					Co Parceners	
6.					Co Parceners	
7.					Co Parceners	
8.					Co Parceners	
9.					Co Parceners	
10.					Co Parceners	

Demat Debit and Pledge Instruction– Voluntary Document

To all whom these presents shall come I/We Mr. /Mrs. /M/s _____
 _____ (First
 Holder) _____ (Second
 Holder)
 _____ (Third
 Holder) an individual/a sole proprietary concern/a partnership firm/a body corporate/trust,
 registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act 1956, or
 any relevant Act, having my/our residence/registered office/place of business at

_____ send greetings.

Whereas I/ we hold a Beneficiary account no. _____ (BO-ID) with Central Depository Services
 (India) Limited through Depository Participant _____ bearing DP ID-

And whereas I / We am / are an investor(s) engaged in buying and selling of securities through
 _____ (hereinafter referred to as "-----
 ") a Member of Bombay Stock Exchange Ltd (BSE) & National Stock Exchange of India Ltd (NSE) In Capital
 Market Segment, Equity Derivative Segment & Currency Derivative Segment, bearing SEBI Registration
 No. INZ000295436/ IN-DP-CDSL-348-2006. (hereinafter referred to as "the Stock Exchange/ Exchanges").

And Whereas due to exigency and paucity of time, I/we am/are authorizing by executing an agreement
 naming Demat Debit and Pledge Instruction (DDPI) ----- Pvt. Ltd for below mentioned
 purposes:

Sr. No.	Purpose	Signature of Client * (First Holder)	Signature of Client * (Second Holder)	Signature of Client * (Third Holder)
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker			
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.			

3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms			
4.	Tendering shares in open offers through Stock Exchange platforms			

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

Designated Demat Account details of the broker where my/our securities shall be transferred from my/our aforesaid beneficiary account for settlement obligation and/or shall be given for Margin Pledge towards my/our Margin Obligation are as follows:

Designated Demat Account	DP ID	DP Name	Trading Code
Corporate Client – TM/CM CMPA	12044600-00031059	Oswal Shares & Securities Ltd.	TM/CM – Client Securities Margin Pledge Account
Clearing member	12044600-00032715	Oswal Shares & Securities Ltd.	NSE Pay in/ Pay out
TM POOL	12044600-00032721	Oswal Shares & Securities Ltd.	NSE TM POOL Pay in/ Pay out
CORPORATE CM/TM CUSPA	12044600-00032753	Oswal Shares & Securities Ltd.	NSE CORPORATE CM/TM CUSPA
BSE – Early Payin Account	11000010 - 00015531	Oswal Shares & Securities Ltd.	Pool Account - (CDSL)
NSE – Early Payin Account	11000011 - 00022222	Oswal Shares & Securities Ltd.	Pool Account - (CDSL)
CM Pool account (Corporate) – BSE	IN300652 - 10147188	Ratnakar Securities Pvt. limited	Pool Account - (NSDL)
CM Pool account (Corporate) – NSE	IN300652 - 10209519	Ratnakar Securities Pvt. limited	Pool Account - (NSDL)

Beneficial Owner(s)	Name	Signature
Sole / First Holder / 1st Authorized Signatory/ Karta of HUF		
Second Holder / 2nd Authorized Signatory		
Third Holder / 3rd Authorized Signatory		

We hereby confirm having accepted the aforesaid Instructions.

For _____

Authorised Signatory

Date: ____/____/____

* the same may be eSigned or signed physically



TARIFF SHEET FOR DEMAT ACCOUNT

SR.NO.	DESCRIPTION	SCHEME - 1	BSDA
1	Account Opening Charges	Nil	Nil
2	Power of Attorney (DDPI Charges)	Rs.300/- (Cheque)	Rs.300/- (Cheque)
3	Advance Annual Maintenance Charges	Rs.225/- Individual Account & Rs. 650/- for Corporate (Cheque Oly)	Nil
4	Off-Market /Market Buy	Nil	Nil
5	Off -Market /Market Sale	Rs.15/- Per Transaction	Rs.15/- Per Transaction
6	Inter Depository Sale	Rs.20/- Or 0.03% of the Market Value per Transaction (Whichever is Higher)	Rs.20/- Or 0.03% of the Market Value per Transaction (Whichever is Higher)
7	Same Day Payin	Rs.50/- Per Transaction	Rs.50/- Per Transaction
8	Custodian Charges	Nil	Nil
9	Demat Charges / Rejection Charges	Rs.45/- & Postage Charges, Rs.4/- Per Certificates	Rs.45/- & Postage Charges, Rs.4/- Per Certificates
10	Remat Charges	Rs.100/-, & Postage Charges, Rs. 15 Per Certificates	Rs.100/-, & Postage Charges, Rs. 15 Per Certificates
11	Pledge Charges :- Creation, Closure, Invocation	Rs.25 Per Transaction	Rs.25 Per Transaction
12	On Demand :- Additional Holding / Transaction	Rs.10/-	Rs.10/-
13	Account Closing Charges	Nil	Nil
14	Slip Book (Re-Issue)	Rs.50/-	Rs.50/-
15	KRA	Rs.50/-	Rs.50/-
16	Freez / Unfreez	Rs.20/-	Rs.20/-
17	Margin Pledge / Re-Pledge	Rs. 25/-	Rs. 25/-

Note :-

- BSDA Annual Maintenance Charges :- **Nil** (Value of holding upto Rs. 4,00,000), **Rs. 100 p.a.** (Value of holding from Rs. 4,00,001 to Rs. 10,00,000), **Regular Charges** (Value of holding above Rs. 10,00,000)
- For Availing Easiest facility of CDSL, the charges as levied by CDSL would be collected from clients at actuals
- In case of every corporate accounts CDSL,AMC of Rs.650 shall be charged extra
- GST Education cess and other statutory levies(if any) would be charged extra wherever applicable as per the prevailing rates
- Any request change /modification in client master will be charges Rs25/- request
- In case of cancellation/withdrawal rejection / failure of instruction Rs. 30 per entry will be charged additional
- We reserve the rights to change \add charge with 30day prior notices
- All payment should be in favour of "Oswal shares & Securities Ltd."
- BSDA tariff would be same s HNI / Trader and charges for AMC and transection statement shall be as per SEBI/CDSL guideline
- Any changes /penalty debited in demat a/c of BO can be recovered from his /her/its trading a/c by passing JV



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

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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



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

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

Statement of account

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

Manner of Closure of Demat account

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



rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

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

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996,
 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.
25. The Joint holders are aware that ~~The DP or the Depository shall have the right to freeze/defreeze demat account~~ in case of any Statutory Order for freezing any one joint holder, the demat account and will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority. ~~The joint holders are aware for the same.~~

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction



- 28. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
- 29. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
- 30. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
- 31. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
- 32. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
- 33. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature			
