

For Individuals

PHOTOGRAPH
Please affix your
recent passport
size photograph
and sign across it

1

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Father's/Spouse Name: _____
3. a) Gender : Male Female b) Marital status: Married Unmarried c) DOB: _____ (dd/mm/yyyy)
4. a) Nationality: Indian Other Residential Status : RI NRI Other
b) Status: Resident Individual Non Resident Foreign National
5. a) PAN: _____ b) Unique Identification Number (UID)/Aadhaar, if any: _____
6. Specify the proof of Identity submitted: _____

B. ADDRESS DETAILS

1. Address for correspondence: _____

City/town/village: _____ Pin Code: _____ State: _____ Country: _____
2. Contact Details: Tel.(O) _____ (R) _____ Mobile: _____
Email _____
3. Specify the proof of address submitted for correspondence address: _____
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant): _____

City/town/village: _____ Pin Code: _____ State: _____ Country: _____
5. Specify the proof of address submitted for permanent address: _____

C. OTHER DETAILS

- Gross Annual Income Details (please specify): Income Range per annum: Below 1 Lac 1-5 Lac 5-10 Lac
 10-25 Lac >25 Lacs or 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)
 4. Education Qualifications : Graduate Post Graduate Professional other
 5. Any other information: _____

DECLARATION

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

2 _____
Signature of the Applicant Date: _____ (dd/mm/yyyy)

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"/> Others (specify) <input type="checkbox"/> Individual Margin Trading A/C (Mantra)
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI - Depository Receipts <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify)
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National-Depository Receipts <input type="checkbox"/> Others (specify)

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

(The Personal Information required to register for DP has already been provided in the application. The additional information required is as under):

Second Applicant Details:

Name : _____
 Father / Husband Name : _____ Date of Birth _____
 Permanent Address : _____
 _____ Pin Code: _____
 Telephone: _____ Fax: _____ Mobile: _____ SMS Facility : Yes No
 Occupation : _____ Gender : Male Female
 PAN No.: _____ E-mail : _____
 Gross Annual Income Details (please specify): Income Range per annum: Below 1 Lac 1-5 Lac 5-10 Lac
 10-25 Lac >25 Lacs

Third Applicant Details:

Name : _____
 Father / Husband Name : _____ Date of Birth _____
 Permanent Address : _____
 _____ Pin Code: _____
 Telephone: _____ Fax: _____ Mobile: _____ SMS Facility : Yes No
 Occupation : _____ Gender : Male Female
 PAN No.: _____ E-mail : _____
 Gross Annual Income Details (please specify): Income Range per annum: Below 1 Lac 1-5 Lac 5-10 Lac
 10-25 Lac >25 Lacs

Details of Guardian

Name : _____
 Father / Husband Name : _____ Date of Birth _____
 Permanent Address : _____
 _____ Pin Code: _____
 Telephone: _____ Fax: _____ Mobile: _____ SMS Facility : Yes No
 Occupation : _____ Gender : Male Female
 PAN : _____ E-mail : _____
 Gross Annual Income Details (please specify): Income Range per annum: Below 1 Lac 1-5 Lac 5-10 Lac
 10-25 Lac >25 Lacs

For NRIs

Foreign Address: _____
 _____ Pin Code _____

I/ we have read the terms and conditions DP-BO agreement and agree to abide by and be bound by the same and by the bye laws as are in force from time. I/We declare that the particulars give 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 / misleading information given by me/us or suppression of any material information will render my account liable of termination and suitable action.

Please affix
your recent
passport size
photograph
duly signed
across

Second Holder Sign across it

Please affix
your recent
passport size
photograph
duly signed
across

Third Holder Sign across it

(Signature Card)

DP ID	1	2	0	5	1	4	0	0	Client ID								
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	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	<div style="border: 1px solid black; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">3</div> <div style="border: 1px solid black; padding: 2px; font-size: small; margin-top: 5px;">1st</div>	<div style="border: 1px solid black; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">2</div> <div style="border: 1px solid black; padding: 2px; font-size: small; margin-top: 5px;">2nd</div>	<div style="border: 1px solid black; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">3</div> <div style="border: 1px solid black; padding: 2px; font-size: small; margin-top: 5px;">3rd</div>

I / We Instruct you to receive credits automatically in to my / our account in accordance with Regulation 42(b) of SEBI (D&P) Regulations (Default is Yes-Resident Indian & Non for NRIs	(Automatic Credit) <input type="checkbox"/> Daily <input type="checkbox"/> Weekly
Account Statement Requirement : <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 Sole / First Holders E-mail ID stated in the Account Opening Form or at _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you wish to receive dividend / interest Directly in to your bank account given in Bank Account Details through ECS?	<input type="checkbox"/> Yes <input type="checkbox"/> No

FOR OFFICE USE ONLY

(Originals Verified) True Copies of Documents receive (Self-Attested) Self Certified Document copies received

For **B N Rathi Securities Limited**

Authorised Signatory

Date :

Seal/Stamp of the intermediary

Blank

KNOWYOURCLIENT(KYC)APPLICATIONFORM

For Non-Individuals

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Date of incorporation: _____ (dd/mm/yyyy) & Place of incorporation: _____
3. Date of commencement of business: _____ (dd/mm/yyyy)
4. a) PAN: _____ b) Registration No. (e.g. CIN): _____
5. Status (please tick any one): Private Limited Co. Public Ltd. Co. Body Corporate Partnership
 Trust Charities NGO's FI FII HUF AOP Bank Government
Body Non-Government Organization Defense Establishment BOI Society LLP
 Others (please specify) _____

B. ADDRESS DETAILS

1. Address for correspondence: _____

City/town/village: _____ Pin Code: _____ State: _____ Country: _____
2. Contact Details: Tel.(O) _____ (R) _____ Mobile: _____ Email _____
3. Specify the proof of address submitted for correspondence address: _____
4. Registered Address (if different from above): _____

City/town/village: _____ Pin Code: _____ State: _____ Country: _____
5. Specify the proof of address submitted for registered address: _____

C. OTHER DETAILS

- Gross Annual Income Details (please specify): Income Range per annum: Below 1 Lac 1-5 Lac 5-10 Lac
 10-25 Lac 25 Lacs -1 Crore >1 Crore
2. Net-worth as on (date) (dd/mm/yyyy): _____ (*Net worth should not be older than 1 year)
 3. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:

 4. DIN/UID of Promoters/Partners/Karta and whole time directors: _____
 5. Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors: Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)
 6. Any other information: _____

DECLARATION

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

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Name & Signature of the Authorised Signatory

Date: _____ (dd/mm/yyyy)

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
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/PIO Card/OCI Card 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. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - *List of documents admissible as Proof of Address:*

*(*Documents having an expiry date should be valid on the date of submission.)*

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook — Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For 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

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, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

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

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

A) BANK ACCOUNT DETAILS

For Individuals & Non-individuals

Bank Name	Branch Address	Bank Account No.	Account Type *	MICR No	IFSC Code

• Please provide Cancelled Cheque leaf for MICR & IFSC Code ★ Saving/Current, Others-In- case of NRI/NRE/NRO

B) DEPOSITORY ACCOUNT DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

C) TRADING PREFERENCES 8 (Sign all if required)

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

Exchanges	Segments	Exchanges	Segments
NSE	Cash 8 A _____	BSE	Cash 8 D _____
	F&O 8 B _____		F&O 8 E _____
	C D 8 C _____	MCX-SX	C D 8 F _____

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

D) 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: _____

E) DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

	NSE	BSE
Sub-broker's Name		
Registered office address		
SEBI Registration Number		
Phone:		
FAX:		
Website:		

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

Name of stock broker: _____ Name of Sub-Broker, if any _____

Client Code: _____ Exchange: _____

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

F) ADDITIONAL DETAILS

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

Specify your Email id, if applicable: _____

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

• Number of years of Investment/Trading Experience: _____

• 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: (Attach Annexure) _____

• Any other information: _____

G) INTRODUCER DETAILS (optional)

Name of the Introducer: _____

Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify _____

Address and phone no. of the Introducer: _____

Signature of the Introducer: _____

H) NOMINATION DETAILS (for individuals only)

We wish to nominate

We do not wish to nominate

Name of the Nominee: _____ Relationship with the Nominee: _____

PAN of Nominee: _____ Date of Birth of Nominee: _____

Address and phone no. of the Nominee: _____

If Nominee is a minor, details of guardian:

Name of guardian: _____ Address and phone no. of Guardian: _____

Signature of guardian _____

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

Name: _____

Name: _____

Signature: _____

Signature: _____

Address: _____

Address: _____

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 Place: _____

(9) _____

Date: _____

Signature of Client/ (all) Authorized Signatory (ies)

UCC Code allotted to the Client: _____

FOR OFFICE USE ONLY

	Documents verified with original	Client Interviewed by	In person Verification done by
Name Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

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

For **B N Rathi Securities Limited**

Authorised Signatory

Seal/Stamp of the intermediary

Date : _____

INSTRUCTIONS / CHECK LIST

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

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

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

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

**(IV) AGREEMENT BETWEEN A PARTICIPANT AND A PERSON SEEKING
TO OPEN A BENEFICIAL OWNER'S ACCOUNT**

This Agreement made and entered into at Hyderabad this _____ day of _____ 20_____ between **B.N. RATHI Securities Limited** having its Regd. office at 6-3-652, IV Floor, "Kautilya" Amrutha Estates Somajiguda, Hyderabad - 500 082. hereinafter called "the Participant" of the One Part;

AND _____ having his / its office / registered office / address at _____

herin after called "the Beneficial Owner" of the Other Part.

WHEREAS the Beneficial Owner is desirous of opening a beneficial owner's account with the Participant and the Participant has agreed to open an account in the name of the Beneficial Owner and render service to the Beneficial Owner as a participant, on the terms and conditions recorded here in below :
NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS FOLLOWS :

General Clause

1. The parties hereto agree to abide by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Bye Laws and Operating Instructions issued by CDSL from time to time in the same manner and to the same extent as if the same were set out here in and formed part of this Agreement.

Fees, Charges and deposits

2. The Participant shall be entitled to change or revise the fees, charges or deposits from time to time provided however that no increase there in shall be effected by the Participant unless the Participant shall have given at least one month's notice in writing to the Beneficial Owner in that behalf. In case the Beneficial Owner committing a default in the payment of any such amount payable to the Participant on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified), the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid (not exceeding 18%) per annum or part thereof. On such continued default, the Participant after giving two days notice to the Beneficial Owner shall have a right to stop processing of instructions of Beneficial Owners till such time he makes the payment along with interest if any.

Statement of Account

- 3.1 The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter. The statement of accounts to be provided to the beneficial Owner under this agreement shall be in the form specified in Operating instructions or as communicated by CDSL from time to time. The participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.
- 3.2 It is agreed that if a participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the Participant, then the Participant will furnish to the Beneficial Owner the statement of accounts under the digital signature, as governed under the Information Technology Act, 2000. Provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode, then irrespective of having forwarded the same via electronic mode, the Participant shall be obliged to provide a physical copy thereof to the BO.
- 3.3 It is agreed and understood between the parties that if the Participant does not have the facility of providing the statement of account in the electronic mode, then the Participant shall be obliged to forward the statement of account only in physical form.

Beneficial Owner shall intimate change of particulars

4. The Participant shall not be liable or responsible for any loss that may be caused to the Beneficial Owner by reason of his/its failure to intimate change in the particulars furnished to the Participant from time to time, unless notified by the Beneficial Owner.

Participant is not liable for claims against Beneficial Owner

5. CDSL shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/or expenses arising from the claims of third parties or for any fees, charges, taxes, duties, levies or penalties levied, imposed or demanded by any Central, State, statutory or revenue authority in respect of securities credited to the Beneficial Owner's account.

Authorised Representative

6. Where the Beneficial Owner is a body corporate or a legal entity, it shall, simultaneously with the execution of the Agreement furnish to the Participant, 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 forth with communicated to the Participant.

Closure of Account

7. The Beneficial Owner, may, at any time terminate this Agreement by calling upon the Participant to close his/its account with the Participant in the manner and on the terms and conditions set out in the By Laws and the procedure laid down in the Operating Instructions. In the event of termination of this Agreement the Beneficial Owner shall either get the securities transferred to some other account or get the same rematerialised.

Stamp Duty

8. Any stamp duty (including interest or penalty levied thereon) payable on the Agreement and/or on any deed, document or writing executed in pursuance hereof between the parties hereto shall be borne and paid by the Beneficial Owner.

Force Majeure

9. Not with standing anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, non-performance or delay in performance of any obligations under the Agreement or for any harm, loss, damage or injury caused to the other due to causes reasonably beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or ay other act of God, war, rebellion, revolution, insurrection, embargo or sanction, blockade, riot, civil commotion, labour action or unrest including strike, lock-out or boycott, interruption or failure of any utility service, enemy action, criminal conspiracy, act of terrorism or vandalism, sabotage, or intrusion, or any other irresistible force or compulsion.

Service of Notice

10. Any notice or communication required to be given under the Agreement shall not be binding unless the same is in writing and shall have been served by delivering the same at the address set out here in above against a written acknowledgement of receipt thereof or by sending the same by pre-paid registered post at the aforesaid address or transmitting the same by facsimile transmission electronic mail or electronic data transfer at number or address that shall have been previously specified by the party to be notified. Notice given by personal delivery shall be deemed to be given at the time of delivery. Notice given by post in accordance with this clause shall be deemed to be given at the commencement of business of the recipient of the notice on the third working day next following its posing. Notice sent by facsimile transmission, electronic mail or electronic data transfer shall be deemed to be given at the time of its actual transmission.

Arbitration

11. The parties hereto shall, in respect of all disputes and differences that may arise between them, abide by the provisions relating to arbitration and conciliation specified under the Bye Laws.

Jurisdiction

12. The parties hereto agree to submit to the exclusive jurisdiction of the courts in Hyderabad.

Governing Law

13. The Agreement shall be governed by and constructed with the laws in force in India.

1st / 2nd / 3rd

10

IN WITNESS WHEREOF the parties hereto have hereunto set and subscribed their respective hands/seals to this Agreement in duplicate on the day, month, year and place first hereinabove mentioned.

SIGNED AND DELIVERED

by the within named he
Beneficial owner

1st 11 _____
First Holder

2nd _____
Second Holder

3rd _____
Third Holder

In the presence of

Witness

Name : _____

SIGNED AND DELIVERED

by the within named the Participant

by the hands of its authorised representative

B.N. RATHI SECURITIES LIMITED

Address : 6-3-652, IV Floor, "Kautilya" Amrutha Estates, Somajiguda, Hyderabad - 500 082.

In the presence of

Witness

Name : _____ **10**

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

SMS Alert Facility	<input type="checkbox"/> Yes MOBILE No. + 9 1 <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	Refer to Terms & Conditions Given as Annexure-A
Easi	<input type="checkbox"/> Yes. if yes, Please, contact your DP for details (Facility through CDSL's Website: www.cdslindia.com wherein a BO can view his ISIN balances, transactions and value of the portfolio online.)
	Account to be operated through Power of Attorney (POA) : <input type="checkbox"/> Yes <input type="checkbox"/> No

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

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

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

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

12
1st

First Holder Signature

2nd

Second Holder Signature

3rd

Third Holder Signature

NOMINATION FORM

To.,
B.N. RATHI SECURITIES LIMITED
 6-3-652, IV Floor "Kautilya" Amrutha Estates, Somajiguda, Hyderabad - 500082

Dear Sir / Madam

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** [Signatures of all account holders should be obtained on this form]
- I/We **Nominate** the following person who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder the death of all the join holders.

DP ID 12051400 Client ID _____

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

Nominee details

First Name _____	Middle Name _____	*Last Name _____	Affix Photograph of Nominee & Sign across the photograph <div style="border: 1px solid black; width: 80px; margin: 0 auto; padding: 2px;">Sign across it</div>
Father / Husband Name _____			
Address _____			
City _____ *State _____			
Nominee Sign. ★ _____			
Country _____	Pin Code _____	Telephone No. _____	

Fax No. _____ E-mail ID _____ Date of Birth _____

As the nominee is a minor as on date, I / We appoint following person to act as guardian :

First Name _____	Middle Name _____	*Last Name _____
Address _____		
City _____	State _____	Country _____
Pin Code _____	Age _____	Guardian Sign. _____

To receive the securities in this account on behalf of the nominee in the event of the death of the sole holder/all joint holders.

This nomination is in accordance with the **Section 109 A of the companies act, 1956**, and shall supersede any prior nominee made by me / us and also any testamentary documents executed by me / us.

Place :	Date :	Specimen Signature
Name		
First Holder _____	_____	1 st 13
Second Holder _____	_____	2 nd
Third Holder _____	_____	3 rd

Note : Two witnesses shall attest signature(s) / Thumb impression (s)

SIGNATURE OF TWO WITNESS

1. Name : _____ Witness
 Address : _____
 _____ Signature with date
2. Name : _____ Witness
 Address : _____
 _____ Signature with date

(To be filled by DP)

nomination form accepted and registered wide Registration No. _____ date _____

Annexure - 4

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

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

CLIENT INFORMATION

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

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

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

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

DISPUTE RESOLUTION

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

TERMINATION OF RELATIONSHIP

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

ADDITIONAL RIGHTS AND OBLIGATIONS

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

36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

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

LAW AND JURISDICTION

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

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

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

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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.

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for EC N 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.

POLICIES & PROCEDURE

a) Policy for Penny Stock

A stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. Depend on the market condition and RMS policy of the company RMS reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only.

b) Setting up client's exposure limits

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which 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 stockbroker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.), 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 trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems any may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security as per VAR based margining system of the stock exchange and/or margin defined by RMS based on their risk perception. Client may take benefit of "credit for sale" i.e. benefit of share held as margin by selling the same by selecting Delivery option through order entry window on the trading platform, the value of share sold will be added with the value of deposit and on the basis of that client may take fresh exposure.

In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

c) Applicable brokerage rate :- Brokerage will be charged within the limits prescribed by SEBI/Exchange.

d) Imposition of penalty/delayed payment charges

Clients will be liable to pay late pay in/delayed payment charges for non making payment of their payin/margin obligation on time as per the exchange requirement/schedule at the rate upto 2% per month. The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are

contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / 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.

e) The right to sell client's securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues

Without prejudice to the stock brokers other right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/ obligations.

The client shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/ closing out shall be charged to & born by the client. In cases of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus. Stock split. Right issue etc will be given when the shares is actually received in the stock broker designated demat account.

In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall beat liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin / security is made available by way of securities or any other property. the stockbroker is empowered to decline its acceptance as margin / security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

f) Shortages in obligations arising out of internal netting of trades

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is asunder:

- a) The Short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Payin/Payout Day. The securities delivered short are purchased from market on T+2 day and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
- b) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+2 day or Auction day on Exchange + 10% where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- c) In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.
- g) Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client**
- We have margin based RMS system. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability/shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/ non making of payment for their payin obligation/ outstanding debts.
- h) Temporarily suspending or closing a client's account at the client's request**
- On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ ledger balance settlement can take place.
- On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.
- i) Deregistering a client:-** Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:
- (i) If the action of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
 - (ii) If there is any commencement of a legal process against the client under any law in force;
 - (iii) On the death/lunacy or other disability of the Client;
 - (iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
 - (v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
 - (vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
 - (vii) If the Client is in breach of any term, condition or covenant of this Agreement;
 - (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
 - (ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
 - (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
 - (xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
 - (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;
- Inactive Client account: - Client account will be considered as inactive if the client does not trade for period of one year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares/credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account.
- Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I/we understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any breakdown in our back office/front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. I/We shall be fully liable and responsible for any such problem/fault.
- Client Acceptance of Policies and Procedures stated here in above:**
- I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or methods. I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator/ mediator etc.

Client Signature: **15** _____



B.N. RATHI SECURITIES LIMITED

Depository Participant of Central Depository Services (I) Ltd.

6-3-652, IV Floor, "Kautilya" Amrutha Estates, Somajiguda,

Hyderabad - 500 082. Ph. : 04 - 30527777, 30727777, Fax : 040- 30526283.

E-Mail : bnrdep@bnrsecurities.com / cdslnr@yahoo.com Website : www.bnrsecurities.com

DP ID : 51400

Tariff Sheet Beneficiary Account opened with CDSL

S.No	Description	Scheme A	Scheme B
1	Account Opening Charges	NIL	NIL
2	Upfront Payment	Rs. 500/-	Rs. 2000/-
3	Annual Maintenance Charges (AMC)	Rs. 300/-	Rs. 1000/-
4	Purchase (Market & Off Market)	NIL	NIL
5	Sale (Market & Off Market)	Rs. 10/- Per Transaction (including CDSL Charges Rs.6/-)	Rs. 7/- Per Transaction (including CDSL Charges Rs.6/-)
6	Dematerialisation	Rs. 3/- Per Certificate + Rs. 25/- Courier Charges	Rs. 3/- Per Certificate + Rs. 25/- Courier Charges
7	Rematerialisation	Rs.25/- Per Certificate + Rs. 25/- Courier Charges	Rs.25/- Per Certificate + Rs. 25/- Courier Charges
8	Pledge (Creation / Closure / Invocation)	Rs. 25/- Per Transaction	Rs. 25/- Per Transaction

NOTE :

- Transaction cum billing statement will be sent once in a quarter. If customer wish to receive account statement daily / Weekly / Fortnightly an amount of Rs. 50/- will be charged.
- *This scheme will be valid for one year and will be automatically renewed at the end of the year, unless a written communication is received.
- The above raters are based on the existing CDSL charges and will be revised on revision by CDSL. The charges are also subject to revision by BNR with 30 days prior Notice.
- Service Tax as applicable would be levied.
- # a) To open an investor account with limited POA, customer should have a brokerage account or simultaneously open a brokerage account with BNR.
b) Customer needs to execute one time Limited "POA" (Doc charges Rs. 150/-) to avail hassle free, paper less "Automated Pay-in facility for his sales in BNR Broking Account.
- Incase of corporate account, an Additional AMC of Rs. 500/- per Annum payable to CDSL would be collected.
- Billing will be done on monthly basis
- AMC once charged / paid shall not be waived /refunded under any circumstances

Scheme Opted A B

1st **16** _____
First Holder Signature

2nd _____
Second Holder Signature

3rd _____
Third Holder Signature

Tariff Sheet - Trading Account

Charges	Equity Intraday	Equity Delivery	Futures	Options	MCX-SX CD	NSE CD
Brokerage						
Turnover Charges						
Service Tax						
Stamp Duty						
STT						
SEBI Turnover Fee						

Signature: **17** _____

Brokerage Code: _____

CLASSIFICATION OF CLIENT _RISK FACT

Low

Medium

High

Special Category

VOLUNTARY DOCUMENTS

RUNNING ACCOUNT AUTHORISATION

Date.....

B.N. RATHI SECURITIES LIMITED

6-3-652, "Kautilya", 4th Floor, Amrutha Estates,
Somajiguda, Hyderabad - 500082

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Interest Rate future Segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation, unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund and securities account Once in every calendar Quarter or Once in a calendar Month or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office. After that I/We shall have no right to dispute the transaction, funds and/or securities ever and agree that you shall not be liable for any incidental loss/damage caused due to retention of funds and/or securities.
6. I / We confirm you that can revoke the above mentioned authority at any time.

Thanking you

Yours faithfully,

18

(Signature)

Client Name: _____ Client Code: _____



B.N. RATHI SECURITIES LIMITED

Regd Office: 6-3-652, "Kautilya", 4th Floor, Amrutha Estate, Somajiguda, Hyderabad – 500082

Tel.: 040-30527777 / 30727777 Fax : 040-30526283

E-mail Id: investorgrievances@bnrsecurities.com Website : www.bnrsecurities.com

PRO TRADING DISCLOSURE

To,

Sir,

This is to inform you that we do client based trading and Pro-account trading in National Stock Exchange of India Ltd. (NSE)/ Bombay Stock Exchange Ltd. (BSE) /MCX Stock Exchange Ltd. (MCX-SX)

Thanks and best regards.

For B.N. Rathi Securities Limited

Hari Narayan Rathi

Managing Director

I acknowledge the receipt of information given above by B.N. Rathi Securities Limited that they do Client base trading and Pro-account trading.

Signature of Client: 19 _____ Client Code : _____ Client Name : _____

LETTER OF AUTHORITY

Client Name :

Client Code :

Date.....

B.N. RATHI SECURITIES LIMITED

6-3-652, "Kautilya", 4th Floor, Amrutha Estates,
Somajiguda, Hyderabad - 500082


Dear Sir,

Sub: Letter of Authority - CASH/F&O/Currency Derivative Segment of NSE/BSE/MCX-SX

I/We are dealing in securities with you at NSE/BSE/MCX-SX in Cash, Derivative & Currency Segment and in order to facilitate ease of operations, I/We authorise you as under:

1. I/We authorise you to setoff outstanding in any of our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of cash margin or collateral shares provided to you by us.
2. I/We hereby authorise you not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
3. I/We hereby authorise you to keep all the securities which we give you in margin including the payout of securities received by us for meeting margin / other obligation in stock exchange in whatever manner which may include pledging of shares in favour of bank and / or taking loan against the same of meeting margin/ pay - in obligation on our behalf or for giving the same as margin to the Stock Exchange or otherwise.
4. I/We request you to retain credit balance in any of my/our account and to use the idle funds towards our margin/future obligations at any or both the Exchanges unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charged from time to time, for keeping the shares in your client demat beneficiary account on my/our behalf. I/We also authorise you to debit the financial charges @ 2% p.m. for the debit balances if any, in my/our account and not settled as per the exchange requirements.
5. I/We request you to retain Securities in your Demat account for my/our margin/future obligations at all Exchanges, unless I/We instruct you to transfer the same to my/our account.
6. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
7. I/We will collect from your office Contract Notes, Bills, Securities, etc. as per our convenience.
8. I/We request that you may send/dispatch me/us contract notes other documents through E -mail: on my/our designated e-mail address of _____.
We will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute the same.
9. I/We will inform you the change my/our my e-mail, if any, in future either by regd. post or through Physically.
10. I/We authorise Mr./Ms. _____ to deal/transact on my/our behalf and to place order, give instructions, make and receive payments of securities and monies, collect contract notes, bills, order confirmations, trade confirmations, account statements and any other documents or communication, to sign any document, settle the account, enter into any compromise and to do any and all act(s) on my/our behalf which I/we can do and I/we the undersigned to hereby agree and declare and confirm that all the acts, and things done by him/her or his/her substitutes shall be my/our acts, deed and things validity done by me/us to all intents and purposes.
11. Trading of all Exchanges is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/ network, which may be beyond your control and may result in delay in processing or note processing buy or sell Orders either in part or in full. I/ We agree that I/ We shall be fully liable and responsible for any such problems/ fault .
12. I/We confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
13. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
14. I/We am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
14. All fines/penalties and changes levied upon you due to my acts/deeds or transactions maybe recovered by you from my account/
16. I/We have a Trading As well as depository relationship with B.N. Rathi Securities Limited. Please debit the charges relevant with depository services from my/our trading account on monthly basis. I /We also agree to maintain the adequate balance in my trading account/pay adequate advance fee for the said reasons.

Yours faithfully,

Signature :  _____

ANTI MONEY LAUNDERING (CUSTOMER DUE DELIGENCE CLAUSE)

- I. The sub-broker must ensure that sufficient information about the client has been furnished. This is required to identify who is the actual beneficial owner of the securities transaction or for whom and/or on whose behalf transaction is conducted.
 1. The Trading Member adopts such policies or may resort to such measures as to establish the credentials of the client's database submitted.
 2. Periodically, as and when the trade volumes register a hike and profits cross the limit vis-à-vis the financial status of the client produced with documentary evidence, the member reserves the right to probe a channel or source from which the client is receiving funds to carry on the trade. In such an event the authenticity or otherwise of the source of funds is established and if the source is proved to be questionable the client will be disabled from carrying on further trade and this agreement becomes void.
- II. In the true spirit of the agreement the Trading Member believes that each and every transaction done by the client is genuine. If any discrepancy is noticed in the transaction at any point of time later the management has every right to detect such discrepancy in order to take preventive/corrective measure, which include sending confidential, reports to the concerned authorities under the law. If malpractice continues in the trade even after sufficient educational advice has been given to the client, the client runs the risk of losing his trading rights, may be for a brief period or sine die.

KYC-NORMS

1. The client must furnish all required information such as financial statements, client ledger, etc., completely.
2. It is the duty of the client to submit change in residential address with documentary evidence as defined under the field mandatory/voluntary.
3. The updated financial statements must be submitted by the clients periodically to the Trading Member of their accord.
4. Besides the information submitted in KYC form, any other information relevant and pertinent to the letter and spirit of the KYC form may be gathered from the client. The client has to furnish such details as are required when called upon to do so.

Client: **21** _____

Member: _____

ADDITIONAL CLAUSES

To
The Managing Director

B.N.RATHI SECURITIES LIMITED

6-3-652, "Kautilya", 4th Floor, Amrutha Estate, Somajiguda, Hyderabad – 500 082

Date _____

Place _____

Dear Sir,

Sub : Additional Clauses

1. I/we hereby declare that I/we am/are not acting as sub-broker or remiser and doing business only on my/own personal behalf.
2. a) I/we hereby agree that all the financial transactions between me/us and you shall be through account payee cheque/ demand draft / pay order and no cash transactions are permitted on either side. I/we hereby further agree that any claim of cash transaction by either party shall not be entertained by the other party.
b).I/we hereby agree not to issue third party cheques/demand drafts/pay order for my/our transactions with you.
3. I/we hereby agree to give/take delivery of securities in demat mode from/to my/our own beneficiary account only. I/we hereby agree not to issue third party delivery instructions for my/our sale transactions. Further I/we agree not to deposit blank or unfilled delivery instructions with any of your office.
4. I/we hereby agree that the duly executed contract note issued by you shall only be valid and binding for all legal purposes.
5. I/we hereby accord my/our consent to you to do transactions in my/our account based on oral instructions over phone or otherwise. I/we also undertake to raise objections, if any, in writing, with you within one day of receipt of contract note.
6. I/we hereby agree not to enter into any securities transactions/financial transactions/private deals with co-investors and employees/franchisees/associates of you and I/we am/are confined only to getting my/our orders executed on the trading terminals of the stock exchanges and settling those transactions as per the settlement schedules of the exchange.
7. I/we hereby agree to indemnify you full for any losses arising out of the delivery transactions in the securities held by me/us or jointly with any other person/s.
8. I/we hereby accord my/our consent to you to debit my/our account to the extent of amount due by me to your depository division.
9. I/we agree to provide you our updated financial details on a yearly basis.
10. I/we agree to provide additional information, details, documents, etc. pertaining to me/us as required by NSE/BSE, SEBI or any other statutory bodies from time to time.

Signature **22** _____ Name _____ Code _____

LETTER OF AUTHORITY / REQUEST

To
 The Managing Director
B.N.RATHI SECURITIES LIMITED
 6-3-652, "Kautilya", 4th Floor, Amrutha Estate,
 Somajiguda, Hyderabad – 500 082

Date _____
 Place _____

Dear Sir,

Sub : Letter of authority / request to B.N.RATHI SECURITIES LIMITED

I/we am/are an/the investor(s) doing business through you. As my/our account is a running account, I/we need the following facilities in view of the operational issues and I/we request you to extend the same to me/us.

- I/we request you to kindly accept & execute all my/our orders placed over phone as it is not possible to me/us to visit your office & sign the order form every time I/we place the orders with you. I/we am/are fully aware that you place the orders in/our unique client code which are recorded & verifiable by me/us through the web site of the exchange. I/we confirm that I/we accept & settle the trades accordingly without any dispute whatsoever.
- I/we request you to kindly arrange to dispatch my/our contract note through courier/post within 24 hours of trade as it is not possible for me/us to visit your office for collection of the contract note and signing the duplicate contract note within 24 hours of trade.
- I/we request you to keep my/our securities bought/excess delivered/given in advance with you only without insisting for delivery within 24 hours of pay-out. I/we specifically request you for the delivery and till that time I/we authorize you to retain the securities. I/we also request you to consider these securities towards various margins debited to my/our account from time to time.
- I/we request you to keep my/our funds pay-out/given in advance/given for margin purposes/given as security deposit with you only without insisting for taking payment within 24 hours of pay-out. I/we specifically request you for the payment and till that time I/we authorize you to retain the funds with you only. I/we also request you to consider these funds towards various margins debited to my/our account from time to time.
- I/we understand and agree that it is my/our responsibility to track and advice you to transfer the securities held in my/our trading account to my/our demat account for the purpose of availing the benefits of corporate actions.
- I/we agree that B.N.Rathi Securities Limited is not responsible for follow-up and applying for the benefits for corporate actions on my behalf for securities held in my/our trading account and will not be held responsible by me/us for any financial implications arising thereto.
- I/we authorize you to transfer the credit balances in one exchange/segment to another exchange/segment as and when debit arises.
- I/we authorize you to transfer the credit balances / security balances lying in my/our Stock Broking Account to my/or vice versa and when debit arises and/or for margin requirements as and when required.
- I/we maintain and operate a Depository Beneficiary (BO) Account No. _____ with B.N.Rathi Securities Limited DP of CDSL and hereby authorize BNRSL to debit all charges of BO Account to my broking A/c.
- I/we hereby request you to open my personalized e-mail account on your web Server/s www.bnrsecurities.com or any other web server under intimation to me and further request you to send e-contract notes/digital contract notes, bills, ledgers, transaction statement, reports, letters, circulars, notices, etc. on my personalized e-mail Id created by you pursuant to my request.

Please consider all the above requests favorable and allow me to do business accordingly.

Signature ²³ _____ Name _____ Code _____

AUTHORISATION

I hereby authorize Mr./Mrs. _____
 s/o,d/o _____ Occ: _____
 R/o _____
 _____, Tel.No. _____ Fax. _____

Affix your recent
 passport size
 photograph & sign
 across it

E-mail Id _____ to do the following on my behalf.
 To do business, to give instructions orally or in writing, to place, modify, cancel orders to buy and sell Securities in Cash and Futures & Options Segment of NSE/BSE.

- I To receive and/or deliver cheques, demand drafts, funds, deliveries, documents, contract notes, statement of accounts for funds & Securities, pending position statement etc. from / to your organization and to acknowledge wherever required.
- I To do any other act or acts required for continuity of my business/trading. I attest the specimen signature of the above mentioned person as shown hereunder. The authorization shall remain in force unless otherwise it is revoked in writing and such revocation is intimated to you in writing.

Signature of the Applicant ²⁴ _____ Specimen signature of the Person with Authorisation _____

PAN CARD UNDERTAKING
Declaration for Name difference in PAN CARD

To _____
The Managing Director
B.N.RATHI SECURITIES LIMITED
6-3-652, "Kautilya", 4th Floor, Amrutha Estate,
Somajiguda, Hyderabad – 500 082

Date _____

I _____ S/o,D/o,W/o _____
Residing at _____
do hereby state as under.
I refer to my account opening application for a Trading Account with B.N. Rathi Securities Limited. in the name of _____
_____ I do hereby affirm, declare and undertake as under.

1. That my name as it appears on the PAN CARD is _____
 2. That my name as it appears on the IT website is _____
 3. That both the names, the name mentioned on the PAN CARD and the name as it appears on the IT website pertains to me.
 4. That the name before my marriage was _____ and the name after my marriage with _____ is _____
- That the contents of this Declaration have been explained to me in vernacular and I have understood the same before signing it.

25 _____ PAN: _____
Client Name & Code: _____

AUTHORISATION LETTER FOR DEBITING D.P. CHARGES

To
The Managing Director
B.N.RATHI SECURITIES LIMITED
6-3-652, "Kautilya", 4th Floor, Amrutha Estate,
Somajiguda, Hyderabad – 500 082

Sub : Debiting my Broking account towards charges.

Ref: Broking A/c No. _____ DP ID NO.: _____ Client ID _____
Dear Sir,
I/We hereby authorise you to debit my/our Broking account No. _____ for all the charges relating to the above mentioned Demat Account.
In case if I wish to withdraw this authorisation I shall inform you in writing and acknowledge by you at least one week in advance from the date of withdrawal.

Thanking you,

Your's Sincerely,

26 _____

CLIENT DEFAULTER DECLARATION

Dated :

I.....having PAN No..... do hereby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchanges/ Regulatory bodies/CIBIL (Credit Information Bureau of India Ltd.) etc.

I further declare that the above mentioned declaration/statement is true and correct.

27 _____

(Signature of Client)

Name:

Client Code:.....

Date:

POWER OF ATTORNEY

To all whom these presents shall come. I / We _____
_____, S/o, D/o, W/o _____
resident of _____ or We,
_____, a company incorporated
under Companies Act, 1956 having its registered office at _____

WHEREAS:

- a) B N RATHI SECURITIES LIMITED is a trading member of NSE and BSE, offering on-line and/or off-line trading facilities to its clients (hereinafter referred to "BROKER Member") and also a Depository Participant of CDSL (IN-DP-CDSL-414-2007) (hereinafter referred to as BROKER DP)
- b) For the purpose of holding securities purchased / investments were made, I / We have opened a depository account bearing Client ID No. _____ (hereinafter referred to as the "designated demat Account") with BROKER DP;
- c) *I / We / _____, the first holder of the above mentioned depository account have / has also entered into Member Constituent Agreement (hereinafter referred to as the "the Agreement" as amended and in force from time to time) with BROKER - Member and have opened a trading account bearing number _____ with BROKER Member (hereinafter referred to as the "client account")

Or

- * I / We propose to open a trading account with BROKER in my / our name / in the name of _____, the first holder of the designated demat account and have submitted an application form no. _____, having agreed upon the terms and conditions mentioned in the Member Constituent Agreement
- d) As per the terms and conditions mentioned in the agreements, I / We have confirmed BROKER Member that the designated demat account shall be utilized for the purpose of pay-in / pay out of securities against trades done in the client account and for the purpose of receiving securities allotted in IPOs, rights offers, NFOs, etc applied through BROKER in the client account.
 - e) For the purpose of availing the above mentioned facilities as well to facilitate proper execution, settlement and completion of all trade transactions in securities done BROKER - Member on my / our behalf, I / We individual / joint account holders, am / are hereby appoint BROKER Member as my / our attorney and confer upon BROKER Member the powers hereafter stated.

NOW THEREFORE THESE PRESENTS WITNESS THAT I / We as individual / joint account holders, for myself / ourselves and as the Client(s) of BROKER DP do hereby nominate, constitute and appoint BROKER(Member) acting through any of its officers or employees or any duly authorized person to be my/our true and lawful constituted attorney (hereinafter called as "attorney" for the purpose of brevity, which expression shall, unless repugnant to the meaning or context thereof be deemed to mean and include its successors) and authorize the said Attorney in my/our name(s) and on my/our behalf from time to time, to do and exercise or cause to be done and exercised, all or any of the acts, powers and authorities, deeds or things mentioned hereunder and if necessary shall be ratified by me / us on instruction of BROKER(Member), that is to say:

1. To sign the delivery instruction slips and to transfer securities available in the electronic form in my / our demat account, on my / our behalf, in order to meet my/our settlement and margin obligations for the transactions done in my/our Trading account.
2. To block, hold, debit and/or create pledge, lien, hypothecation on securities available in my / our demat account on my/our behalf, in its own favour or in favour of a Clearing House/ Clearing Corporation / Exchange and / or any other entity to meet my settlement and / or margin obligations.
3. To give instructions for issuing fresh delivery instructions slips and receive the same on my / our behalf, as and when required.
4. To debit and pay / transfer the necessary charges, from the credit balances available in my / our Trading account with BROKER Member towards payment of various charges, account maintenance fees, etc. payable by me / us to BROKER DP pertaining to transactions done and maintenance of my / our designated demat account.

5. To transfer necessary quantity of shares from my / our designated demat account, on my / our behalf, to any of the following demat account(s) of BROKER Member for meeting any margin requirement in respect of transactions executed by me / us through my/our client Trading account with BROKER Member, such as

S.No	BO Name	DP ID	CLIENT ID	PURPOSE
1	B.N.RATHI SECURITIES LTD.	12051400	00000114	NSEPool (CDSL)
2	B.N.RATHI SECURITIES LTD.	11000011	00016147	NSEEarly Pay-in (CDSL)
3	B.N.RATHI SECURITIES LTD.	IN301022	IN556380	NSEPool (NSDL)
4	B.N.RATHI SECURITIES LTD.	12051400	00016496	BSEPool (CDSL)
5	B.N.RATHI SECURITIES LTD.	11000010	00015911	BSE Early Pay-in (CDSL)
6	B.N.RATHI SECURITIES LTD.	IN301022	IN632338	BSEPool (NSDL)
7	B.N.RATHI SECURITIES LTD.	12051400	00000055	Coletral Margin a/c
8	B.N.RATHI SECURITIES LTD.	12051400	00000040	Client Beneficiary a/c

S.No	BO Name	CM ID	PURPOSE
1	B.N.RATHI SECURITIES LTD.	7141	NSE Clearing a/c
2	B.N.RATHI SECURITIES LTD.	3233	BSE Clearing a/c

DP Pool accounts opened and maintained with BROKER DP or any other such depository account opened by BROKER Member for this purpose from time to time. In case of any change in these account numbers, BROKER Member is authorized to transfer the securities to the new account numbers with prior intimation to me / us regarding such change.

6. To transfer securities received as payout from the exchanges from the demat accounts of BROKER Member mentioned in para 5 above, to my / our designated demat account, against transactions done in my / our trading account. In case of any change in these account numbers, BROKER Member is authorized to transfer the securities to the new account numbers with prior intimation to me / us regarding such change.
7. To return the securities or funds that BROKER Member might receive erroneously or those BROKER Member was not entitled to receive, to my / our designated demat account.
8. In case of death, disability, insolvency, winding up or liquidation of any one or more of us or of the joint holder/s and the surviving joint holders and heirs, nominees, executors, administrators, successors and legal representatives of the account holder who has died, disabled, dissolved, been adjudged insolvent, wound up or liquidated shall forthwith inform the Attorney and the BROKER DP of the same in writing. In such an event, the Power of Attorney and the instructions contained herein shall be revoked forthwith.
9. Further, BROKER Member is authorized to send consolidated summary of scrip-wise positions of securities bought and sold taken with average rates by way of SMS / email on a daily basis to my / our Mobile Number / email address registered with Member initially and changed from time to time as per my / our request.
10. The Power of Attorney with authority and powers as stated herein has been given for the specific purpose of the above mentioned services and can be **revoked without prior notice but under intimation** to BROKER Member subject to my / our fulfilling of the Margin / Settlement obligation for the transactions undertaken in my trading account with BROKER Member.

All disputes arising out of this Power of Attorney shall be subject to the jurisdiction of the City civil Courts situated at Hyderabad, Andhra Pradesh.

IN WITNESS WHERE OF I / We, hereunto set and subscribe my / our hands and signed at on this

_____ day of _____ 20____.

Signed and delivered by

<p>29</p> <p>_____ (First Holder)</p> <p>_____ (Second Holder)</p> <p>_____ (Third Holder)</p>	<p>Witness</p> <p>Signature: _____</p> <p>witness Name & Address:</p> <p>_____</p> <p>_____</p> <p>_____</p>
<p>Name Of the Attorney : _____</p> <p>//Accepted//</p> <p>Signature of the Attorney _____</p>	<p>Witness</p> <p>Signature: _____</p> <p>witness Name & Address:</p> <p>_____</p> <p>_____</p> <p>_____</p>

Account Closure Request Form

Application No.	Date
Closure Initiated by	<input type="checkbox"/> BO <input type="checkbox"/> DP <input type="checkbox"/> CDSL

(To be filled by the BO. Please fill all the details in **Block Letters** in English)

To,
B.N. RATHI SECURITIES LIMITED
 (Corporate Member : NSE & BSE)
 Corp. Off : 6-3-652, IV Floor "Kautilya" Amrutha Estates, Somajiguda, Hyderabad - 500082
 Phones : Off : 040 - 30527777, 30727777, Fax : 040 - 30526283

Dear Sir / Madam,

I / We the Sole Holder / Joint Holders / Guardian (in case of Minor) / Clearing Member request you to close my / our account with you from the date of this application. The details of my/our account are given below:

Account Holder's Details											
DP ID	1	2	0	5	1	4	0	0	Client ID		
Name of the First / Sole Holder											
Name of the Second Holder											
Name of the Third Holder											
Address for Correspondence											
City			State			PIN					
Details of remaining security balances in the account (if any)											
Reasons for Closing the Account											
Balance remaining in the account (if any) to be :											
<input checked="" type="checkbox"/> Partly rematerialised and partly transferred.						<input type="checkbox"/> Rematerialised					
<input checked="" type="checkbox"/> Transferred to another account (Number given below)						<input type="checkbox"/> Not applicable					
DP ID									Client ID		
Balance present in a/c for (To be filled by DP, if applicable)						<input type="checkbox"/> Ear - marked			<input type="checkbox"/> Pledged		
						<input type="checkbox"/> Hypothecated			<input type="checkbox"/> Pending for Dematerialisation		
						<input type="checkbox"/> Pending for Rematerialisation			<input type="checkbox"/> Frozen.		
									<input type="checkbox"/> Lock-in.		

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	30		

*If DP or CDSL initiates account closure, Signature(s) of account holder(s) not required.

===== (Please Tear Here) =====

Acknowledgement Receipt

Application No.

Date : _____

We hereby acknowledge the receipt of the your instruction for Closing the following Account subject to verification: -

DP ID	1	2	0	5	1	4	0	0	Client ID		
Name of the First / Sole Holder											
Name of the Second Holder											
Name of the Third Holder											
Reason for Closure											

Instructions to Account Holder(s)

Depository Participant Seal and Signature

- Submit a duly-filled RRF if the balances are to be rematerialized.
- Submit a duly-filled transfer form (off market instruction slip) if the balances are to be transferred to another A/c.

Blank