

Form No:	
Branch Name	
Branch Code	
Client Name	
Unique Client Code	
Back Office Code	
<b>Trading Type</b>	<input type="checkbox"/> Offline
	<input type="checkbox"/> Online
DP Branch Code	
<b>DP Client ID</b>	
Date of Activation	
Docket sent by Branch Dt	
Docket recieved at HO Dt	
<b>Dealer Code</b>	

## Client Registration Form for Broking & Depository Services

(For Individual Client)

### Dealmoney Securities Private Limited

(Formerly known as Destimoney Securities Pvt. Ltd.)

Registered & Correspondence Office : Plot. No. A-356/357, Road No. 26, Nr. Wagle Bus Depot, Wagle Estate.

Thane - 400 604, India. Tel : +91 4184 2222 • Fax: +91 4184 2257

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Dealmoney

**ANNEXURE – 1  
INDEX OF DOCUMENTS**

<b>A. MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
<b>S.N.</b>	<b>Name of the Document</b>	<b>Brief Significance of the Document</b>	<b>Pg. No</b>
1.	Account Opening Form	A. CKYC form - Document captures the basic information about the constituent and an instruction/check list.	3-10
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	11-13
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	14-18
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Name of stock broker/ trading member/clearing member	<b>DEALMONEY SECURITIES PRIVATE LIMITED</b>
SEBI Registration No. BSE (Cash) SEBI Registration No. BSE (F&O) SEBI Registration No. BSE (Currency)	INZ000159435 Dated: 20.11.2017
SEBI Registration No. NSE (Cash) SEBI Registration No. NSE (F&O) SEBI Registration No. NSE (Currency)	
SEBI Registration No. MSEI (Cash) SEBI Registration No. MSEI (F&O) SEBI Registration No. MSEI (Currency)	
SEBI Registration No. DP	IN-DP-161-2015 Dated: 09.11.2015
Clearing Member	<b>IL&amp;FS Securities Services Limited</b>
Clearing Member's Address	IL&FS House, Raheja Vihar, Chandivali Rd, Andheri (E), Mumbai-400072
SEBI Registration No. NSE (F&O)	INF231133630 Dated: 02.06.2000
SEBI Registration No. NSE (Currency)	INE231308334 Dated: 25.08.2008
SEBI Registration No. BSE (F&O)	INF011133834 Dated: 02.06.2000
SEBI Registration No. BSE (Currency)	INF011311532 Dated: 18.09.2008
Registered & Correspondence office address:	A 356/357 Road No.26, Near Wagle Bus Depot, Wagle Estate, Thane 400604. Ph: (91-22) 41842222 Fax: (91-22) 41842257 Website: www.dealmoneyonline.com
Compliance Officer for Trading	Mr. Sanjay Nayak
Phone no.	(91-22) 41842203 • Email id: compliance@dealmoney.in
CEO Name	Mr. Dishant Sagwaria
Phone No.	(91-22) 41842222 • Email id: md@dealmoney.in

For any grievance/dispute please contact **DEALMONEY SECURITIES PRIVATE LIMITED** at the above address or email id: [customercare@dealmoney.in](mailto:customercare@dealmoney.in) and Phone no. 91-022-41842242/2209/2241. In case not satisfied with the response, please contact the concerned exchange(s):

for National Stock Exchange Ltd. at [ignse@nse.co.in](mailto:ignse@nse.co.in) or Ph No. 1800 22 0058

for Bombay Stock Exchange Ltd. at [is@bseindia.com](mailto:is@bseindia.com) or Ph No. 022 2272 8097

for Metropolitan Stock Exchange of India Ltd. at [investorcomplaints@msei.in](mailto:investorcomplaints@msei.in) or Ph No. 61129000

**INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM** (Please submit the KYC documents on A4 size paper only)

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

Copy/Unique Identification Number (UID) (Aadhaar).

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

## CENTRAL KYC REGISTRY | INSTRUCTIONS / CHECK LIST / GUIDELINES FOR FILLING INDIVIDUAL KYC APPLICATION FORM

### General Instructions:

- 1 Fields marked with '\*' are mandatory fields.
- 2 Tick '✓' wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- 9 In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

### A Clarification / Guidelines on filling 'Personal Details' section

- 1 **Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either **father's name or spouse's** name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

### B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- 1 Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/ services code/number, and resident registration number)

### C Clarification / Guidelines on filling 'Proof of Identity [PoI]' section

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicants's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

### D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section

- 1 PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, postpaid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

### E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address detail's section

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence / local addresses, Please fill 'Annexure A1'

### F Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

### G Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person if available.

### H Clarification / Guidelines on filling 'Related Person details - Proof of Identity [PoI] of Related Person' section

- 1 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.















**TRADING ACCOUNT RELATED DETAILS**

**BANK ACCOUNT(S) DETAILS** (through which banking transactions will generally be routed)

**BANK 1**

Bank Name
Branch
Address
Account No.
Account Type
9 Digit Code (MICR code)
IFSC Code (for RTGS)

**BANK 2**

Bank Name
Branch
Address
Account No.
Account Type
9 Digit Code (MICR code)
IFSC Code (for RTGS)

(Copy of cancelled cheque leaf & pass book/bank statement containing name of the constituent should be submitted for all the banks declared).

**DEPOSITORY ACCOUNT(S) DETAILS** (through which share transactions will generally be routed)

Depository	NSDL/CDSL
Depository ID	
Client ID	
DP Name	
Beneficiary Name	
Depository Participant's Address	

Depository	NSDL/CDSL
Depository ID	
Client ID	
DP Name	
Beneficiary Name	
Depository Participant's Address	

(Copy of a demat client master/demat statement containing name of the constituent & type should be submitted for all demat account declared).

**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	Signatures
BSE	Cash	<input type="checkbox"/>
	F&O	<input type="checkbox"/>
	Currency	<input type="checkbox"/>
	Star MFSS	<input type="checkbox"/>
	SLB	<input type="checkbox"/>
NSE	Cash	<input type="checkbox"/>
	F&O	<input type="checkbox"/>
	Currency	<input type="checkbox"/>
	MFSS	<input type="checkbox"/>
	SLB	<input type="checkbox"/>
MSEI	Cash	<input type="checkbox"/>
	F&O	<input type="checkbox"/>
	Currency	<input type="checkbox"/>

# If, in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker.

**PAST ACTIONS**

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

**OTHER DETAILS (For Trading & Demat)**

**1. Gross Annual Income Details (please specify):**

Income Range per annum:  Below Rs 1 Lac  1-5 Lac  5-10 Lac  10-25 Lac  25 Lacs-1 Cr.  > 1 Cr  
**Net-worth as on** (date)\_\_\_\_\_ (\_\_\_\_\_) (Net worth should not be older than 1 year)

**2. Occupation (please tick any one and give brief details):**  Private Sector  Public Sector  Government Service  Business  Professional  Agriculturist  Retired  Housewife  Student  Others\_\_\_\_\_

**3. Please tick, if applicable:** Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)  YES  NO

**4. Any other information:** \_\_\_\_\_

**DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS (If dealing through Sub-brokers provide details)**

Sub-Broker Name		BSE SEBI Reg. No.	
Regd. Off.		NSE SEBI Reg. No.	
Address		MSEI SEBI Reg. No.	
Signature of Sub-Broker X	Tel. No.	Remisier/AP (NSE) No.	
	Fax No.		
	Website		

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

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

**ADDITIONAL DETAILS**

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):  YES  NO

Specify your Email id, if applicable: \_\_\_\_\_

Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):  YES  NO

Whether you wish to receive Rights & Obligations of stock Broker , sub broker and client as prescribed by SEBI and Stock Exchanges (Including additional rights and obligations in case of internet /wireless technology based trading ) ; Rights & Obligations of Beneficial Owner and depository participants as prescribed by SEBI and depositories; Uniform Risk Disclosure Document (for all segments / exchanges) and Guidance Note detailing Do's and Don'ts for trading on stock exchanges (please specify):  Electronic  Physical

Number of years of Investment/Trading Experience: \_\_\_\_\_

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: Details as per Annexure - A

Any other information \_\_\_\_\_

**INTRODUCER DETAILS (Optional)**

Name of the Introducer	Signature of Introducer X
Add. / Tel.	

Status of the Introducer: Sub Broker / Remisier / Authorized Person / Existing Client / Others, please specify\_\_\_\_\_

**NOMINATION DETAILS (FOR INDIVIDUAL ONLY)**

I / We wish to nominate  I / We do not wish to nominate

Name of Nominee	Relation with Nominee
Address	PAN No.
	Tel. No.
<b>If Nominee is a minor, details of Guardian</b>	Date of Birth
Name of Guardian	
Address & Tel No.	Signature of Guardian


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

Name	Name
------	------

Address	Address
Signature	Signature

**DECLARATION**

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

Name			
Place		Date	
Signature of all Authorised Signatories			

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client:			
	Documents verified with Originals	Client Interviewed / Approved by	In person Verification done by
Name of the employee			
Signature			
Designation of the employee			
Employee Code			
Date			

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

Date: \_\_\_\_\_ Signature of the Authorised Signatory \_\_\_\_\_ Seal/Stamp of the stock broker \_\_\_\_\_

**INSTRUCTIONS/ CHECK LIST**

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

Copy of ITR Acknowledgment	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. Self-certified 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. (Not more than 4 months old)
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 nonresident 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 nonresident 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.

**RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS, AUTHORISED PERSONS AND CLIENTS  
AS PRESCRIBED BY SEBI AND STOCK EXCHANGES**

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

**CLIENT INFORMATION**

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

**MARGINS**

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

**TRANSACTIONS AND SETTLEMENTS**

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure

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

#### **BROKERAGE**

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

#### **LIQUIDATION AND CLOSE OUT OF POSITION**

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

#### **DISPUTE RESOLUTION**

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



26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

#### **TERMINATION OF RELATIONSHIP**

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

#### **ADDITIONAL RIGHTS AND OBLIGATIONS**

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

### **ELECTRONIC CONTRACT NOTES (ECN)**

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

### **LAW AND JURISDICTION**

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

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

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person 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.

**RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS**

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

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

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

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

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

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

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

**1. BASIC RISKS:****1.1 Risk of Higher Volatility:**

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

**1.2 Risk of Lower Liquidity:**

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

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

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

**1.3 Risk of Wider Spreads:**

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

**1.4 Risk-reducing orders:**

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

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

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

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

**1.5 Risk of News Announcements:**

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

**1.6 Risk of Rumors:**

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

**1.7 System Risk:**

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

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

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

**1.8 System/Network Congestion:**

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination

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

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

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

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

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

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

**2.2 Currency specific risks:**

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

**2.3 Risk of Option holders:**

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

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

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

#### **2.4 Risks of Option Writers:**

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

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

#### **4. GENERAL**

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

**GUIDANCE NOTE - DO'S AND DON'TS FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS****BEFORE YOU BEGIN TO TRADE**

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

**TRANSACTIONS AND SETTLEMENTS**

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
  - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
  - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
  - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market



transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

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

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.

15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

#### **IN CASE OF TERMINATION OF TRADING MEMBERSHIP**

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

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

#### **DISPUTES/ COMPLAINTS**

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.

19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

## DEALMONEY POLICIES AND PROCEDURES

**Policies and Procedures for Risk Containment and other Operational & Compliance matters**

The underlying document outlines various policies and procedures Dealmoney Securities Private Limited has framed with respect to its dealing with clients for capital market transactions to ensure transparency and facilitate understanding on various aspects related to service delivery. Kindly note that the below stated policies and procedures are subject to change from time to time; depending upon our internal risk management framework, market and external environment; and clients can refer the company's website for the updated documents the changes will be intimated to the client apart from being published on website.

**1. Policy for Refusal of orders for penny stocks etc:**

Generally, Dealmoney Securities Private Limited (hereinafter referred to as Dealmoney or Company interchangeably ) alerts clients to desist from trading in any penny stocks in view of the associated risk element while dealing in such stocks. Further, the client is also required to adhere to Exchange/ Members guidelines and due diligence while trading in such stocks. Also SEBI/Exchange from time to time issues directives necessitating additional due diligence for dealing in such stock(s).

In the view of above Client may please note that the Company may restrict trading in penny stocks/ illiquid Securities and derivatives contracts by the clients at its discretion. Penny Stocks/ Illiquid Securities and derivatives contracts for this purpose shall mean those stocks / contracts which are highly illiquid and have a low market capitalization due to unsound fundamentals or stocks / contracts which have high chances of price manipulations according to Dealmoney. The Exchanges from time to time also circulates a list of illiquid Securities. Dealmoney may at its discretion and/or based on directives of the Exchanges also restrict trading in such illiquid securities.

Please note that Dealmoney does not permit trade in securities placed in the Z group however company may permit such trades on exceptional basis. Further Intraday trading in securities in the T, TS, BE or such other group as may be notified by Exchanges/ Dealmoney from time to time shall be prohibited.

In addition to the penny stocks, restricted securities/ deemed penny stocks, illiquid securities and derivatives contracts specified by Exchanges from time to time Dealmoney may at its discretion, prohibit trading in such securities and contracts, which based on market conditions and internal policies it deems fit for restriction i.e. Dealmoney reserves right to disable/restrict trading in such securities or contracts, which it finds suspicious on a case to case basis.

Company may for this purpose, introduce online blocks to prevent clients from placing orders in penny stocks, securities and illiquid contracts through the Online Trading Platform of Dealmoney. Dealers/sub brokers of Dealmoney may refuse to execute orders of the clients for trading in such stocks, securities and contracts. Further in case the client succeeds in placing order in penny stocks, securities and illiquid contracts through the Online Trading Platform or otherwise, Dealmoney may at any time cancel any such order before execution on the Exchanges.

Company shall not be liable for any refusal/ cancellation of orders for trading in penny stocks, illiquid securities and illiquid contracts and/or any other security restricted by it. Further Client shall indemnify the Company in respect of any loss caused to the Company by virtue of the Client's trading in any of the above restricted category of securities and contracts.

**2. SETTING UP OF CLIENT'S EXPOSURE LIMITS**

Dealmoney may for the purpose of risk management set exposure limits subject to which the Client may trade in securities/take positions in the futures and options segment. Such exposure limits may be set upto a pre-determined number of times of the Margin (the "Multiple") and the quantum of the Multiple shall be decided at sole option or discretion of Dealmoney. Such multiple may be changed any time at the discretion of Dealmoney from client to client depending on various factors which inter alia include factors like market conditions, client profile and financial status of the client.

Client shall abide by the exposure limits, if any, set by Dealmoney or by the Exchange or Clearing Corporation or SEBI from time to time.

The exposure limits set by Dealmoney do not create any right in favor of Client and can be withdrawn at any time without notice and the Company shall not be liable to client for loss incurred if any, on account of withdrawal of such limits. The client agrees to compensate Dealmoney in the event of Dealmoney suffering any loss, harm or injury on account of exposure given to and/or withdrawn from the Client. Exposure may (at the discretion of Dealmoney and to the extent decided by Dealmoney from time to time) inter alia be provided on the following:

- a) Cash balance in the ledger to the credit of the Client (after deduction of all withdrawals by the Client).
- b) Any Online funds transfer or hold amount through bank gateway.
- c) Beneficiary holdings and collateral holdings (after deduction of applicable hair cuts, hair cut subject to a minimum of 30% haircut or rate as per VAR file whichever is more or such other rate as may be

- decided by the Company from time to time).
- d) DP free stock and beneficiary stock (after deduction of applicable hair cuts, hair cut subject to a minimum of 30% haircut or rate as per VAR file whichever is more or such other rate as may be decided by Dealmoney from time to time).
  - e) Credit received against sale of securities, provided securities are not given for Early pay in.
  - f) Margin amount of open positions (in case of derivatives)

In case of sale of Securities, such sale may at the discretion of Dealmoney be provided only to the extent of the availability of securities to the account of the client (DP free Stock, DP lien/hold marked securities, beneficiary and collateral stock).

Further as may be decided by Dealmoney from time to time, the credit received against sale may be used for further purchases to such extent as may be decided and allowed by Dealmoney from time to time. Limits/ Exposure provided shall/may vary based on the intraday profit /loss made by the client. All MTM losses are required to be received as payments only and cannot be adjusted.

### 3. BROKERAGE RATES

The brokerage would be charged to the clients based on the rates mutually agreed upon from time to time, subject to the ceilings prescribed by the exchanges / SEBI.

### 4. PENALTY/ DELAYED PAYMENT CHARGES

Dealmoney may levy late payment charges to the clients who have not cleared their dues towards settlement / margin obligations within the time prescribed by the exchanges from time to time at the rate of 21% p.a. till the dues are cleared. Where Dealmoney has accepted securities with appropriate hair cut for margin purpose (in collateral account), but has to deploy its own funds for meeting margin requirements of the client at the Exchange then Dealmoney may levy interest or delayed payment charge on the funded margin / debit balance at rate mentioned herein above or as specified from time to time. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders/ trades/ deals / actions of the client, the same shall be borne by the client. The Company would pay interest @ 12 % per annum for any delay in payment beyond 24 hours of payout request. However, the Company shall not be liable to pay interest to the Client for any delay for any request under protest or for disputed amount or if there is any default in the Client's account.

### 5. RIGHT TO SELL CLIENTS SECURITIES OR CLOSE CLIENTS POSITIONS, WITHOUT GIVING NOTICE TO THE CLIENT ON ACCOUNT OF NON PAYMENT OF DUES. (LIMITED TO SETTLEMENT/MARGIN OBLIGATIONS)

The Client agrees that Dealmoney would have the discretion to square off the position of the Client, with no obligation of communicating the same to the Client, in following circumstances:

- a) In case of intra-day Margin Trades, if the open position is neither squared off nor converted to Delivery by Client(s) by 3:10 pm.
- b) In case of Margin Trades, where Mark to Market loss on the open position has reached the stipulated percent (as per the risk policy available on the company's website) of the margins placed with Dealmoney and the client(s) have not taken any steps to replenish the margin or reduce Mark to Market Loss.
- c) In all other cases where the margin or security placed by the Client(s) falls short of the requirement or the limits given to the Client(s) have been breached.
- d) Where the Client(s) have defaulted on their existing obligation/ failed to make payments/deliver securities to Dealmoney within the stipulated time.

The Client accepts to comply with Dealmoney's requirement of payment of Margin/settlement obligations of the Client, immediately, failing which DEALMONEY may sell, dispose, transfer or deal in any other manner the securities already placed with it as Margin/lying in the beneficiary account of Dealmoney and/or demat account of client with Dealmoney (operated under POA by Dealmoney) or square-off all or some of the outstanding F&O positions of the Client as it deems fit at its sole discretion without further reference to the Client and any resultant or associated losses that may occur due to such square -off/sale shall be borne by the Client and Dealmoney shall be fully indemnified and held harmless by the Client in this behalf at all times.

Any reference in these terms to sale or transfer of securities by Dealmoney shall be deemed to include sale of securities which form part of the Margin maintained by the Client with Dealmoney.

In exercise of Dealmoney's right to sell securities, the Client agrees that the choice of specific securities to be sold shall be solely at Dealmoney's discretion without any reference to client.

Such liquidation or close out of positions shall apply to any segment/ exchange in which the Client does business with Dealmoney.

The provisions specified herein do not confer any liability on Dealmoney to square off the clients positions. It shall be the responsibility of the client to pay to Dealmoney any due payable to Dealmoney irrespective of whether Dealmoney exercises its right to square off the positions of the client in accordance with the provisions given herein above. Further, as mentioned above Client shall be liable to pay delayed interest on the outstanding amount.

Dealmoney reserves the right to set the threshold limits for liquidation of client's positions, available

securities. Such threshold limits will be communicated periodically from time to time orally, and /or through emails, written correspondences, or through its trading terminals, branch representative, website etc. However, in the event of extreme volatility and/or client's open (outstanding) position resulting in mark to market losses beyond Dealmoney thresholds any time during a trading session, and /or clients positions or collateral being not saleable, thereby forcing Dealmoney to liquidate any of the client's available positions and collateral, same shall be done by Dealmoney during the course of a trading session without recourse to the client.

**6. SHORTAGES IN OBLIGATIONS ARISING OUT OF NETTING**

If the client defaults on its existing obligation and in the event the trade has been internally netted off by Dealmoney, Dealmoney shall have the right to square off the position of the client to make good the shortages arising thereof. Dealmoney shall not be responsible for losses to the Client on account of such square off. All losses to the Client on this account shall be borne solely by the Client and the Client shall indemnify Dealmoney in this respect. Dealmoney follows the close out policy for all internal shortages. The process is defined below:

**1. For internal shortage, the auction closeout policy is as follows:**

T+2 closing rate of that scrip + 10% OR Highest Transaction rate of clients traded through \*XXX\* for that scrip between T to T+2 day. From the both conditions, whichever is higher is charged to the client.

**Working Note:**

- T+2(i.e. 22-Jan-2011) closing rate of McLeod Russel India Ltd = Rs. 134.05; 10% of closing rate = Rs. 13.41. Hence, Closeout rate = Rs. 134.05 + Rs. 13.41 = Rs. 147.46.

And,

- Highest Transaction rate of clients traded through \*XXX\* for that scrip between T (i.e. 20-Jan-2011) to T+2 (i.e.22- Jan-2011) was Rs. 160.35 (that was on 21-Jan-2011)

From the above two conditions the highest rate is Rs. 160.35.

**2. Exchange (Market) auction closeout policy is as follows:**

At the highest price prevailing in the NSE from the first day of the relevant trading period till the day of closing out or 20% above the official closing price on the auction day.

**From the both conditions, whichever is higher is charged to the broker.**

Hence, closeout rate calculated by the exchange for that client would have been calculated as Rs. 171.54.

**Working Note:**

- As per first condition:

20 Jan 11	T	Rs. 147.75
20 Jan 11	T+1	Rs. 171.54
22 Jan 11	T+2	Rs. 134.05

Hence, Closeout rate would have been Rs. 171.54.

And,

- As per second condition:  
T+2 day closing price = Rs. 134.05; 20% of closing rate = Rs. 26.81; Hence, Closeout rate = Rs. 134.05 + Rs. 26.81 = Rs. 160.86/-. From the above two conditions the highest rate is Rs. 171.54.

**7. CONDITIONS UNDER WHICH CLIENT IS NOT ALLOWED TO TAKE FURTHER POSITIONS OR BROKER MAY CLOSE EXISTING POSITIONS**

Dealmoney shall have the right to refuse to execute trades/allow the client to take further positions in the following circumstances:

- Technical failure.
- Securities breaching the limits specified by the Exchanges/regulators from time to time.
- Securities submitted in physical form for settlement.
- Shortfall/breach of threshold limits as per Risk Policy prevalent from time to time.
- Any suspicious trading patterns observed by Risk/Surveillance Dept.
- Other conditions as specified by Dealmoney from time to time in view of market conditions, regulatory requirements, internal policies etc.

Dealmoney shall also have a right to close existing positions of the clients in the abovementioned circumstances and Dealmoney shall not be responsible for any loss incurred by the client due to any of aforesaid conditions of refusal or closure of positions and the client shall keep Dealmoney indemnified at all points of time in this regard.

**8. TEMPORARILY SUSPENDED OR CLOSING OF CLIENT'S ACCOUNT AT THE CLIENT'S REQUEST**

Based on a written request of the client for any reason including but not limited to gravity of the grievances raised by/against the client. Trades in the account of the client during the period of such temporary suspension shall not be permitted. The account shall be reactivated on submission of a written request for reactivation by the client.

**9. DEREGISTRATION OF A CLIENT**

Deregistration/Termination of the client may be with mutual consent of the parties or by giving notice as per the Rights & Obligations entered into between the client and Dealmoney. Such deregistration/termination shall not effect the rights and liabilities of the parties in respect of the transactions executed before the date of such deregistration/termination. Dealmoney may at any time, at its sole discretion and without prior notice to the Client, prohibit or restrict or block the Client's access to the use of web site or

related services and the Client's ability to trade due to regulatory requirements, prevention of money laundering regulations, market conditions and other internal policies.

Further Dealmoney may Freeze the Client Account in following Scenario:

- a) Non submission of important documents for verification.
- b) On account of any legal strictures passed against the client.
- c) On account of any legal strictures passed against the client.

The account shall be reactivated under the following circumstances:

- a) On the vacation of regulatory/legal orders against the client.
- b) Submission of all important documents required for verification.
- c) Fresh submission of all KYC documents required for registration

In addition, Dealmoney may interalia terminate/freeze trading facilities due to regulatory requirements and to comply with provisions of Prevention of Money Laundering Regulations or due to suspicious activities observed by surveillance department or due to

internal risk perception. Such Clients may be re-admitted on submission of fresh KYCs and supporting documents/explanation resolving the earlier observations for de-registering.

#### **10. DORMANT ACCOUNT POLICY**

Client account will be considered as dormant if the Client does not trade for a period of twelve months. The Client has to make written request for reactivation of their account.

#### **Client Acceptance of Policies and Procedures stated hereinabove:**

I/We hereby state that I/we have understood the above and do hereby sign the same in acknowledgement and agree. These Policies & Procedures may be amended/changed unilaterally by Dealmoney provided the change is informed to me/us with through any one or more means or methods in writing. These Policies and Procedures shall always be read along with the rights and obligations of stock brokers, sub-brokers and clients as prescribed by SEBI/ Exchanges and shall be compulsorily referred to while deciding any dispute/difference or claim between me/us and Dealmoney before any court of law/judicial/ adjudicating authority including arbitrator/mediator etc.



**TARIFF SHEET (BROKERAGE DETAILS FOR TRADING ACCOUNT)**

Name of Client:							
Branch Code				Trading Client Code			
	Intraday Trading	Delivery	BSE SLB/ NSE SLB/ MSEI SLB/	BSE/NSE/ MSEI F&O Future	BSE/NSE/MSEI F&O Option, Default (Rs. 100/- per Lot Each Leg)	BSE/NSE/ MSEI Currency Future	BSE/NSE/MSEI Currency Option Default (Rs. 50/- per Lot each Leg)
Brokerage Exclusive of Regulatory Charges	%	%	%	%	Rs. _____	%	Rs. _____
Minimum per Share	5 paisa	5 paisa		5 paisa	N.A.	N.A.	N.A.

Date: \_\_\_\_\_

Place: \_\_\_\_\_

**SCHEDULE OF DP CHARGES (For Demat Accounts)**

Sr	Account Head	Rate	Minimum Payable
1	Dematerialisation	Rs. 5/- per certificate plus Rs. 25/- per request	--
2	Rematerialisation	<b>Remat:</b> Rs. 12/- per 100 securities or part quantity or Rs. 12/- per certificate whichever is higher Plus Rs. 25/- per Request	--
		<b>Restat-SOA/Redemption:</b> 1. For conversion of Mutual Fund (MF) units into SOA (Statement of account)	Rs. 20/- per transaction
		2. For redemption of Mutual Fund (MF) units - 0.04% of redemption value or Rs. 20/- per transaction whichever is higher	
3	Market Transaction (Sell) (Whichever is higher)	0.04% of the Market value of securities	Rs. 20/- per request (for sell transaction)
4	Off-Market Transactions (Sell) (Whichever is higher)	0.04% of the Market value of securities	Rs. 20/- per request (for sell transaction)
5	Account Maintenance Charges (Annually)	Rs. 750/- (Per Annum) - For Individual payable in advance on an annual basis. (w.e.f. 20-02-2017)	--
6	Pledge Creation (Whichever is higher)	0.04% of the Market value of securities	Rs. 30/- per request
7	Pledge Creation Confirmation	NIL	NIL
8	Pledge Closure (Whichever is higher)	0.04% of the Market value of securities	Rs. 30/- per request
9	Pledge Creation Confirmation	NIL	NIL
10	Invocation of Pledge (Whichever is higher)	0.04% of the Market value of securities	Rs. 30/- per request

Notes:

- Account Opening Charges (Trading) Rs. 618.34

- Delayed payment charges - 21% p.a. or as intimated by Company from time to time in writing for Trading and 18% p.a. for debit due to Demat Charges.
- Transaction charges for Beneficiary to Pool (for per Sell transaction) Rs. 20/- GST will be levied additionally.
- Other Statutory Levies, viz. GST, Transaction Charges, STT, Stamp Duty Charges, SEBI Turnover Charges will be levied in addition to the brokerage as stated above, or such other rates of brokerage as intimated to the Client from time to time.

Additionally, GST is charged on Transaction Charges and SEBI Turnover Charges.


- Clearing Charges would be levied in Equity Derivatives and Currency Derivatives segment as follows:
  - a) In derivatives, Rs. 30/- per crore of turnover in Futures and Rs. 1000/- per crore of premium turnover in Options.
  - b) In currency segment, Rs. 40/- per crore of turnover in Futures and Rs. 3000/- per crore of premium turnover in Options.

Additional GST is charged on Clearing Charges.

- All rates and charges are subject to change in the event of Government or Exchange notification.
- All Depository Charges will be debited to Client's trading account. Clients who are not having trading account with us should pay the charges before due date.
- Any other services, which is not mentioned above, will be informed and charged separately.
- The value of transactions will be in accordance with rates provided by the CDSL.
- All charges are subject to revision at the discretion of Dealmoney Securities Private Limited after giving a notice of 30 Days.
- Dealmoney Securities Private Limited may suspend / freeze the depository services of the account holder for non- payment of outstanding bills after giving notice of 30 days.
- For Basic Services Demat Account: if the value of holding in such BSDA exceeds the prescribed criteria at any date, Dealmoney Securities Pvt. Ltd. may levy charges as applicable to normal account (non-BSDA) from that date onwards.
- All market instructions for transfer must be received latest by 4.00 p.m. on the previous working day prior to the pay in date as per SEBI Guidelines. All off market instructions for transfer must be received at least 24 hours before the execution date. Late instructions would be accepted at the account holder's sole risk and responsibility.
- Customer is required to maintain a minimum balance of Rs.1000/- in his/ her ledger account.
- No refund of account opening charges would be given if the account could not be opened due to non submission of complete documents by the client or due to lack of desired co-operation from the client.
- Management reserves the right to freeze, discontinue or suspend any account if required.

I / We have read and understood the "Schedule of Charges" prescribed above and agree to abide by the same.

Signature of account holders:

	First/Sole Holder	Second Holder	Third Holder
Signature 			

**RUNNING ACCOUNT AUTHORISATION**

**VOLUNTARY**

I / we, maintaining a broking account with Dealmoney Securities Private Limited (DSPL) hereby authorize Dealmoney Securities Private Limited to maintain my / our account on Running account basis and settle my funds / securities obligation on:

Monthly  Quarterly

I / we hereby authorize DSPL for the following with regard to my/our broking account for transactions across exchanges / segments where DSPL holds membership.

1) To effect transfer of my / our credit balances in the Capital or Cash market segment of NSE and/or BSE and/or MSEI and/or any other exchange to the ledger or credit of the Derivatives / Currency Derivatives segment / Wholesale Debt Market segment of NSE and/or BSE and/or MSEI or any other exchange or vice-versa to meet the margin and/or settlement obligations on my/our accounts as necessitated.

I / we hereby declare that I / we have read and understood the general guidelines issued by regulators / exchanges to member brokers to release funds and securities payouts to constituents within specified time frame of the exchange payout. However being fully aware of the same, I /we have authorized DSPL to retain / utilize credits as mentioned above, for operational convenience.

2) To retain settlement credits in my / our account and to settle / release the credits or any such amount only on receipt of specific advice / instruction, which can either be oral or in writing. The above is applicable to both funds and securities.

3) To retain and utilize the financial ledger credits (amounts) towards my / our obligations arising of trades executed through DSPL at any exchange / segment in my / our account.

4) I / we undertake that this authorization will continue until it is revoked by me/us and I/we may revoke this authorization at any time.

5) I / we do hereby authorize DSPL to utilize / adjust my / our financial ledger credits towards my investments in Mutual Fund units, debentures, other form of securities, Initial Public Offers (IPOs), FPOs, Fixed Deposits, NCDs, bonds, New Fund Offers etc under my instruction either oral / written.

6) I/we shall send you a written/oral request whenever I/we require delivery /payment of any shares /funds.

7) I /we understand that above mentioned payout of funds/securities would be after considering my margin obligations across all exchanges / segments, settlement obligations across all exchanges/ settlements as specified in risk management policy and as applicable from time to time.

8) In case of outstanding obligation on settlement date you may retain an amount of up to Rs 10,000/- (net amount across segment and across stock exchanges)

I / we further state that this authorization is given by me / us purely out of our choice of convenience. I/we shall not make any claim whatsoever upon DSPL, for DSPL standing guided by this authorization in favor of maintaining my / our account on running account basis.

Signature of Client  \_\_\_\_\_

Name of the Client \_\_\_\_\_

Client Code: \_\_\_\_\_

Date: \_\_\_\_\_



To,  
**Dealmoney Securities Private Limited**  
 A 356/357 Road No.26, Near Wagle Bus Depot,  
 Wagle Estate, Thane 400604.

**Sub:** Request for Sending Contract Notes, Statements of Accounts & Securities & Demat Account Related Documents & Statements on my email

Reference: Trading Account client code number: \_\_\_\_\_ and/or Beneficial Owner (BO) ID: \_\_\_\_\_

Dear Sir,

This is with reference to the Rights & Obligations for registering me/us as Client of Dealmoney Securities Private Limited (hereinafter referred to as DSPL or Stock Broker interchangeably). In this regard, I hereby authorize and request DSPL:

1. To send contract notes, bills, ledgers, transaction statement (statement of fund/ securities), report, letter, Circulars etc. in electronic form on my following Email ID in relation to trades/ transaction done on the exchanges through DSPL.

a. \_\_\_\_\_

Further, I Confirm that aforesaid ECN and communication sent by Stock Broker from time to time to my / our email id shall be deem to have seen delivered to me and it shall be presumed that the same is in order unless any discrepancies are highlighted by me or brought to notice of DSPL in accordance with the rules/bye-laws/regulations of the exchanges/ regulatory authorities. I/ we confirm that non- receipt of bounced mail notification by DSPL shall amount to delivery of the contract note at the above mentioned email ID. I shall not hold DSPL responsible for any delay in delivery due to technical reasons. I agree that Log reports of dispatching software shall be conclusive proof/evidence of delivery.

2. To complete the necessary formalities those are required under the provisions of the Information Technology Act, 2000 for getting the above facility

Further I confirm that:

3. In case I request to receive physical contract notes, bills, ledgers, transaction statement (statement of fund/ securities), report, letter, Circulars and any other documents in addition to the digital copy, then DSPL is authorized to debit the charges as per actual or Rs. 50 per courier whichever is more.

4. I acknowledge that Contract notes, bills, ledgers, transaction statement (statement of fund/ securities) are also be kept for quarter on the web server of DSPL on www.dealmoneyonline.com which can be downloaded by me/us through login id and password provided by DSPL to me/us.

5. The above service may require using password / digital signature and I/ we shall be responsible for confidentiality and proper use at all time of password and/or digital signature for all transactions initiated through aforesaid service.

6. I hereby declare that abovementioned email IDs are created and operated by me.

7. Pursuant to Clause 13 of the rights and obligations of beneficial owner and depository participant as prescribed by SEBI and Depositories, I / We confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

8. I confirm that the dispatch of statement of account to me / us at the above mentioned email address shall constitute full and absolute discharge of your obligation under the said rights and obligations to provide me / us with statement of my/ our BO account. But, I / We reserve my / our BO right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.

9. I confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/ service of my/ our statement of account to me / us shall not be binding upon you unless you are intimated in writing to me/ us by acknowledged delivery.

Yours faithfully,

Signature of Client  \_\_\_\_\_

Name of the Client \_\_\_\_\_

Client Code: \_\_\_\_\_

**AUTHORITY TO DEBIT THE DEMAT ACCOUNT OPERATING CHARGES**

**VOLUNTARY**

To,  
**Dealmoney Securities Private Limited**  
A 356/357 Road No.26, Near Wagle Bus Depot,  
Wagle Estate , Thane 400604.

Dear Sirs,

This is to inform that

- a. I/We have a beneficiary account with **Dealmoney Securities Private Limited (DP)** & with client id \_\_\_\_\_.
- b. Further I/We have a trading account with **Dealmoney Securities Private Limited** (trading code as mentioned below) for investment and trading purpose.
- c. I/We find it extremely inconvenient to give cheques against your depository bills.

With respect to the above mentioned subject and consideration, I hereby authorize you to debit the trading account maintained with **Dealmoney Securities Private Limited** for the debit charges payable to **Dealmoney Securities Private Limited**.

As Depository Participant for providing depository services. Any such sum debited to my/our account shall be binding on me/us.

Yours faithfully,



Signature of Client \_\_\_\_\_

Name of the Client \_\_\_\_\_

Client Code: \_\_\_\_\_

**ADJUSTMENTS OF BALANCES**

**VOLUNTARY**

To,  
**Dealmoney Securities Private Limited**  
A 356/357 Road No.26, Near Wagle Bus Depot,  
Wagle Estate , Thane 400604.

Dear Sirs,

I/We hereby authorize you to maintain my ledger accounts for funds and securities on a regular basis. The ledger account may be treated as open and mutual and current.

I/We hereby authorize you to maintain running account for transactions executed through Dealmoney Securities Pvt. Ltd. on account of initial margin /exposure margin/mark-to-mark et and /or other settlement accounts against any credits lying in the above mentioned accounts or any other accounts maintained by you .

I/We hereby authorize you to effect transfer of my/our credit balances in the Cash market segment of NSE and/or BSE and/or MSEI to the ledger / credit of the Derivatives segment of NSE and/or BSE and/or MSEI, Currency Derivatives segment of NSE and Vice-versa to meet the margin and/or settlement obligations on my/our accounts as may be necessitated .

I/We also authorize you to retain securities received in payout on my/our account with you towards margin in any exchange /segment. I/We also request you to hold my/our shares in your demat Beneficiary owner Account unless I/We specially request you to transfer to my/our demat Beneficiary owner account.

I/We hereby declare that I/we can revoke this authorization at any point of time.

Yours faithfully,



Signature of Client \_\_\_\_\_

Name of the Client \_\_\_\_\_

Client Code: \_\_\_\_\_

Family Declaration – Email/ Mobile Updation in Family Codes

VOLUNTARY

To,  
**Dealmoney Securities Private Limited**  
A 356/357 Road No.26, Near Wagle Bus Depot,  
Wagle Estate, Thane 400604.

**Sub: Details of mobile number, email id & family declaration**

I and my family members hereby request that mobile number and email id, same as mentioned on KRA Page belonging to us shall be considered in your records for the purpose of receiving communication from you or Stock Exchanges/ Depositories with regard to details of trading transactions executed through you.

Thus, any communication relating to our trading and demat account should be sent to the mobile number and email id mentioned on KRA Page. This facility shall be provided to us as an exception, for our convenience of receiving transaction details at a single mobile number and e-mail id. I understand that for the purpose of availing the above facility **“family” means self, spouse, dependent children and dependent parents.**

(As per the SEBI Guidelines)

Sr. No.	Client Name	Client ID / DP ID	Relationship with Undersigned	Signature
i)				
ii)				
iii)				
iv)				
v)				
vi)				

(If family members are more than six, kindly provide details in separate sheet.)

The above details shall be deemed valid till any change is requested under the modification process.

Yours faithfully,



Signature of Client \_\_\_\_\_

Name of the Client \_\_\_\_\_

Client Code: \_\_\_\_\_

LETTER FOR OPERATIONS OF ACCOUNT

VOLUNTARY

To,

**Dealmoney Securities Private Limited**

A 356/357 Road No.26, Near Wagle Bus Depot,

Wagle Estate , Thane 400604.

Dear Sir,

**Sub : Our dealings on the Capital Market Segment/Futures & Options Segment of the BSE/NSE/MSEI.**

With reference to the captioned subject I/We request you to kindly note the following points for smooth conduct of business operations:

1. Stock Broker does not make any representation or warranty about uninterrupted trading facility and as such, under no circumstances shall Stock Broker be liable for any direct, incidental, special or consequential damages that may result from the use of or inability to use the service, delay in transmission of any communication, in any case, for any reason whatsoever (including on account of breakdown in systems).
2. The client further agrees that he would not indulge in any trading activity resulting in the disturbance of the market equilibrium including manipulation of the price of any scrips / contracts, synchronized deals with any person or any kind of orders / trades which may be considered as inappropriate/ unacceptable by Stock Broker/ the relevant exchange(s)/regulator(s). The Client acknowledges that Stock Broker reserves the right to keep in abeyance the funds / securities as may be deemed fit by Stock Broker depending upon the gravity of the violation or/and through trades done by/on behalf of the Client considered as inappropriate / unacceptable by Stock Broker/ the relevant exchange(s) / regulator(s). The client further understands and accepts that Stock Broker can also and recover any penalty levied for such trades done by / on behalf of the Client considered as inappropriate / unacceptable by Stock Broker / the relevant exchange(s) / regulator(s), as may be deemed fit by Stock Broker/ the relevant exchange(s)/ regulator(s).
3. The Client hereby agrees that it is the sole responsibility of the Client to know the status/ declaration of all corporate benefits including but not limited to Rights Issue, Bonus Issue, Dividends and Stock Split of Shares/ Buy Back, etc, announced by Issuer Company from time to time, for securities of company(ies) in which Client intends to trade and/ or those which are kept by Client with Stock Broker for ease of dealing/ margin/ collateral/ security etc. and make appropriate trading/ dealing decisions by appropriately considering the impact of any corporate action(s). Stock Broker is not required to act as an advisor to Client in any of these matters/ aspects. It is the Clients sole responsibility to track announcements of such corporate benefits Stock Broker shall not be liable for any losses suffered by Client, if Client fails to apply to such corporate benefits for the shares held by Stock Broker in beneficiary account on behalf of Client.
4. The Stock Broker may from time to time impose and vary limits on the orders which the Client can place through the Stock Broker's ITORS System or otherwise i.e. offline mode(including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed, the companies in respect of whose securities orders 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, and the Stock Broker may be unable to inform the Client of such variation, reduction or imposition in advance. The Client agrees that the Stock Broker shall not be responsible for such variation, reduction or imposition or the Client's inability to route any order through the Stock Broker's ITORS System on account of any such variation, reduction or imposition of limits. The Client understands and 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 orders or trade in securities through the Stock Broker.
5. The Client agrees and authorizes the Stock Broker to determine the market value of securities placed as margin after applying a haircut (haircut not less than applicable VaR rate) that the Stock Broker deems appropriate. The Clients' positions shall be valued at the latest market price available (marked to market) on a continuous basis by the Stock Broker. The Client undertakes to monitor the adequacy of the collateral and the market value of such securities on continuous basis. If due to price fluctuations, there is erosion in the value of the margins, the Client agrees to replenish any shortfall in the value of the Margins immediately, failing which the Stock Broker may sell, dispose, transfer or deal in any other manner the securities already placed with it as Margin or square off all or some of the positions of the Client as it deems fit in its discretion without further reference to the Client and any resultant or associated losses that may occur due to such square off/sale be borne by the Client, and the Stock Broker is hereby fully indemnified and held harmless by the Client in this behalf.
6. The Stock Broker may, at its sole discretion, prescribe that the payment of Margin money for further trades and/or existing positions shall be in the form of Funds only instead of Securities. The Client accepts to comply

- with the Stock Broker's requirement of payment of Margin in the form of Funds immediately failing which the Stock Broker may sell, dispose, transfer or deal in any other manner the securities already placed with it as Margin or square off all or some of the positions of the Client as it deems fit in its discretion without further reference to the Client and any resultant or associated losses that may occur due to such square off/sale be borne by the Client, and the Stock Broker is hereby fully indemnified and held harmless by the Client in this behalf.
7. Notwithstanding generality of the above clause/s all intra-day positions shall be squared off by 3.10 p.m or such time as amended from time to time, for all the Clients if same is not done by Client. However, at the discretion of Company, same may not be done on a particular day and Clients are expected to monitor their positions themselves at all times.
  8. Stock Broker's system shall automatically squares off client position, without any further reference to Client, if at any time during the day Mark to Mark margin requirement of Client exceed 85% (or such reduced level as may be decided by Stock Broker), of the value of fund, collateral and other securities pledged with Stock Broker or given to Stock Broker as Margin. Further all outstanding / pending orders (if any) during such time shall be cancelled. The Stock Broker shall have the discretion to revise the aforesaid margin requirement limit without any prior intimation to the Clients.
  9. When the Client places a request to cancel/modify an order, the cancellation/modification of that order is not guaranteed by the Stock Broker. The order will only be cancelled/ modified if the Client requests for cancellation/ modification of his/ her order, is received and the order is successfully cancelled before it is executed and the Stock Broker will not be responsible for acceptance or rejection of such requests. No order shall be assumed to be executed/cancelled/modified until a transaction confirmation from the Stock Broker is received by the Client. Notwithstanding anything contained in this document, any orders not executed at the end of Trading Hours will stand cancelled.
  10. The Client agrees to pay the Stock Broker brokerage, stamp duty, Securities Transaction Tax, Service Tax and other taxes and transaction expenses as they exist from time to time and as they apply to the Client's account and transactions, and the services that he receives from and consents to the Stock Broker. A schedule of brokerage, fees and commissions, applicable service and other taxes and other transaction expenses shall be provided by the Stock Broker to the Client in KYC and the changes if any will be intimated to the Client in writing from time to time or at such rates as may be advised from time to time and applicable from time to time. The Client agree that Stock Broker may introduce additional product/s from time to time. Brokerage fee, charges for such product/ s shall be payable and agreed separately.
  11. Client hereby authorizes and consent that the Stock Broker can debit Client's account with depository services charges, bank charges on account of dishonor of cheques at actual, stop payment instruction charges, PGP charges, NEFT/ RTGS charges, SMS charges, settlement/ professional charges, research service/message fee, trading platform charges, application money and processing charges for mutual funds, initial public offerings/follow on public offerings, rights issue, money market instruments, etc. generally various investment avenues/ products, processing fees/charges towards contract note for clients who have opted for ECN and subsequently ask/request for physical contract notes or copy thereof.
  12. For execution of any purchase transaction, the Client would be required to have sufficient buying power in his account with the Stock Broker which shall be blocked at the time of processing purchase order. The purchase order put by the Client through the Web site of the Stock Broker shall be routed through the terminal of the Stock Broker upon the payment of approximate value of securities that are to be purchased by the Client through cheque/demand draft/pay order or transfers from the payment gateway of designated bank account to the Stock Broker in advance. However Stock broker may its discretion allow purchase even if there are insufficient funds in client account.
  13. The Stock Broker reserves the right to cancel any order put by the Client through the Internet or otherwise without giving any reasons thereof to the Client from time to time.
  14. The Client shall be responsible for all his orders, including any orders, which exceed the available limits in his account. If the payment is not received as aforesaid then the Stock Broker may square off said transaction, without any prior intimation to the Client. In the event of the liquidation of the account of transaction, the Client shall be liable for any resulting losses and all associated costs incurred by the Stock Broker.
  15. All debits/charges, including but not restricted to auction charges maintained by the Stock Broker due to short deliveries made by the Client shall be fully recoverable by the Stock Broker from the Client.
  16. Furthermore, the Stock Broker, from time to time, receives late reports from exchanges reporting the status of transactions. Accordingly, the Client shall be subjected to late reports related to orders that were previously unreported to him or reported to him as being expired, cancelled or executed and the same shall be binding

on the Client. In addition, any reporting or posting errors, including errors in execution prices, will be corrected to reflect what actually occurred in the market place.

17. The Client shall trade during trading hours. However, Client may make order entry off market hours, which may be pushed into the system at the start of the next trading session whenever the Stock Broker offers such facility. The Stock Broker reserves the sole right to offer and withdraw this facility in accordance with exchange guidelines in this regard, if any.
18. The Client acknowledges that the Stock Broker shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment. This extends to any decision made by the Client on the basis of any information that may be made available by Stock Broker/ its employee(s) including that on the website / trading platform / through SMS etc. The Client will not hold nor seek to hold Stock Broker or any of its officers, directors, employees, agents, subsidiaries, affiliates or business associates liable for any trading losses or other losses, costs or damage incurred by the Client consequent upon relying on information, research opinions or advice or any other information whatsoever including that on the website whether put up by Stock Broker or any other agency. The Stock Broker does not represent and shall not be deemed to have represented, that the investment information is accurate or complete. The Client is aware that any information based on the research of Stock Broker or other external sources is merely an estimation of the viability or otherwise of certain investments, and Stock Broker shall not be deemed to have assumed any responsibility for such information. The Client should seek independent professional advice regarding the suitability of any investment decision. The Client also acknowledges that Stock Broker's employees / agents are not authorized to give any such advice and that the Client will not solicit or rely upon any such advice from Stock Broker or any of its employees / agents. The Client agrees that in the event of the Stock Broker or any employee or official of the Stock Broker providing any information, recommendation or advice to the Client, the Client may act upon the same at the sole risk and cost of the Client, and the Stock Broker shall not be liable or responsible for the same.
19. Further it is clearly understood and agreed to by Client that no service/ facility in the nature of portfolio management/ advisory services etc. are contemplated under the these presents no person working for or under Stock Broker whether dealer, relationship manager, sub-broker or authorized person is permitted to provide any services/facilities except that of order placement in trading system (subject to limitations stated above) upon directions of Client. If the Client accepts any portfolio management services/advises/ discretionary trading arrangement / facility from any person including but not limited to dealer, relationship manager, sub-broker or authorized person then in that event Stock Broker shall in no way be responsible for the outcome of such services / facilities accepted by Client, and the relationship of Client with any person including with any dealer, relationship manager, sub-broker or authorized person shall be a personal, mutual and private relationship between the Client and such person(s) including dealer, relationship manager, sub-broker or authorized person and Client shall have no recourse/right against Stock Broker what so ever either in law or equity. The Client assumes full responsibility with respect to all his investment decisions and transactions in his account with Stock Broker or any other account. The Client hereby agrees to use the facilities, data and information which is provided by Stock Broker or which may become available to the Client as a result of Client's relationship with Stock Broker purely for purposes permitted by Stock Broker and only for personal use and agrees never to disseminate any information or data for any reason or purposes whatsoever except under a written authority signed by a director of Stock Broker.
20. The Client represents and warrants that he is an NRI/OCI in terms of the definition laid down by the Reserve Bank of India(RBI) and the documents submitted, and shall, at reasonable intervals, establish to the satisfaction of the Stock Broker as well as the Bank about his continuation of the NRI status.
21. The Client represents and confirms that there is no prohibition or any restriction from or under the Laws of the land/country of his domicile, residence or workplace on carrying out on line /off line securities transactions in Indian Securities in his capacity as an NRI/OCI and the procedure of registration and/or reporting in that country, if required, shall be carried out by him without making the Stock Broker responsible for any such contravention/ procedural requirement.

**22. NOTICES AND COMMUNICATIONS:**

The Client hereby agrees that Stock Broker may communicate/ send information to the Client like order placement, order confirmations, order modifications, order executions, trade confirmations, trade modifications, bills, transaction statements, account statements, margin requirements, trading / settlement cycles, delivery / payment schedules, policies, procedures, notices, frequently asked questions (FAQs) and any other documents / reports, termination notice, using any or more of the following means or methods such as post / speed post / courier / registered post / registered post acknowledgement due /e-mail / telephone(telephone includes devices such

as mobile phones etc.) including SMS on the mobile phone or any other similar device; by informing the Client through employees / agents of Stock Broker, by publishing / displaying it on the website of Stock Broker / making it available as a download from the website of Stock Broker; or any other suitable or applicable mode or manner. The Client agrees not to challenge the same on grounds like delayed receipt / non receipt or any other reasons whatsoever. Any communication sent by the Stock Broker to the Client shall be deemed to have been properly delivered or served, even if such communication is returned to the Stock Broker as unclaimed / refused / undelivered, if the same is sent to the ordinary place of residence and /or the last known address of the party, in anyone or more of the ways mentioned in clauses above. The Client agrees that it is his / her/ its responsibility to review any / all information communicated including but not limited to order placement, order confirmations, order modifications, order executions, trade confirmations, trade modifications, bills, transaction statements, account statements, margin requirements etc. communicated to the Client by any of the aforesaid means or mode whatsoever, immediately on their receipt and take necessary action within reasonable time. All information contained therein shall be binding upon the Client. All notices and communications between Client and the Stock Broker shall be in English language only.

23. Client further agrees that he will not be compensated by the Stock Broker for "lost opportunity" viz. notional profit on buy /sell order which could not be executed. Further more, in a technical environment should an error occur with respect to the tracking of any account holding or order entry, the true, actual and correct transaction or position will be restored.

Thanking you.

Yours faithfully,



Signature : \_\_\_\_\_

Date : \_\_\_\_\_

Name of Client : \_\_\_\_\_

Place : \_\_\_\_\_

<b>Risk Assessment of Client in terms of PMLA 2002</b>					
Type of Client	High Risk	Low Risk	Medium Risk	CSC (Client Special Category)	PEP (Politically Exposed Person)
at the time of account opening	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>				
Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with Dealmoney Securities Private Limited					
<b>For Dealmoney Securities Private Limited</b>					
Director/Authorised Signatory					

**Additional KYC Form for Opening a Demat Account**

**For Individuals**

**Dealmoney Securities Private Limited**

A 356/357 Road No.26, Near Wagle Bus Depot, Wagle Estate , Thane 400604.

(To be filled by the Depository Participant)

Application No.		Date													
DP Internal Reference No.															
DP ID	1	2	0	4	5	5	0	0	Client ID	0	0				

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

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

**Holders Details**

Sole / First Holder's Name		PAN													
		UID													
Second Holder's Name		PAN													
		UID													
Third Holder's Name		PAN													
		UID													

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

Type of Account	(Please tick whichever is applicable)		
Status	Sub - Status		
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual-Director	<input type="checkbox"/> Individual Director's Relative
	<input type="checkbox"/> Individual HUF / AOP	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Individual Margin Trading A/C (MANTRA)
	<input type="checkbox"/> Minor	<input type="checkbox"/> Others (specify)	
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non-Repatriable	<input type="checkbox"/> NRI-Repatriable Promoter
	<input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> Others (specify)
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign - National	<input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Others (specify)

**Details of Guardian (in case the account holder is minor)**

Guardian's Name		PAN												
Relationship with the applicant														

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be 'Yes')	<input type="checkbox"/> Yes <input type="checkbox"/> No
---	--

I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
---	--

Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No

I/ We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
---	--

I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)
---

I / We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time ]	<input type="checkbox"/> Yes <input type="checkbox"/> No
--	--



**Bank Details (Dividend Bank Details)****MICR code starting with 000 will not be eligible for ECS.**

Bank Code (9 digit MICR code)									
IFS Code (11 character)									
Account number									
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Cash Credit <input type="checkbox"/> Others (specify)								
Bank Name									
Branch Name									
Bank Branch Address									
City	State	Country			PIN				

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque 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 and it shall be self-certified by the BO.

<b>SMS Alert Facility</b>	<input type="checkbox"/> Yes MOBILE NO. +91 _____	<input type="checkbox"/> No									
Refer to Terms & Conditions given as <b>Annexure-2.4</b>	[(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).										
<b>Transactions Using Secured Texting Facility (TRUST).</b> Refer to Terms and Conditions Annexure – 2.6	I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I/We have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST										
	<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></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)							
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)									
<b>easi</b>	<input type="checkbox"/> Yes. To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/> No									

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

	First/Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Signature			

(Signatures should be preferably in black ink).

**(In case of more authorised signatories, please add annexure)**

**POWER OF ATTORNEY DP (for Demat Account)**

To all to whom these presents shall come this POWER OF ATTORNEY made and executed at \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_ by

	1	2	3
Name			
Age			
Address			

I/We, the above named, Indian inhabitant send greetings. Whereas, I/we hold a Beneficiary Account No. \_\_\_\_\_ with Central Depository Services (India) Limited through Dealmoney Securities Private Limited DP ID 12045500.

And Whereas I/We have also entered into the Rights & Obligations with Dealmoney Securities Private Limited (hereinafter referred to as DSPL or Attorney), a member of Bombay Stock Exchange Ltd., National Stock Exchange of India Ltd. and Metropolitan Stock Exchange of India Limited bearing SEBI registration numbers INZ000159435 for availing of the offline/online broking services and other services offered by DSPL. WHEREAS, to facilitate proper execution of all the transactions including but not limited to transactions for purchase, sale, investments, subscription for Equity, IPOs, Mutual Funds, or order for purchase or sale of or application for any offer or public issue of shares, stocks, bonds, debentures, mutual funds units of any collective investment scheme, or any other securities or financial instrument and to sell the securities on my/our behalf in any buy back or open offers made by the issuer of such securities or any other financial products offered by DSPL through the website www.dealmoneyonline.com or otherwise and to have read, understood and agreed to be bound by the Terms and Conditions of the service(s), appearing on the website www.dealmoneyonline.com or as specified by the DSPL or as amended from time to time. DSPL requires the authority to give instructions for the transfer of securities from the Beneficiary Account (DP) and to convey my/our other online/offline instructions and thereof so as to assist DSPL in properly executing all transactions. I/we, am/are desirous of appointing DSPL as my/our attorney for such aforesaid purposes and for settlement pay-ins.

NOW THESE PRESENTS WITNESS I/We do hereby jointly or severally nominate, constitute and appoint Dealmoney Securities Private Limited, a Company incorporated under the Companies Act, 1956 acting through any of its officer/s as my/our true and lawful Attorney (hereinafter referred to as 'the said Attorney') for me/us, in my/our name, and on my/our behalf and at my/our risk and costs to do, perform or execute all or any of the following acts, deeds, matters and things mentioned hereunder:

- a. to debit securities and/or to transfer securities from the aforesaid demat account for the purpose of delivering the same to the clearing houses of the recognized stock exchanges toward any segment in respect of securities sold by me/us through them, including transfer towards a pre-payin/early pay- in at the stock exchanges and towards stock exchange related margin/delivery/settlement obligations arising out of trades executed by me/us on the stock exchange through "the said Attorney".
- b. Pledge the securities in favour of "the said Attorney" for the limited purpose of meeting the margin requirements in connection with the trades executed by me/us on the stock exchange/s through DSPL.
- c. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. pursuant to my/our instruction and accordingly transfer credit balance in my/our trading account, to the account of AMC, R&T and Public Limited Company as the case may be. To confirm having read and understood the contents of the offer documents of various schemes of mutual funds in which the Company may invest on behalf of me/us and not to hold the mutual fund /asset management company liable for any transaction processed on the basis of information provided by DSPL.
- d. To return securities that may have been received by it erroneously or those securities or fund that it was not entitled to receive from the me/us.  
I/We, further authorize 'the said Attorney' (Stock Broker/Depository Participant ) to send consolidated summary of scrip-wise buy and sell positions taken with average rates to me/us by way of SMS / email on a daily basis.  
This authority is restricted to the aforesaid purposes arising out of the transactions effected by me through Dealmoney Securities Private Limited at NSE &/or BSE &/or MSEI and/or for my/our other investments and I ratify the instructions given by the aforesaid attorney to the Depository Participant or other service providers like AMCs, issuers etc named here in above in the manner specified here in above.

Third Joint Holder



Second Joint Holder



First/Sole Holder





For the purpose of above, "the said Attorney" can move securities from my/our Demat account to its following accounts:


DP Id	Client Id	CM BP Id	Type of A/c	Depository	Exchange
IN300095	11 607029	IN566544	Pool A/c	NSDL	NSE
IN300095	11 606323	IN656405	Pool A/c	NSD L	BSE
12045500	00001819	-----	Principal A/c	CDSL	BSE
12045500	00 001857	-----	Beneficiary A/c	CDS L	BSE
IN300095	11605718	-----	Beneficiary A/c.	NSDL	BSE/ NSE
12045500	00 001823	-----	Pool A/c	CDS L	BSE
12045500	00001804	-----	Pool A/c	CDSL	NSE
12045500	00001861	-----	Beneficiary A/c	CDSL	NSE
12045500	00006481	-----	Collateral A/c	CDSL	NSE & BSE
12045500	00375181	-----	Pool A/c	CDSL	MSEI

My/our Bank account to which funds can be transferred would be as mentioned in my/our KYC or as intimated from time to time and shall not be governed by this POA as I/we are not giving any authority for operation of bank account. Any change in other account information shall be intimated in writing and / or digitally signed e-mail by both parties and shall form part of this POA.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney is revocable at any time in writing and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at A 356/357 Road No. 26, Near Wagle Bus Depot, Wagle Estate, Thane - 400604.

Name [1]. \_\_\_\_\_ ) 

Name [2]. \_\_\_\_\_ ) 

Name [3]. \_\_\_\_\_ ) 

WITNESS 1:

WITNESS 2:

Sign : \_\_\_\_\_ ) Sign : \_\_\_\_\_ )

Name : \_\_\_\_\_ ) Name : \_\_\_\_\_ )

Address: \_\_\_\_\_ ) Address: \_\_\_\_\_ )

\_\_\_\_\_ ) \_\_\_\_\_ )

\_\_\_\_\_ ) \_\_\_\_\_ )

I/ We accept

For **Dealmoney Securities Private Limited**

Director/Authorised Signatory

## NOMINATION DETAILS

(For Individuals Only)



**CDSL**  
Your Depository

### DEALMONEY SECURITIES PRIVATE LIMITED

A 356/357 Road No.26, Near Wagle Bus Depot, Wagle Estate , Thane 400604.

I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

I/We **do not wish to nominate any one for this demat account.**

I/We **nominate** the following persons who is/are entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of my / our death.

Nomination Registration No.	Dated

#### Nominee details

Nominee Name:	Nominee 1	Nominee 2	Nominee 3
*First Name			
Middle Name			
*Last Name			
*Address			
*City			
*State			
*Pin			
*Country			
Telephone No.			
Fax No.			
PAN			
E-mail ID			
*Relationship with BO (if any)			
Date of Birth (Mandatory if nominee is a minor)			
Name of Guardian of Nominee (if Nominee is a minor)			
*First Name			
Middle Name			
*Last Name			
*Address of the guardian of nominee			
*City			
*State			
*Country			
*Pin			

Age			
Telephone No.			
Fax No.			
E-mail ID			
*Relationship of the Guardian with the Nominee			
*Percentage of allocation of securities			
*Residual Securities (Please tick any one nominee, if tick not marked the default will be first nominee)			




Note: Residual securities: in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

\* Marked is Mandatory field

This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.

Place: \_\_\_\_\_ Date: \_\_\_\_\_

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

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

(Signatures should be preferably in blue ink).

Note: One witness shall attest signature(s) / Thumb impression(s).

**Details of the Witness (Other than account holder, nominee and guardian)**

Names of <b>Witness</b>	
Address of <b>Witness</b>	
Signature of <b>Witness</b>	

(To be filled by DP)

Nomination Form accepted and registered wide Registration No. \_\_\_\_\_ dated \_\_\_\_\_.

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

**ACKNOWLEDGEMENT RECEIPT**

Received nomination from:

DP ID	1	2	0	4	4	5	0	0	Client ID	0	0						
Name																	
Address																	
Nomination in favour of																	
First Nominee																	
Second Nominee																	
Third Nominee																	
No Nomination	<input type="checkbox"/> Does not wish to nominate																
Registration No.											Registered on						

For Dealmoney Securities Private Limited

(Authorised Signatory)

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

#### Definitions:

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

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

#### Availability:

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

#### Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto: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.



Sole / First Holder



Second holder



Third Holder

**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	5	0	0		0	0							
---	---	---	---	---	---	---	---	--	---	---	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name : \_\_\_\_\_

Second Holder's Name : \_\_\_\_\_

Third Holder's Name : \_\_\_\_\_

Mobile Number on which messages are to be sent

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

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

The mobile number is registered in the name of: \_\_\_\_\_

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



Signatures

Sole / First Holder



Second holder



Third Holder

Place: \_\_\_\_\_

Date: \_\_\_\_\_

## **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, EBI (Depositories and Participants) Regulations, 1996, 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, 1996 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.

### **Statement of account**

13. 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.
14. 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.
15. 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.
16. 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**

17. 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.
18. 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

19. 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.
20. 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

21. 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

22. 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.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

#### Redressal of Investor grievance

24. 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

25. 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

26. 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.
27. 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.
28. 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.
29. 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
30. 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.
31. 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.



Sole / First Holder



Second holder



Third Holder

## Annexure – 2.6

### Terms and Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL

#### 1. Definitions:

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

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
  - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
  - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
  - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
  - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time . . Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
  3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
  4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
  5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
  6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
  7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
  8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
  9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .
  10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
  11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
  12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
  13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
  14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
  15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
  16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
  17. Indemnity:  
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
  18. Disclaimer:  
Depository shall be absolved of any liability in case:-
    - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
    - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
    - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

### HUF DECLARATION

Date: \_\_\_\_\_

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

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

Sr No	Name of Family Members	Relation	Male/Female	Date of Birth
1				
2				
3				
4				
5				
6				

I hereby also declare that the particulars given by me as above are true to the best of my knowledge as on date for making this Application to open new demat Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that i will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,  
Yours truly,

(X)

Karta  
(Affix stamp of HUF)

### CONFIRMATION FOR HUF

I/We the co-parceners of \_\_\_\_\_ H.U.F., do hereby confirm that we have no objection to \_\_\_\_\_ who is the Karta of the aforesaid H.U.F. to issue standing instructions by means of either a Power of Attorney / Authorization letter to Dealmoney Securities Private Limited

We understand that this Power of Attorney / Authorisation letter issued to Dealmoney Securities Private Limited, is for the explicit purpose of delivery of shares sold by the Karta on behalf of the H.U.F.

Beneficiary Account No.: **1204450000**

**Name of Co-parceners**

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_
6. \_\_\_\_\_



Co-parceners Signature



Co-parceners Signature



Co-parceners Signature



Co-parceners Signature



Co-parceners Signature



Co-parceners Signature

**FATCA/CRS DETAILS**

Client Code		Date: _____
-------------	--	-------------

The below information is required for all applicant(s) / guardian / PoA holder.




Sr. No.	Details	1st Holder	2nd Holder	3rd Holder
1	Are You a Tax Resident of Country other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2	Is your Country of Birth/Citizenship other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
3	If your Residence address/Mailing address/Telephone No. other than in India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
4	Is the POA holder/person to whom signatory authority is given, covered under any of the categories 1, 2 or 3 above?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

If you have answered YES to any of above, please provide the below details

Sr. No.	Details	1st Holder	2nd Holder	3rd Holder
1	Country of Residence			
2	Nationality			
3	Tax Identification No. or Reason for not providing TIN			
4	Identification Type (TIN or Other, please specify)			
5	Residence address for tax purposes (include City, State, Country & Pin code)			
6	Address Type	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Regd. Office	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Regd. Office	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Regd. Office
7	City of birth			
8	Country of birth			

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

I/We agree to indemnify Dealmoney Securities Private Limited in respect of any false, misleading, inaccurate and incomplete information regarding my/our "U.S. person" status for U.S. federal income tax purposes. or in respect of any other information as may be required under applicable tax laws.

	First / Guardian Applicant	Second Holder	Third Holder
Name			
Signature			
PAN			

**FATCA-CRS Instruction**

**Details under FATCA/CRS/Foreign Tax Laws:** The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income Tax Rules 1962, which Rules require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In certain circumstances (including if we do not receive a valid self -certification from you) we may be obliged to share information on your account with relevant tax authorities/appointed agencies. If you have any questions about your tax residency, please contact your tax advisor. Should there be any **change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.** Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

FOR NRI / FN

VOLUNTARY

Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

**TO WHOMSOEVER IT MAY CONCERN**

I/We agree to abide by all necessary rules and regulations introduced or amended from time to time by all statutory government bodies in India, and guidelines as prescribed by the Reserve Bank of India under the Foreign Exchange Management Act, 1999 (FEMA).

Further, in the process of opening my/our accounts with the Indian Bank/s, members of Indian Stock Exchange/s, and Depository Participants, I/We have complied with the current laws and will continue to do so as required for the proper maintenance of the aforesaid accounts.

In case there is any change in my/our status from Resident to Non-resident or vice versa, I/We shall inform all concerned agencies of the same and will abide by the procedures and requirement for the transition.

Signature 

Name: \_\_\_\_\_

**Confirmation of Receipt of executed documents**

Client Code: \_\_\_\_\_

Dear Sir,

I/We hereby acknowledge the receipt of duly executed copy of Account Opening Form (Trading & DP), Rights and Obligations (Trading & DP), RDD, Guidance Note (Do's & Dont's), Policies and Procedures, Tariff Sheet (Trading), Schedule of Charges (DP), SMS Alert, Power of Attorney and all other documents as executed by me/us.

Signature of Client:  \_\_\_\_\_

Date: \_\_\_\_\_